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PUERTO PRINCESA CITY WATER DISTRICT RESERVOIR

SAFE WATER
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ABSTRACT

This document reports the findings, conclusions, and recommendations of a midterm performance evaluation of the Safe Water (SW) activity implemented by DAI Global LLC. (DAI). SW is the flagship project of USAID in the Philippines for water and sanitation sector development, with a budget of $18 million over a five-year period from December 2019 to December 2024. Its objectives are to increase access to resilient water supply and sanitation services, improve sustainable management of water resources, and strengthen water sector governance. The evaluation uses a mixed-methods approach, combining extensive document review, analysis of indicator data, and key informant interviews with SW stakeholders. The evaluation found that SW's approaches and interventions are relevant and closely aligned with the Government of the Philippines's policy priorities and the needs of water sector stakeholders.

While the COVID-19 pandemic and associated lockdown had a significant, negative impact on SW's effectiveness in Years 1 and 2, by the end of Year 3, the implementing partner had made substantial progress towards achieving its objectives and is likely to meet many of its targets. SW has adopted international best practices in water sector planning and in management of watersheds. Some of the interventions in water sector financing and sustainable livelihoods are yet to show significant results and may need adjustments to achieve program objectives. Stakeholders give high ratings on the relevance, effectiveness, and sustainability of most SW interventions. The evaluation identified issues in SW's monitoring, indicator management and reporting that would benefit from improvements. Overall, SW's approach, based on stakeholder participation and engagement in evidence-based planning and resource allocation, has created a solid base for the long-term sustainability of the main interventions aimed at improvement of water and sanitation services and water resource management.

This evaluation report includes a statement of difference, beginning on page 51 of the report.

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ACRONYMS

AWP	Annual Work Plan
BAWASA	*Barangay* Water and Sanitation
BMRB	Buayan-Malungon River Basin
CDP	Comprehensive Development Plan
CLAIMDev	Collaborating, Learning, and Adapting for Improved Development Activity
CLUP	Comprehensive Land Use Plan
CMS	Central Management System
CSO	civil society organization
CSR	Corporate social responsibility
DBM	Department of Budget and Management
DENR	Department of Environment and Natural Resources
DILG	Department of Interior and Local Government
DWR	Department of Water Resources
EGS	ecosystem goods and services
FGD	focus group discussion
FGI	focus group interview
FLUP	Forest Land Use Plan
FMB	Forest Management Bureau
GCC	Global Climate Change
GHG	Greenhouse Gas
GPH	Government of the Philippines
IR	intermediate result
IWMP	Integrated Watershed Management Plan
IWSPs	integrated water security plans
KII	key informant interview
Lawin	Lawin Forest and Biodiversity Protection System
LGU	Local Government Unit
LOP	life of project
LWA	Local Water Alliance
LWCRP	LGU watershed conservation and rehabilitation plan

LWRB	Local Water Utilities Administration
LWUA	Local Water Utilities Administration
MEL	Monitoring, Evaluation and Learning
MENRO	Municipal Environment and Natural Resources Office
MFI	Microfinance Institution
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
NEDA	National Economic and Development Authority
NGA	national government agencies
NGO	non-governmental organizations
NWRB	National Water Resources Board
OBA-BF	Output-based Aid Blended Finance
P4WatER	Partnership for Water and Economic Resilience
PENRO	Provincial Environment and Natural Resources Office
PES	Payment for Ecosystem Services
PIIWSF	Provincial Integrated and Inclusive Water Security Framework
PIRS	performance indicator reference sheets
PIWSP	Provincial Integrated Water Security Plan
PO	People's Organization
PPP	Public-Private Partnerships
PWSSMP	Philippine Water Supply and Sanitation Master Plan
SW	Safe Water/Safe Water Project
TA	Technical Assistance
TWG	Technical Working Group
UCMP	Upland Conservation and Management Plan
URAF	Unified Resource Allocation Framework
USAID	United States Agency for International Development
USG	U.S. government
WASH	Water, Sanitation and Hygiene
WASH-FIN	USAID Water, Sanitation and Hygiene Finance
WC	watershed committee

WMC	Watershed Management Council
WRM	Water Resource Management
WSC	Water Security Council
WSG	water sector governance
WSP	Water Service Provider
WSS	Water Supply and Sanitation

EXECUTIVE SUMMARY

The USAID/Philippine's flagship water sector program, Safe Water (SW) activity is implemented by DAI Global, LLC with five partner organizations. [1] It has a budget of $18M and is implemented over a five-year period from December 2019 to December 2024. Its purpose is to improve water security for water-stressed communities in the Philippines. Improved water security entails increased access by underserved or unserved communities to safe water supply and sanitation (WSS) services and more sustainable management of water resources to meet human, economic, and ecosystem needs. SW's objectives, expressed as intermediate results (IRs), are as follows: 1) Increased and improved access to resilient WSS services, 2) Improved sustainable management of water resources, and 3) Strengthened water sector governance (WSG). SW uses an integrated approach that emphasizes technical assistance and capacity building for greater sustainability.

USAID/Philippines commissioned a third-party midterm performance evaluation of the SW activity, carried out under the Mission's Collaborating, Learning, and Adapting for Improved Development Activity (CLAIMDev) monitoring, evaluation, and learning contract with Panagora Group LLC. The evaluation covers SW's performance from 2019 to the end of 2022 (the project's first two and a half years of operation) and examined the project's relevance, effectiveness, and sustainability as the principal evaluation criteria.

The overall evaluation design is qualitative and based on four levels of analysis: 1) national, 2) watershed or sub-watershed, 3) local government (provincial and municipal), and 4) community. The following data collection procedures were used: document reviews, focus group discussions (FGDs), focus group interviews (FGIs), key informant interviews (KIIs), and case studies. The evaluation team also collected secondary data from the implementing partner and other sources.

For primary data collection, the sample study sites visited were: 1) the Palawan-Montible Watershed, 2) the Negros Occidental-Bago River Watershed, and 3) the Sarangani-Buayan-Malungon River Basin in Mindanao. The evaluation team conducted 31 FGIs, 17 KIIs, four FGDs, and three case studies. A total of 128 respondents participated in the interviews and group discussions, 42 percent of whom were female. MS Excel and NVivo software were used to process data. Qualitative tools included content analysis, thematic analysis, gender analysis, and case study techniques. Some variables were "quantitized" and analyzed using frequency tables and data visualization with bar charts.

Findings and Conclusions

Overall, the findings show that the SW key approaches and most of the associated interventions are relevant in terms of their alignment with Philippine policies and priorities, as well as with local needs. The design of most interventions reflects evolving best practices and lessons learned in water sector programs internationally. It finds that despite the COVID-19 pandemic and the strict lockdowns throughout 2020-2021, which created severe constraints on the effectiveness of SW's activities in Years

[1] Orient Integrated Development Consultants, Inc.; Lutheran World Relief; Manila Observatory; Geosciences Foundation, Inc.; and Commitment, Excellence, Service, Teamwork, Inc.

1 and 2, the implementing partner, DAI, was able to recover much of the lost time in Year 3 activities, making substantial progress towards SW objectives and indicator targets. The evaluation finds that SW is on track to meeting many of the objectives and targets in the remaining life of project (LOP).

SW has been particularly effective in science/evidence-based planning informed by robust technical inputs; support to local government units (LGUs) to strengthen water governance; facilitating access to Government of the Philippines (GPH) financing through support for project identification and design; building capacity of water service providers (WSPs) for expanded, quality service; and strengthening of watershed governance and planning. However, some interventions in mobilization of alternative financing and sustainable livelihoods in watershed communities have not yet shown convincing results. In these two cases the evaluation also found issues with reporting and performance indicator management. Site visits and interviews with stakeholders show overall high ratings for all of SW's interventions (see details in Annex IV, which documents the overwhelmingly positive feedback from SW stakeholders). SW has created a solid base for sustainability of the major interventions, mainly because of its commitment to stakeholder engagement and participation, which has generated buy-in from LGUs, WSPs, planning bodies, private sector partners and People's Organizations (POs).

Relevance. By and large, SW's interventions were found to be relevant and closely aligned with GPH policy priorities. They also build on previous USAID/Philippines water sector programs, especially USAID Water, Sanitation and Hygiene Finance (WASH-FIN), whose strong relationships with the GPH helped DAI in quickly connecting with national counterparts, which was of help when the COVID-19 pandemic fell upon the country, disrupting SW implementation and creating obstacles for continued engagement with GPH entities. As well as its policy alignment, the SW design reflected international best practices in water sector reform and institutional strengthening, especially in proposing an integrated suite of site-based interventions in both WSS and WRM. The evaluation concluded that SW's approach to stakeholder engagement at all levels, and its commitment to participatory methods in the design, planning, and implementation of most interventions put the program in good stead with counterparts.

While there is a risk of subjectivity in any qualitative rating, Table 1 endeavors to summarize findings on relevance. While it lacks granularity, it gives a synoptic view for readers who may not wish to read the body of the report. Most of the ratings are in the medium to high range, which reflects our overall findings that SW is aligned with GPH priorities and reflects international best practices.

Table 1. Summary of Findings and Conclusions on Relevance of Approaches/Interventions

Approach/Associated Interventions	Relevance	Comments
Water Security Planning and Implementation		
Science/evidence-based planning	High	Necessary inputs for decision-making Integrated Watershed Management Plans (IWMPs), LGU Watershed Conservation and Rehabilitation Plans (LWCRPs) , and other instruments. But without institutional interventions, technical inputs will not be relevant.
LGU institutional strengthening with Water Security Councils (WSCs)/ Technical Working Groups (TWGs)	High	Need to involve LGUs in planning and programming of WSPs and WMCs.

Table 1. Summary of Findings and Conclusions on Relevance of Approaches/Interventions		
Approach/Associated Interventions	**Relevance**	**Comments**
Programming for WSS and Water Resource Management (WRM)	Very High	Most of the interventions come down to this, the capacity to program appropriate and adequate programs and projects in WSS and WRM.
Localization of Philippine Water Supply and Sanitation Master Plan national targets	High	In a highly devolved system, the need to localize GPH national policies and targets in LGU decisions.
Mobilizing Finance for Water Supply and Sanitation		
Facilitating access to GPH national and LGU funding	Very High	Public sector funding will continue to be the main source of financing for WSS in Philippines.
Facilitate access to market financing	Medium	LGU resistance to incurring debt/capacity for repayment. May need further GPH sector reform to be relevant.
Facilitate public-private partnerships (PPP)	Medium	Significant number of water sector PPPs in the country, and high potential relevance. But in practice, it might not be as relevant for a time-bound program like SW, as it is a complex and long process to reach fruition.
Facilitate Output-based Aid Blended Finance (OBA-BF) for household sanitation and water	Medium	Scaling will require GPH decision and provision of subsidies from LGUs. Not clear the degree of effective interest of GPH and LGUs.
Sustaining Water Resource Management		
Private sector partnership and engagement	Medium	Leadership, "good will," visibility, resource mobilization, but needs clarity on corporate interests in corporate social responsibility.
Establishment/scaling Payment for Ecosystem Services (PES)	Medium	Some interest from LGUs, but increasing local water tariffs is inherently political and generates resistance.
Support for sustainable livelihoods in watersheds	High	Relevant in most WRM programs but experience suggests caution, long-term material benefits not always evident.
Develop IWMPs or LWCRPs	Very	LGU programming for WRM requires robust planning instruments.
Create/reactivate WMCs	Very High	Need to link stakeholders to WRM as interlocutors with LGUs. Need to address causes of inactive WMCs.

Within the WSS program area, SW produced an impressive body of technical inputs to water sector planning. The hydrological studies for watersheds were particularly appreciated by all stakeholders; similarly, with the support to LGUs and WSPs for project design and preparation of project funding packages and strengthening of technical capacities for service delivery. However, some respondents believed the program was not undertaking a fully relevant set of activities in the case of efforts related to securing government financing, and especially in accessing alternative sources of financing, which has been slow to produce scalable results. The challenges related to WSS financing can partly be explained by the fact that securing financing for large projects requires a time-consuming effort to complete the necessary technical and financial proposals, challenging for a time-bound program.

Within the WRM component, the interventions related to watershed management planning, strengthening watershed management councils, and community livelihood support clearly reflect local needs and incorporate international best practices. SW's watershed management strategy is clear and includes a continuum of activity to improve watershed management—from improved science-based watershed planning, to support for management councils to implement the plans, to work to codify

plans into LGU ordinances to enable LGU budgetary support for implementation. SW also works to access funding for watershed management by supporting the development of payment for ecosystem services (PES) schemes, but which has not yet produced the desired results. Watershed planning is a critical framework for water security planning that SW introduced at the provincial level as a way to strengthen water governance. Stakeholders consider this work to be highly relevant.

Effectiveness. As with the discussion of relevance, here we provide a summary table, with a rating of effectiveness of the key approach/associated interventions. Most of the ratings are in the medium range. This is explained in part because the exogenous shocks caused by the COVID-19 pandemic undermined SW effectiveness over the first two years of program implementation.

Table 2. Summary of Findings and Conclusions on Effectiveness of Approaches/Interventions		
Approach/Associated Interventions	**Effectiveness**	**Comments**
Water Security Planning and Implementation		
Science/evidence-based planning	Very High	SW produced numerous science/evidence-based inputs for planning instruments and programming in the focus provinces.
LGU institutional strengthening with WSCs/TWGs	Medium	Still incipient as provinces/cities take on role and begin planning.
Programming for WSS and WRM	Medium	More effective in WSS programming through direct support to LGUs and WSPs for project development. Less so with WRM, as it is dependent on multiple actors and instruments.
Localization of Philippine Water Supply and Sanitation Master Plan (PWSSMP) national targets	Medium	Some concrete progress in Years 1-3, and will depend on LGU interest and leadership.
Mobilizing Finance for Water Supply and Sanitation		
Facilitating access to GPH national and LGU funding	High	SW's support to LGU is one of the most highly valued interventions, but some frustration in KIIs
Facilitate access to market financing	Medium	Success in a handful of LGUs. Not clear if the constraint is LGU resistance to incurring debt.
Facilitate PPP	Low	Reports and KIIs show no progress in the one PPP initiated.
Facilitate OBA-BF for household sanitation and water	Medium	Pilot projects are completed successfully. SW reports anecdotal, lack key details. Not clear degree of GPH or LGU interest in providing subsidies.
Sustaining Water Resource Management		
Private sector partnership and engagement	High	SW has been effective in mobilizing foundations and corporate social responsibility to support and invest in WRM programs.
Establishment/scaling PES	Medium	SW has made limited progress. Interest from some LGUs and has supported preparatory assessments in a few LGUs, but implementation is complex and slow.
Support for sustainable livelihoods in watersheds	Medium	SW's reporting is short on technical details and does not demonstrate material benefits. Unclear on the methodology for calculating benefits.
Develop IWMPs or LWCRPs	Medium	Slow progress with watershed planning instruments in Years 1-3, now increasing.
Create/reactivate WMCs	High	Significant progress in Year 3 in creating/reactivating and capacity building.

The review of the annual work plan (AWP) interventions in each year shows a large proportion of interventions that were postponed or only partially completed in Year 1 across all three components of the SW activity. Less than one-third of activities were completed as planned. The Year 2 implementation was somewhat better, as rates of outright postponement of interventions declined and the rate of completed interventions increased somewhat; even so, almost half of activities were not completed and pushed into the following year. For Year 3, however, SW was able to ramp up activities considerably (almost double the volume of interventions compared to Year 2) and fully completed almost two-thirds of planned interventions. The observed completion rate of AWP activities probably would have been

higher still in Year 3, had it not been for deficiencies in SW reporting formats and contents, which are referenced throughout this evaluation.

The analysis of indicator data for the WSS, WRM, and WSG components triangulates with what the evaluation team saw in the progress reporting and from the KIIs. In Year 1, SW did not meet its annual targets for any of the 12 Outcome and IR Indicators that reported annually. In Year 2, SW achieved its annual targets in five of the 12 indicators. And in Year 3, it surpassed the annual targets in all 12 indicators. Even so, the obstacles to implementation in Years 1 and 2 meant that SW is lagging in respect to the achievement of some of its LOP targets, with five of the 12 indicators reporting annually showing rates close to or below 50 percent. However, as we discuss below, by the end of Year 3 SW was able to build on agreements with a significant number of LGUs, WSPs, private sector firms, POs, and other stakeholders, which gave it a solid base for the final two years of the LOP.

Indeed, looking at some of the Outcome and IR Indicators by component and triangulating with our analysis of AWP activity implementation, site visits, and interviews with stakeholders, the evaluation team found that with few exceptions SW had made substantial progress in the interventions in the WSS, WRM, and WSG components. Moreover, the evaluation finds that this rapid progress in Year 3, achieved through intensive site activities with counterparts in each of the three provinces, will likely allow SW to meet most program objectives and achieve a majority of the indicator targets. However, some interventions in mobilization of alternative financing and sustainable livelihoods have not yet shown convincing results, and may not achieve targets within the existing life of project (LOP).

Sustainability. Among the four sustainability factors this study analyzed, the first three—alignment with national or local policy priorities and regulatory frameworks, stakeholder participation in project planning and implementation, and the commitment of local government and nongovernment leaders—all show considerable progress and strength among SW's direct beneficiaries. Progress in these areas is enhanced by the project's strong degree of relevance and its alignment with national and local programs and priorities. Yet, in the absence of a clear sustainability plan, SW's strategy for sustainability is not evident. Most of the ratings are in the medium range to high range.

Table 3. Summary of Findings and Conclusions on Sustainability of Approaches/Interventions

Approach/Associated Interventions	Sustainability	Comments
Water Security Planning and Implementation		
Science/evidence-based planning	High	Partner LGUs have increased capacity and incentives to take forward the planning approaches and tools. What is not clear is how this might be replicated or scaled to further LGUs.
LGU institutional strengthening with WSCs/TWGs		
Programming for WSS and WRM		
Localization of PWSSMP national targets		
Mobilizing Finance for Water Supply and Sanitation		
Facilitating access to GPH national and LGU funding	High	The reforms to the Unified Resource Allocation Framework and the evident interest of LGUs make this a high priority for LGUs.
Facilitate access to market financing	Low	SW has not demonstrated a high degree of interest from LGUs. It may require GPH policy to incentivize LGU/WSP debt financing.
Facilitate PPP	Medium	Complex, and subject to long delays. Not clear it will be sustained.

Table 3. Summary of Findings and Conclusions on Sustainability of Approaches/Interventions		
Approach/Associated Interventions	**Sustainability**	**Comments**
Facilitate OBA-BF for household sanitation and water	Medium	Scaling may require GPH's support and provision of subsidies from LGUs. No clear degree of interest in sustaining. non-governmental organizations/ microfinance institutions can sustain it at a small scale.
Sustaining Water Resource Management		
Private sector partnership and engagement	Medium	Leadership, "good will," visibility, resource mobilization, but no evident timeline for private sector commitments in the watersheds.
Establishment/scaling PES	Medium	Some interest from LGUs, but local water tariffs are inherently political and can generate resistance.
Support for sustainable livelihoods in watersheds	Medium	Philippine experience suggests caution, long-term material benefits not always evident. Needs robust assessment.
Develop IWMPs or LWCRPs	Very High	LGU programming for WRM requires robust planning instruments. Stakeholders will likely sustain the process.
Create/reactivate WMCs	High	There is an evident need to link watershed stakeholders to WRM as interlocutors with LGUs and to create buy in for WRM projects.

SW's approaches directly support government policy and planning initiatives and are a strong fit with local needs. Overall, there is a significant likelihood that many of the project's direct stakeholders will continue SW's initiatives, especially in the areas of watershed planning, and possibly in collaboration between the private sector and upland communities. In the latter case, problems with SW's reporting on results of livelihoods interventions make it difficult to assess sustainability. To some degree, the first three sustainability factors analyzed are enabling conditions, as they are precursors to securing sustainable sources of finance. While all of the sustainability factors are important, it is safe to say that having a source of sustainable finance is paramount. This is a program area that is not yet mature and, in some areas, is not progressing in a promising direction. In particular, the evaluation team did not find strong evidence of progress in the areas of PPPs, PES promotion and operation, or OBA-BF scaling up. Again, the evaluation found serious issues with SW reporting and performance indicator definition in relation to mobilization of financing.

Recommendations

1. *Conduct a review and reality check on SW's ability to reach LOP targets in the different components.* While SW has made a commendable effort to recover time lost to due to COVID-19 impacts on implementation in Years 1 and 2, there may be insufficient time left to achieve all of the targets, given that the rate of implementation is conditioned by LGU decision-making and annual budget cycles. Of particular concern are OI 1.4 Number of people receiving improved sanitation services quality from an existing "limited" or "basic" service as a result of U.S. government (USG) assistance; IR 2.1 Number of hectares under improved watershed management through Safe Water activities; OI 2.3 Number of people receiving livelihood co-benefits (monetary or non-monetary) associated with USG sustainable landscapes activities; and OI 2.1 Amount of greenhouse gas emissions reduced or avoided (Metric Tons).

2. *Related to the previous recommendation, consider an extension of the SW LOP.* Overall, this is a highly successful activity, and it has been able to put "boots on the ground" across the selected sites only in Year 3. The investment of program start-up, building relationships with counterparts, establishing a presence in the provinces, etc., will probably not be fully realized if the program is ended in 2024. In that many of the activities are directly linked to annual cycles of public sector planning, programming and budgeting, the delay has taken away SW's ability to implement many of the interventions through several budget cycles. This also undermines sustainability.

3. Develop updated, partial work plans for Years 4 and 5 focusing on the interventions showing promise for expansion, identify resources required to meet program objectives and targets, and reassign resources in function of these plans. This may result in a degree of "triage," backing off some interventions and focusing resources on those interventions with potential to achieve results, i.e., placing less emphasis on commercial bank financing and PPPs, and ramping up interventions in focused technical support to WSPs to improve services; leveraging additional private sector support for scaling up the successful OBA-BF pilots; enhanced support to programming in WSS and WRM; expansion of pilots in sustainable livelihoods, and replication of Lawin Forest and Biodiversity Protection System.

4. *Develop a sustainability and scaling strategy for SW interventions incorporated into remaining LOP AWPs.* It is not entirely clear from the program documents what SW's strategy is for achieving scale effects within the three focus provinces. We said above that the partner LGUs have strong incentives to sustain certain interventions, but can they be replicated? Can provinces have a leading role in taking SW interventions to a larger group of institutions? LGU associations such as the Union of Local Authorities of the Philippines, Philippine Association of Water Districts or similar? SW and USAID, perhaps with some of the partners and government counterparts, could prepare and conduct a closely facilitated effectiveness/sustainability learning workshop, informed by GIS inputs and other materials to map existing and proposed SW interventions, and co-design a strategy.

5. Review the SW strategy for assisting LGUs in accessing GPH financing in light of the emerging impacts of the Supreme Court's Mandanas-Garcia ruling. One immediate impact may be LGU underspending in capital investment projects and missed opportunities in water sector financing.[2] SW, together with partner LGUs, should review the changed context, approach, and results to date concerning the project's efforts to secure WSS financing. SW should consider expanding rapidly the support to LGUs in the three provinces to assist in developing WSS and WRM investment projects based on the extensive planning activities conducted in Year 3. This might include subcontracting of engineering firms to assist partner LGUs in developing a pipeline of fundable projects.

6. *Engage GPH partners to sustain WRM interventions.* The Department of Environment and Natural Resources (DENR), through the River Basin Control Office, can possibly play a key role in

[2] See World Bank. (2021). *Philippines Economic Update. Navigating a Challenging Recovery*. Washington DC: World Bank. Pp. 30-49.

facilitating collaboration among LGUs, and regional/local agencies of DENR can provide support for sustained management of water sources within the watershed. For these agencies to be effective in these respective roles, SW should assess the level of commitment of the agencies to take on such a role and analyze and address the capacities that will need to be strengthened. SW could support DENR to create a WRM project bank, or similar mechanism, to maintain a pipeline of project packages for funding by government, or through other sources.

7. *SW should revisit its strategy of supporting PES and increase efforts in this area.* This review should start with a rapid assessment of implementation to date. PES schemes offer an important mechanism to sustainably finance future conservation initiatives, and they are one of the best ways to support local community participation and buy-in. SW should give this work a higher priority in terms of focus and resources. This could include a more comprehensive approach that focuses on activities such as financing studies, establishing payment rate schedules and deciding who will pay, advocacy for adoption, developing regulations, and supporting management structures for the collection and disbursement of funds—activities that require a focus and level of effort well beyond providing orientation workshops.

8. *Revisit the OBA-BF strategy to ensure it meets the needs of targeted households and is financially viable.* This could be done through a robust third-party assessment, complemented by participatory workshops with partners. If viable, effort should be made to expand the program so as to achieve some level of meaningful scale, including by ramping up outreach efforts to LGUs and communities. To have success at scale, the activity may require a national or LGU government champion with sufficient resources to implement a critical mass of these local schemes.

9. *Conduct an assessment of the sustainable livelihood interventions with private sector partners to identify achievements and challenges, including a robust evaluation of monetary benefits.* The SW reporting on this intervention is deficient, lacking basic quantitative data on monetary benefits. The assessment should inform better monitoring and reporting on this indicator, including a revision of the respective indicator data reported in the annual progress reports. It can also inform the design of a scaling-up/replication strategy for the remaining LOP. Given the time constraints, SW might consider using rapid assessment approaches. If the findings from these assessments are positive SW and partners should go on to develop materials for replication and extend the programs to additional watershed communities. Ideally, these activities will have a strong environmental rationale and be linked to the objectives of watershed management plans.

10. *Review and improve SW's reporting format and contents.* The current format uses extensively "snapshots" of activities. SW had very low rates of completion of its proposed interventions in Y2, yet met a large number of its targets. This is a major anomaly, suggesting that the SW MEL indicator target set does not adequately represent the full range of SW approaches and interventions. For this reason, the annual progress reports are important in documenting SW results. Moreover, the information on the different key approaches and interventions in the annual reports is dispersed and incomplete, making it difficult to understand whether the program has implemented AWP activities and what were the results. In this sense, it does not provide the needed accountability to USAID. We recommend a more syntopic approach, using tables and graphs to summarize interventions across the SW sites, and using text boxes,

infographics etc. to highlight relevant examples. Whatever the format, the progress reports should state unequivocally whether the planned activities were implemented completely, partially, pushed into the following year, etc.

11. *Conduct a robust DQA and data audit on SW indicators, including both F Indicators and Custom Indicators.* The evaluation team found inconsistencies in reporting on several SW indicators, and important gaps in descriptions of data sources for others. The indicators on financial resources mobilized and material co-benefits of livelihood interventions are particularly problematic. The indicator on financial resources mobilized clearly contravenes GCC guidelines, and SW's explanations for the change in indicator calculation are not convincing. The review should go beyond the common "checklist" used for DQAs to include a review and analysis of the evidence used in calculating indicator values and an assessment of its quality through data audit techniques. On the basis of the quality assessment and data audit, if required, SW should make the respective changes in indicator calculations for Years 1 to 3 and for the remaining LOP.

This evaluation report includes a statement of difference beginning on page 51.

EVALUATION PURPOSE AND QUESTIONS

The Safe Water (SW) Project aims to improve water security for water-stressed communities in the Philippines. Improved water security entails increased access by underserved or unserved communities to safe water supply and sanitation (WSS) services and more sustainable management of water resources to meet human, economic, and ecosystem needs. SW's objectives, expressed as intermediate results (IRs), are as follows: 1) increased and improved access to resilient WSS services, 2) improved sustainable management of water resources, and 3) strengthened water sector governance (WSG). SW uses an integrated approach that emphasizes technical assistance (TA) and capacity building for greater sustainability.

EVALUATION PURPOSE

This midterm evaluation reviewed SW's performance from 2019 to 2022 (the project's first two and a half years of operation). Specifically, it assessed the relevance, effectiveness, and sustainability of SW's key approaches for meeting its outcomes.

The evaluation will help USAID review and adjust program implementation to better achieve the project's objectives as well as providing lessons and insights that will inform the design of future USAID/Philippines water security activities.

EVALUATION QUESTIONS

Table 4 shows the evaluation questions for each evaluation criterion.

Table 4. Evaluation Questions for Relevance, Effectiveness, and Sustainability Criteria

Main Question	Sub-Questions
Relevance	
1. To what extent have Safe Water's three key approaches responded to the needs of local stakeholders to improve water security? **2.** Are these approaches sufficient to address the local water security challenges?	1. What is the critical element to improve water security in your area? Are the key approaches going in the right direction, deficient, not what is needed, sufficient, in meeting the need? 2. Do the proposed water and sanitation facilities' capacities address the need of the targeted beneficiaries, both males and females? Do the identified/proposed interventions in the watershed include both spatial and temporal elements? What other strategies and opportunities can SW employ to improve the intervention? (WSS, water resource management or WRM) 3. What are the challenges encountered by implementers (related to planning, maintaining/financing, sustaining) towards attaining the 3 IRs? How were these challenges addressed and/or improved by SW? 4. Are potential impacts of climate change considered in the different key approaches of the program? Are the proposed WSS facilities designed to be resilient to climate change?
Effectiveness	
1. To what extent are/were the project objectives (3 IRs) achieved or likely to be achieved through Safe Water's 3 key approaches? **2.** What are/were the major factors, such as the	1. What training topics were provided to come up with a science-based water security plan? Was knowledge gained from the training useful in planning and implementation? In what ways? How are the different stakeholders determined/identified in each project intervention (for implementing partner)? 2. Are the water and sanitation facilities constructed and operated according to the design criteria? Given there is a pause in the

Table 4. Evaluation Questions for Relevance, Effectiveness, and Sustainability Criteria	
Main Question	**Sub-Questions**
COVID-19 pandemic, that are influencing the achievement and non-achievement of the objectives?	implementation, what must be the reason behind and measures on how to implement the projects? 3. What do you see is the role of the watershed management councils (WMCs) and their technical working groups (TWGs) in managing the watershed? Can this structure effectively manage the watershed? In what specific ways? What are your suggestions to further improve the effectiveness of the watershed management council?
Sustainability	
1. What is the likelihood that the mechanisms and initiatives of SW can be sustained (and possibly replicated) after the completion of USAID's support? **2.** What elements are or need to be in place to ensure sustainability?	1. Do you have a water security plan developed? Is there a budget appropriation for its implementation? Were personnel trained to monitor and evaluate the plan? 2. Are there any legal or financial mechanisms, agreements or strategies that are being put in place to sustain the identified/potential interventions in the watershed even after the project? 3. In what ways did the implementing partner engage the different stakeholders in the planning process, implementation, and monitoring? What is the proportion of males' versus females' participation? 4. What are the potential risks that would likely affect the operations and maintenance of these facilities? What is the likelihood that the major reform initiatives by the SW be adopted by the stakeholders?

BACKGROUND

USAID designed the SW Project to assist the Philippine government to sustain gains made in the WSS sector, address sector gaps, capitalize on the efforts of predecessor water and sanitation-related projects, and expand the scope to include resource management for sustainability of water supply—in terms of both quantity and quality.

SW uses an integrated approach that emphasizes TA and capacity building for greater sustainability to achieve these overarching targets during its five-year implementation period:

- 1.1 million people receiving improved water supply service quality
- 272,000 people gaining access to primary or safely managed sanitation services
- 1 million people benefiting from the adoption and implementation of measures to improve water resources management.

SW's theory of change is as follows: **IF** the Safe Water Project partners effectively works with sector stakeholders to:

Figure 1. SW study sites

1. Develop and disseminate accurate and reliable information on the state of water resources, climate change impacts, and domestic demand projections.
2. Strengthen the capacity and competency of sector actors to interpret, analyze, and use data for decision-making.
3. Develop integrated and coordinated planning platforms for water and sanitation service providers and water resource managers.
4. Strengthen the enabling environment for the effective regulation, financing, and rationalization of institutional roles in the sector.

THEN national and local government institutions will be able to develop and implement the long-range policies necessary to balance sector investment, WRM, and domestic needs for improved and expanded water and sanitation services,

WHILE water and sanitation service providers will have the ability and the motivation to adopt measures to support water resource protection, efficiency, and financial sustainability in operations, **AND** water consumers will have the knowledge and will to support a sustainable sector through water resource protection, efficient water use, and willingness to pay,

LEADING TO an integrated, evidence-driven, and institutionalized governance and investment framework that will sustain water resources and water and sanitation services for the long term,

THEREBY improving water security for water-stressed communities in the Philippines.

The SW Project's key approaches and interventions are presented in Table 5.

Table 5. Key Approaches and Associated Interventions

Key Approaches	Associated Interventions
Water Security Planning and Implementation	• Science/evidence-based planning • Local government unit (LGU) institutional strengthening with the creation of WSCs and technical working group (TWG) • Programming for WSS and WRM • Localization of Philippine Water Supply and Sanitation Master Plan (PWSSMP) national targets
Mobilizing Finance for Water Supply and Sanitation	• Facilitating access to national and local government funding • Facilitating access to market-based financing from government and private financing institutions • Facilitating public-private partnerships (PPP) • Piloting the output-based aid and blended finance (OBA-BF) for household sanitation
Sustaining Water Resource Management	• Private sector partnership and engagement • Establishment/scaling of payment for ecological services (PES) • Support to upland communities on sustainable livelihood • Develop integrated watershed management plans or in some cases, local watershed conservation and restoration plans • Help LGUs establish or reactivate watershed management councils

SW focuses its field activities on the following towns, cities, and provinces (see Figure 1 above).

- Puerto Princesa City, Palawan province, and the Irawan watershed, which is the primary source of bulk water for Puerto Princesa Water District. This site includes an emphasis on the Montible watershed to diversify the natural water sources and address the city's growing water shortage. Currently, water and sanitation development programs are being implemented in the towns of El Nido, Narra, Quezon, Rizal, San Vicente, Salvacion, Busuanga, Coron, Linapacan, and Culion.
- General Santos City and Sarangani Province, covering the Buayan-Malungon River Basin, which encompasses seven watersheds in three provinces: Sarangani, Davao Occidental, and South Cotabato. These watersheds connect in Sarangani Province and discharge into Sarangani Bay along the eastern edge of General Santos City. The Buayan-Malungon River Basin, upstream of General Santos City, serves as SW's water resource management demonstration site. Water and sanitation development interventions are being implemented in the areas of Alabel, General Santos City, Glan, and Maasim.
- Bacolod City and Negros Occidental province, with coverage of the Upper Caliban River headwaters, which is the supply source of the Bacolod City Water District. To diversify the sources of raw water and address the water shortage in the province, the project also focuses on the three central watershed forest reserves in the province—namely, Bago River Watershed, Ilog-Hilabangan Watershed, and Kabankalan Watershed. Water and sanitation development programs are being implemented in the cities of Bacolod, Bago, La Carlota, Silay, Sagay, Talisay, and Cadiz, and the towns of EB Magalona, Isabela, and Murcia.
- SW also provides technical support and capacity building to national agencies for improved WSG.

EVALUATION METHODS AND LIMITATIONS

METHODOLOGY

The evaluation team used a qualitative methods approach, collecting data through key informant interviews (KIIs), focus group discussions (FGDs), focus group interviews (FGIs), and case studies. Secondary data were also generated via document review of relevant comparative literature, sector studies on the Philippines water sector and water sector policies, Government of the Philippines (GPH) policy documents, and SW program documents. Case studies were completed for each of the three provincial study sites to provide more in-depth information on the project's accomplishments.

The analysis was guided by the framework employed by the World Bank in its multi-country study on the sustainability of rural water supply systems[3] as a reference in understanding the linkages and synergies of SW's three key approaches. In alignment with the World Bank framework, there are four levels of analysis: 1) national, 2) watershed or sub-watershed, 3) local government, and 4) community (Table 6).

[3] World Bank Group. 2017. Sustainability Assessment of Rural Water Supply Service Delivery Models: Findings of Multi-Country Review.

Table 6. Levels of Analysis	
Levels of Analysis	**Type of Respondents**
National Government Level	National Economic and Development Authority (NEDA), National Water Resources Board (NWRB), Department of Interior and Local Government (DILG), Local Water Utilities Administration, Department of Environment and Natural Resources (DENR)-River Basin Control Office
Watershed or Sub-watershed Level	Watershed management council, Protected Area Management Boards, Protected Area Superintendent, Provincial Environment and Natural Resources Office (PENRO), Community Environment and Natural Resources Office
Local Government Level	Province, municipality, *barangay*
Community Level	Service providers, Water Districts, *Barangay* Water and Sanitation (BAWASA), private concessionaires, nongovernmental organizations (NGOs), and other private sector partners

The team used the following criteria to select sample study sites: 1) Watershed or sub-watershed with at least one intervention from each of the three key approaches (planning, mobilizing/financing, sustaining); 2) One upland town and/or one *barangay* within the upland town, with at least one intervention from any of the three key approaches; 3) At least one community organization in the upland town that handles natural *resource management; 4) One lowland town/city and/or one barangay within the lowland town with at least one intervention from any of the three key approaches; and 5) At most, three types of water service deliverers in the lowland areas (water district, BAWASA, private concessionaires).*

To generate the study areas to be sampled, the evaluation team first generated maps of the six SW study watersheds, superimposing the municipal boundaries. The team then superimposed SW interventions on these maps to identify the sample study sites. The maps made it easier to determine probable watersheds of interest in a province. After selecting one for each province, the team conducted a crosswalk exercise to identify upland and lowland areas within the watershed with clusters of interventions to determine the most ideal study sites. The team finally selected the following study sites with the most interventions (Table 7):

Table 7. Selected Study Sites			
Province	**Watershed/River Basin**	**Upstream**	**Downstream**
Palawan	Montible	Montible	Puerto Princesa
Negros Occidental	Bago	Murcia	Bago City
Sarangani	Buayan-Malungon river basin	Alabel	Alabel

Details of methods are in Annex III. The data collection and analytical tools are in Annex IV. The list of respondents is in Annex V.1.

A total of 128 respondents participated in data collection, 42 percent of which were females. MS Excel and NVivo software were used to process data. Qualitative data approaches used for the analysis include the content analysis, thematic analysis, and gender analysis. The quantitative tools of descriptive statistics and data visualization were used in analyzing "quantitized" variables. Triangulation was undertaken to combine and compare the qualitative analysis from the KIIs and the FGDs and case studies with data and information generated from document review. Questionnaires for the KIIs, FGDs, and case studies can be found in Annex IV.

LIMITATIONS

The evaluation methodology has the following known limitations:

1. Use of qualitative methods and data analysis only: This evaluation will not be able to use sample surveys, as the SW team engaged only the institutional stakeholders. This is a performance evaluation of SW, not of its partners.

2. Absence of monitoring data or special studies on the progress of individual interventions within the key approaches. The SW Monitoring, Evaluation and Learning (MEL) Plan does not contain indicators for specific interventions. For example, from the periodic progress reports or the MEL Plan performance indicator reference sheets (PIRS), it is not possible to assess the implementation of the water sector plans, the operationalization of planning bodies, the improved institutional capacities of LGU counterparts, the effective protection of watersheds, the rate of return of livelihood interventions or changes in incomes accruing to participants, etc.

3. The SW progress reports are sometimes difficult to interpret as to the completion of proposed annual work plan (AWP) interventions; indeed in about a fifth of AWP interventions it was not possible to determine whether they had been implemented. Also, in many of the interventions there is a lack of key technical details. Documentation of indicator data is spotty. See more details in the following section on SW Reporting.

4. Focus on domestic water supply only: While the framework would be on watershed approach, the evaluation will mainly consider the supply of domestic water supply for water, sanitation, and hygiene (WASH). The study does not cover the water supply for irrigation, power generation, and other uses.

5. Establishing and strengthening institutions and capacity for WASH: With SW being only in its third year of its implementation, measuring the increase and improvement of water quality is not yet possible. Instead, the evaluation mainly evaluates SW's performance in terms of institutional strengthening, capacity building, and mechanisms and tools introduced so far to achieve the foundational outcomes. The evaluation will likewise highlight the intervention in facilitating access to sources of financing. These are all precursors to ensuring the delivery of outputs and achieving the three IRs on WSS, WRM, and WSG.

6. Self-reported data: KII, FGI, and FGD data will depend on what respondents can remember and what they elect to say. There may be cases of "courtesy bias," common to operational research.

7. Delays in secondary data collection in LGUs and national agencies: Work-from-home restrictions prevented some secondary data from being gathered on time because of the absence of people with knowledge of the databases.

A NOTE ABOUT SW REPORTING

While not mandated by the evaluation scope of work, one finding of the evaluation is that SW's periodic progress reports are deficient in several aspects. This made it more challenging for the evaluation to assess the relevance, effectiveness, and sustainability of the key approaches and their respective interventions. As mentioned in the section on Methodology, in all three years there was a large proportion (one-fifth to one-quarter) of proposed AWP interventions whose implementation could not be assessed due to lack of clarity in the periodic progress reports.

The SW periodic progress reports use graphic layout, infographics, and photographs to communicate results to readers. The report is attractive and there are good graphics, but overall the result is a welter of graphic information that makes many of the technical aspects of SW implementation difficult to apprehend. Much of the report is given over to short, narrative snapshots of the work with counterparts with disparate formats and contents. Small initiatives such as focused TA to resolve a minor water system technical problem are given as much space as larger-scale interventions. Significant space is given over to infographics to present information that could be explained in a few lines of text. There are sidebars to present water sector issues that do not contribute much to an understanding of SW's implementation challenges and results.

This is all to say that for many of the interventions under the key approaches, the periodic progress reports dedicate too much space to the snapshots of site-based activities, which provide scant or scattered information on the "how" of implementation, and not much of anything on the "so what" of the interventions as a whole. For example, the way the periodic reports are organized makes it taxing to identify the actual number of partner LGUs and watersheds in which SW carried out specific interventions in a given period, or to examine the entire suite of interventions in any particular partner institution or group of institutions, the dates and sequencing of interventions, etc. While there are narrative sections on each province, they are populated by snapshots. This was particularly problematic with respect to reporting on the results of livelihoods interventions, which made it difficult for the evaluation team to assess their effectiveness.

The progress report format badly needs synthetic narrative sections and summary tables describing the approaches and tools and how they are applied across the sites, not just infographics. Despite this difficulty with the program reports, the evaluation team has endeavored to triangulate the findings from reports with available indicator data and the findings from the KIIs with SW counterparts. The recommendations section of this report includes specific recommendations for improving SW reporting, presentation of the indicator data and MEL strategies in the remaining LOP.

FINDINGS AND CONCLUSIONS

The following sections summarize this evaluation's findings and conclusions with respect to relevance, effectiveness, and sustainability. Recommendations are presented in the final section of the body of this report. The details of the effectiveness analysis are in Annex VII. Analysis of tabulated quantitative and qualitative data from KIIs and FGIs are in Annex VIII. Case study details are in Annex IX.

EVALUATION QUESTION 1: RELEVANCE

To what extent have SW's three key approaches responded to the needs of local stakeholders to improve water security? Are these approaches sufficient to address the local water security challenges?

SW seeks to achieve its overall goal of improving water security for water-stressed communities in the Philippines through the following three IRs:

- IR 1: Increased and improved access to resilient water supply and sanitation services
- IR 2: Improved sustainable management of water resources
- IR 3: Strengthened water sector governance

As discussed in the Background section above, SW developed three key approaches and a set of 12 associated program interventions across the project's three IRs. This section evaluates the relevance of these approaches and program interventions deployed in each IR. The findings presented in this section overlap to a great extent with the findings under Evaluation Question 2 in relation to the effectiveness of the approaches and interventions in achieving the three IRs.

In seeking to answer the evaluation questions on relevance, the evaluation team examined the structure of the project's design framework and its relationship to local plans and priorities, and also examined the degree to which the project is delivering the services as per the intended design. In addition, the team consulted stakeholders to determine if they felt the interventions delivered were relevant to their programmatic needs.

Findings on Overall Relevance

Before assessing SW interventions in each of the SW IRs, it would be helpful to discuss briefly the findings of the evaluation with respect to the relevance of the overall program strategy and approaches. The evaluation team found that SW's AWPs, MEL Plan, periodic progress reports, and other program documents emphasize the concept of an Inclusive Water Security Framework (IIWS Framework) that involves household consumers, the LGUs, water service providers (WSPs) and watershed committees (WCs), but also "supportive national agencies that enable service expansion," private actors to operate and finance WSS infrastructure, and community and civil society actors to support participatory planning and resource allocation, as well as community actions to protect watersheds.

SW has highlighted in the program documents that its overall approach is inherently place-based, because "the way in which water is accessed, stored, managed, consumed, and disposed of changes from community to community and watershed to watershed." Yet, the approaches deployed by SW also operate on multiple levels, in order to address the challenges that are caused by the fragmentation and institutional weaknesses of WSG in the Philippines—issues that have been identified as critical factors by multiple assessments of the water sector in recent decades.[4] The current PWSSMP incorporated many of the recommendations of these studies and has proposed multiple policy reforms, now in progress,

[4] See a summary of these studies in L. G. Velasco et al (2021). "The Philippine Local Water Sector: Institutional Issues in Supply Governance." *Philippine Journal of Development*, Volume 45, Number 2.

including establishing more effective institutions, strengthening regulations, ensuring effective WSS services, and enabling access to funding.

In the design of the WSS and WRM approaches and interventions, as well as the WSG approaches, there were multiple entry points to the most relevant national entities: National Economic and Development Authority (NEDA), National Water Resources Board (NWRB), Local Water Utilities Administration (LWRB), Department of Environment and Natural Resources (DENR), and the Forest Management Bureau (FMB). The evaluation found that SW's theory of change, program approaches, and interventions were relevant and responsive to the current GPH policy reform agenda in the PWSSMP and in other recent GPH policy initiatives in the water sector.

One key SW intervention was the support for the GPH's new financing policy, the Unified Resource Allocation Framework (URAF). A critical part of the PWSSMP reform agenda, URAF was intended to create a single policy and process for mobilizing and allocating WSS financing. SW continued the work started under USAID's previous activity, WASH-FIN (Water, Sanitation and Hygiene Finance), to assist NEDA in implementing URAF, drafting policies and procedures and also assisting Local Water Utilities Administration (LWUA) to adapt its processes.

The evaluation team also found that during the period of performance assessed by the evaluation, SW's interventions in fact were designed and implemented in close collaboration with GPH and multiple non-governmental stakeholders. In all the SW AWPs, the program has focused on supporting local actors to map systems and vulnerabilities; convene stakeholders around site-specific challenges, using data to create consensus; assist stakeholders to design and implement targeted interventions; and monitor and evaluate interventions for impact and sustainability.

- For the design of the Year 1 AWP, SW management and staff dedicated two months (February-March 2020) to consultations and co-design activities with the GPH at the national level and with sub-national authorities. These exercises allowed SW to validate and adjust its approaches and to finalize selection of the program sites (watersheds).

- During Year 1 implementation, SW conducted further consultations with GPH entities, including DENR, the FMB, and the River Basin Control Office to define specific activities.

- The preparation of the Year 2 AWP also involved consultations with NEDA and other GPH entities. The consultations extended to the sub-national partners, too, through "pause and reflect" events in in each province, culminating with stakeholder workshops to identify opportunities and challenges.

- In Year 2 SW facilitated three memoranda of understanding (MOUs) between USAID and the counterpart provincial governments. SW's work with the provinces hinged on developing the Provincial Integrated and Inclusive Water Security Framework (PIIWSF). SW presented the PIIWSF to the three provinces in pause and reflect Sessions, as a guide for the LGUs as they prepare their water security plans. Provincial governments of Negros Occidental and Sarangani committed to preparing their water security plan, creating teams to lead the process.

Another key finding concerns SW's engagement with Philippine non-governmental partners. Alongside its collaboration with GPH entities at national and sub-national levels, SW has engaged diverse NGOs with the purpose of leveraging their knowledge and capacities towards achieving the activity's objectives across all three IRs. In Year 1, SW signed three MOUs with three organizations; in Year 2, SW signed an additional five MOUs; and at the time the evaluation field work was under way in Year 3, SW was in negotiations with another four organizations to cooperate in specific program activities.

Findings on Relevance of Approaches in IR 1: Water Supply and Sanitation

SW's approach to WSS is to provide capacity development support for LGUs, WSPs, and WCs in the targeted provinces to improve access to WSS services for unserved and underserved households and to manage sustainably water resources. Within this approach, the main interventions are:

- Facilitating access to (GPH) national and local government funding
- Facilitating access to market-based financing from government and private financing institutions
- Facilitating PPPs
- Piloting the OBA-BF for household sanitation

Facilitating access to GPH funding. Within this IR, a key approach is to increase financing for water and sanitation services areas and has prioritized identifying and facilitating access to available financing sources. In Year 1 of SW activities, the GPH/URAF funding allocation for WSS had already been decided. Thus, with respect to URAF, SW focused its efforts in assisting partners in preparing projects for FY 2021 and FY 2022, to identify eligible projects; develop capacities for project planning, design, and budgeting; and to respond to URAF conditionalities. As well as helping to identify opportunities with URAF's viability gap financing for expansion projects, grants or concessional loans for efficiency improvement projects, SW was also focused on accessing LGU budgets, commercial financial sources, and international (multi and bi-lateral) funding.

Market-based financing. The approach here is to link LGUs and WSPs to government and private commercial lenders. As we discuss below in the section on Effectiveness, SW has made slow progress in this intervention. While the SW approach emphasizes capacity of WSPs to identify, design, and manage bankable projects, it is not clear how this fits within the newly created URAF policies and protocols. The SW progress reports are short on detail on this point. Also, it is challenging to assess how relevant SW's approach can be at this moment, as the water sector policy reform process continues to evolve.

Output-based aid and blended financing. With respect to SW's "proof of concept" for OBA-BF financing, the evaluation team found that the pilot program is relevant to GPH WSS requirements in its focus on provision of services to underserved vulnerable populations and its replication of international best practices. Similar programs targeting poor communities in Bangladesh, for example, have produced satisfactory results from the combination of targeted subsidies and micro-finance loans to participating households, with virtually a 100 percent satisfaction rating from participants.[5] The approach also has potential for incorporating a strong gender component, relevant to SW's efforts to incorporate gender

[5] World Bank/GPRBA (2021). "Bangladesh OBA Sanitation Microfinance Program," RBA Case Studies.

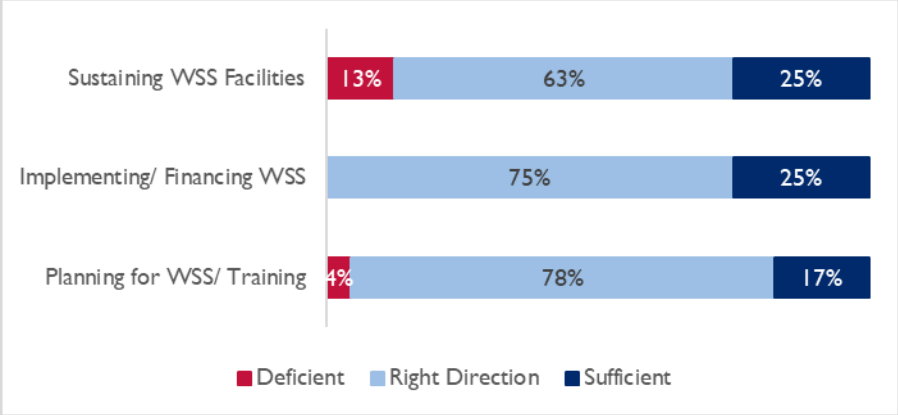
and women's empowerment into program design. A major doubt concerns GPH policies to support OBA-BF mechanisms, which would provide the targeted subsidies at scale.

Public-private partnerships. SW is also lending support to Negros Occidental to identify opportunities for PPPs to finance bulk water supply projects. PPPs in the WSS sector are common in developing countries and have evolved considerably in terms of approach and design.[6] In the Philippines, there appears to be considerable potential: the Department of Budget and Management (DBM) lists 49 WSS PPPs as of 2022, mostly in the form of joint ventures, with an average cost of $ 35M.[7] The proposed SW initiative to support PPPs at the provincial level has the potential to be relevant, but the evaluation finds that it is at best incipient and cannot be assessed. This is discussed in the section on Effectiveness.

SW Stakeholder Views

The majority of WSS respondents indicated in interviews that the key project interventions are proceeding in "the right direction," as shown in Figure 2 below. This covers the support that SW provides for maintaining and sustaining water supply facilities and infrastructure, efforts to finance existing and new water supply systems, and training and TA provided to develop plans and projects to ensure an adequate supply of safe water for target populations. One respondent in the water district stated that "SW's assistance allowed us to complete the Water Security Plan and the Integrated Watershed Management Plan."

Figure 2. Respondents' perceptions of SW WSS performance to date



The deficiencies indicated in the above table refer to the following: under planning/training (sanitary inspectors indicated they require further training to perform their responsibilities), and inadequate

[6] PPPs are being used increasingly by public utilities in a more focused way, to manage a specific subset of activities or challenges, such as increasing energy efficiency and water availability through non-revenue water management, or development of a new water source. The focus is on performance-based contracting, with payments against outputs. See examples in World Bank PPP Legal Resource Center. https://ppp.worldbank.org/public-private-partnership/water-and-sanitation/water-sanitation-ppps

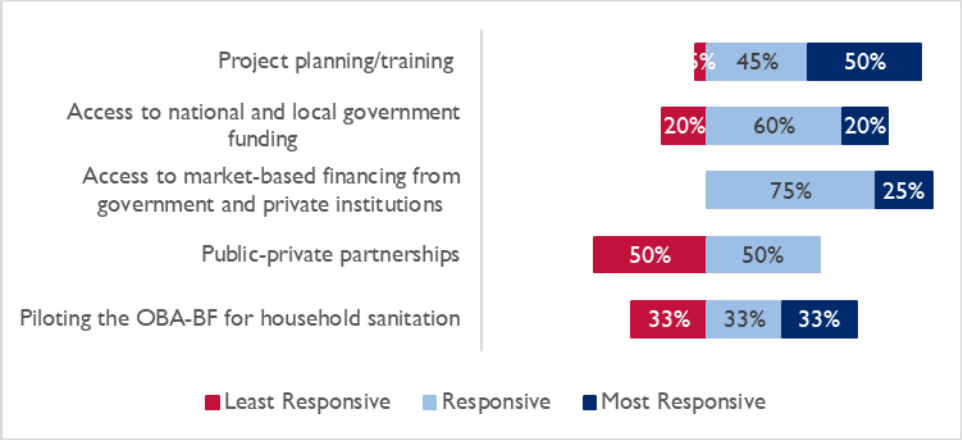
[7] This average is calculated excluding the two very large scale concessions in Manila. See DBM list of PPPs at https://www.dbm.gov.ph/wp-content/uploads/BESF/BESF2023/I2.pdf

capacity building (plumbers indicated they need hands-on training after the theory training to be able to competently perform required tasks).

Figure 3 below shows the responsiveness of financing efforts for WSS. While overall, the respondents saw the efforts as going in the right direction, or as sufficient, the answers to questions about specific interventions showed some disagreement on the part of stakeholders.

The following comments relate to assistance in this area: "No approved financing assistance yet" (water district respondent). Also, respondents indicated that efforts to form PPPs for water supply have not been fully responsive (50 percent indicated least responsive/not very responsive). This may be explained by the fact that securing financing for large-cost projects can require years of effort to complete the necessary technical and financial proposals. However, in the areas that the evaluation team visited, there was little evidence of activity related to funding/investment for WSS efforts, either from the government or the private sector.

Figure 3. Level of responsiveness of SW interventions



Findings on Relevance of Approaches in IR. 2 Water Resource Management

The WRM component of SW comprises a suite of interventions:

- Private sector partnership and engagement
- Establishment/scaling of PES
- Support to upland communities on sustainable livelihood
- Development of integrated watershed management plans (IWMPs) or in some cases, local watershed conservation and restoration plans (LWCRPs)
- Helping LGUs establish or reactivate WMCs

While the interventions listed here are the main subject of the evaluation in relation to WRM, it should be noted that one of SW's most prominent interventions in WRM has been the provision of scientific studies of the state of water resources, completing 65 hydrologic studies for watersheds in the SW focus areas that showed the probable decline of available water resources in coming decades due to climate change, population growth, urban pollution, and deforestation, among other factors.

An indicator of the relevance of the hydrological studies was the decision by a key national GPH entity—the FMB—to utilize the studies to prioritize areas for its reforestation efforts. Another indicator was the reception of the partner LGUs. The presentation and discussion of the studies to GPH entities, LGUs, WSPs, and other community stakeholders was followed by the decision of provincial governments of Negros Occidental, Sarangani, and the city government of Puerto Princesa to formulate long-term water security plans.

Private sector engagement. SW's approach has been to engage non-profits, private sector foundations, and corporate social responsibility (CSR) programs to collaborate with communities, usually through People's Organizations (Pos) on sustainable agricultural livelihoods. This is linked to mobilization of financial resources, convening of watershed actors, visibility of initiatives, and private sector leadership. Overall, the evaluation team finds that the strategy is relevant to SW goals of promoting broad participation and support for watershed conservation. However, from international experience, an issue that sometimes emerges is to what extent corporate sponsors of the foundations and CSR initiatives have interests in water resources within in the targeted watersheds; how these interests relate to their investments in watershed conservation; and how these interests are balanced with community interests, especially in the case of vulnerable communities.

Watershed plans. To this end, in Years 2 and 3, working in close coordination with DENR, SW provided detailed TA to these three LGUs to prepare IWMPs and LWRCPs. The IWMP planning process facilitated by SW involved both LGU and non-governmental stakeholders, with participation of women and youth leaders from the barangays in the watershed areas, as well as from indigenous communities. In Year 3, the overall WRM planning process continued with support for the LWCRPs for municipal and city governments for planning and budgeting of watershed projects.

Watershed management councils. In Years 2 and 3, again alongside DENR regional offices, SW has also assisted with the creation and reactivation of WMCs with buy-in from LGUs and NGOs. In Years 2 and 3, SW engaged with DENR and provincial and city/municipal governments to reactivate three WMCs: the Bago Watershed, Bauyan-Malungon River Basin Watershed (BMRB) and the Palawan Flora, Fauna and Watershed Reserve. New WMCs were established in Year 3, in Roxas, Dururan, Quezon, and Rizal. The activation and creation of these WMCs is critical for overcoming institutional fragmentation and facilitating LGUs to come together on joint activities. In the KIIs with SW staff in the provincial sites, the evaluation team was told that this intervention is particularly relevant for achieving and sustaining IR 2 results in the long term. Yet, as we discuss below, it is also one of the more challenging elements of SW's efforts to strengthen WSG as it requires building consensus and buy-in from multiple local actors to sustain these institutions.

Payment for ecological services. Another of the interventions within SW's WRM approach is support for establishing and scaling up PES initiatives. In Years 2 and 3, SW conducted assessments to inventory ecosystem goods and services (EGS), presented concepts and approaches to seven interested LGUs, and assisted two LGUs in creating TWGs for PES implementation and supported the deployment of tools for valuing and pricing EGS. Assessments of international experience have identified many positive

examples of environmental and socio-economic outcomes of PES programs.[8] In the Philippines, too, there is some evidence of successes with PES, but also many unresolved bottlenecks, whose elimination might require new legislation and regulations at the national level.[9] In this sense, SW's work on PES in the watershed areas, while undoubtedly relevant to overall program goals, is at best incipient. Its effectiveness and sustainability will depend on policy reforms led by DENR and the FMB, which is one of the focus topics of SW's work in IR. 3 Strengthening water sector governance.

Sustainable livelihoods. Another intervention within SW's approach to sustaining WRM is support for sustainable livelihoods within watersheds. Over Years 1, 2, and 3, SW signed 19 partnership agreements with private organizations to develop or improve capacities of watershed communities or POs for sustainable, economically viable, non-extractive livelihood activities in the target watersheds. The activities include sloping agricultural land technology farming for steep slopes; organic vegetable farming; and sustainable practices of traditional farming of ube (purple yam), coffee, and cacao. The activities with SW partners use value chain strategies to access inputs, increase productivity, reduce losses, and add value in post-harvest processing, and to link growers to markets, including to large scale agro-industry enterprises and wholesalers.

There is considerable international experience with watershed conservation programs with sustainable livelihoods components. Early, large-scale watershed programs supported by government agencies used a "ridge-to-valley approach" whose objectives were mainly bio-physical and often were unsuccessful.[10] More recently, "holistic and integrated" watershed management approaches have come to the fore, which involve hydrological, biophysical, and socioeconomic systems, going beyond soil and water conservation to encompass sustainable rural development and livelihoods.[11] These approaches also incorporate community participation as a key factor in effective implementation. The evaluation team finds that SW's approach and interventions to support sustainable livelihoods are consistent with international best practices and in this sense can be considered relevant to the program's overall WRM goals in relation to watershed protection.

SW Stakeholder Views

Based on interview responses from key stakeholders, an average of 95 percent say that WRM interventions are "most responsive," as indicated in Figure 4 below. Among these responses, work in the following areas was considered most responsive to meeting the needs of the stakeholders: the establishment/scaling up of PES, the development of IWMPs or LWCRPs, and the creation/reactivation of WMCs.

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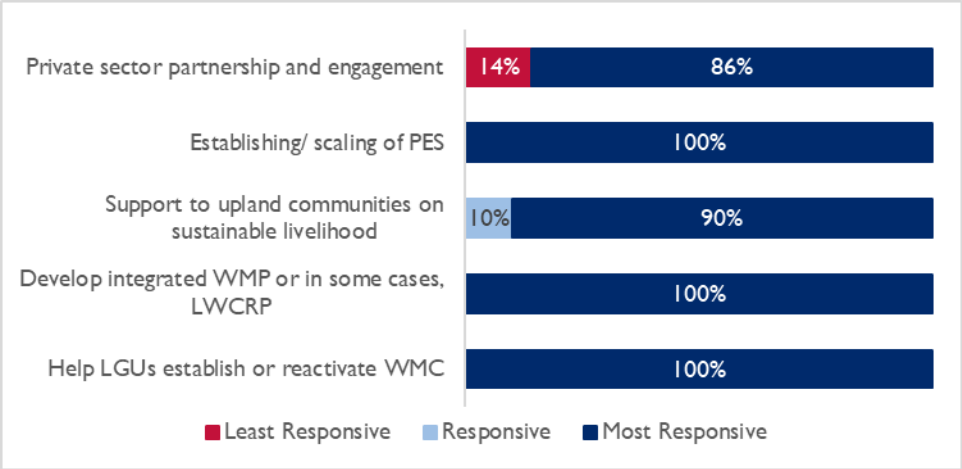
[8] See the inventory of evaluation findings of PES programs in J. Borner, et al (2017). "The Effectiveness of Payments for Environmental Services". In World Development Vol. 96.
[9] S.N. Domingo, et al (2021). "Looking at Payments for Ecosystems Services in the Philippines". Discussion Paper Series No. 2022-49. Philippines Institute for Development Studies.
[10] See J.M. Kerr Kerr, et al. (1998). "The Role of Watershed Projects in Developing India's Rainfed Agriculture". Report submitted to the World Bank. IFPRI, Washington.
[11] V. Ratna Reddy, et al. (2021) "Watershed management in South Asia: A synoptic review". Journal of Hydrology, No. 555.

Figure 4. Respondents' perception of the extent of responsiveness of SW interventions for improved water resources management



Key informants credited project relevance to its provision of relevant data and hydrologic studies that have contributed significantly to the development IWMPs and LWCRPs, and facilitation of workshops that hastened the preparation of the watershed management and land use plans and helped capacitate the participants in various aspects of planning. This work supports science-based provincial water security planning and has included providing LGUs with hydrological studies and geographical information system maps. These plans engage local leaders and other stakeholders to focus on localized policies, regulations, and investments that support both WSS and WRM initiatives.

Informants also valued the support to upland communities on sustainable livelihood (90 percent responded "most responsive") and private sector partnership and engagement (86 percent), the latter of which primarily involves partnerships to support and market agricultural products. The responses in relation to the interventions for establishing PES suggest a strong degree of "courtesy bias," given the scant progress in this area in the first three years of the SW activity. The positive responses on the sustainable livelihoods do not mean the interventions may be producing results in terms of incomes; as we discuss in the section on Effectiveness, this intervention lacks an evaluation strategy.

Respondents believed that funding is the most essential factor to improving water security in the study areas. Other important elements identified included information, education, and communication campaigns and the institutionalization of programs. These latter two elements can potentially increase the adoption of interventions by the different stakeholders. All respondents agreed that SW interventions lead to improved sustainable water management. Regarding strategies, respondents requested further SW TA in preparing plans and expressed a need for continuing support to legally codify the approved watershed management plans.

Findings on Relevance of Approaches in IR 3 Water Sector Governance

Within the key approach of Water Security Planning and Implementation, the associated interventions are:

- Science/evidence-based planning
- LGU institutional strengthening with the creation of water security council (WSCs) and TWGs

- Programming for WSS and WRM
- Localization of PWSSMP national targets

As there is not a one-to-one fit with SW's IR 3, as there is overlap into the other two IRs, here we will discuss the interventions under this rubric and note their relevance for the other IRs when necessary. The SW support for programming for WSS and WRM was discussed above.

National policy reforms. Although not an associated intervention per se, SW assistance for national-level policy development has targeted technical support to NEDA in its efforts to lead the water sector reforms. For instance, SW helped develop the bill proposing the Department of Water Resources (DWR), and the provisions of the URAF; at the time of the evaluation data collection for both of these bills were still under consideration and had not yet been approved.

For NWRB and the LWUA, the interventions consisted mostly of capacity building. The DILG is awaiting the Central Management System (CMS) manual for their adoption in ring-fencing the Municipal Economic Enterprise. Annex X lists the national interventions in detail. Some of these support actions were not part of the focus of interventions for this evaluation. SW's national-level policy support is presented Table 8.

Table 8. Interventions at the National Level

Agency	Type of Intervention	Sample of Interventions
NEDA	TA, Capacity Building, and Advocacy	Assisted NEDA in pushing the DWR bill to Congress, resolution on provisions of the URAF Plan
NWRB	Capacity Building, Research, and TA	Water Demand Assessment Training, Water Audit, Assistance in the strategic plans of NWRB and the water sector
LWUA	TA and Capacity Building	Orientation on water utility assessment tools on the existing water supply system of the water districts
DILG	TA and Advocacy	Supports DILG in ring-fencing of Municipal Economic Enterprise, waiting for SW to prepare CMS manual
DENR River Basin Control Office	Governance, Planning, and Financing	Financing in updating River Basin and creation of Smaller Watershed Management and TWG Project Management Committee, member of Project Management Committee of SW

Science/evidence-based planning. Another intervention has been the development of water security plans and watershed management plans. This work is supported by capacity building for science-based watershed and land use planning and TA to support the creation of WMCs to implement and manage watershed plans. The use of hydrological information has helped localities to ensure that reforestation activities were strategically implemented in high water recharge areas. As mentioned, SW has supported 65 hydrological studies in the focus areas.

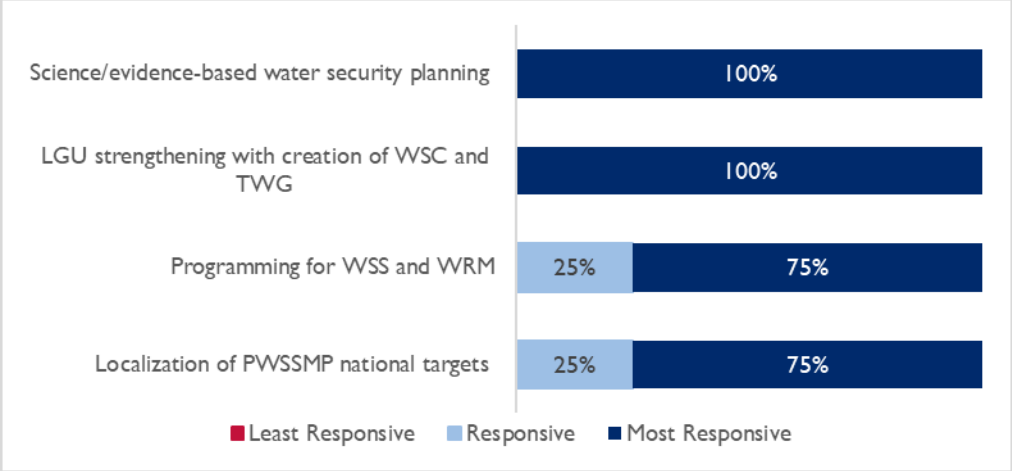
Localization of PWSSMP targets. SW's approach is to work with provincial (and city) governments in the design of integrated water security plans (IWSPs), which purposefully "cascade" PWSSMP localization. The provincial plans allow for coordination with and between city/municipal LGUs in water planning and resource allocation. While this is not exempt from problems in reconciling competing interests, in a devolved, multi-level system of governance, this is probably the most relevant solution.

The evaluation team's document review of GPH policy documents, external studies and assessments, and SW program documents found that SW's approaches and interventions in WSG at national and sub-national levels were closely aligned with GPH policy priorities. KIIs reinforced this finding, in stressing the strong relationships developed with the SW team, which, as we discuss elsewhere in this report, built on the efforts of WASH-FIN and the USAID support in the water sector. On the face of it, SW's key approaches are highly relevant to water sector needs. The national-level respondents suggested that opportunities to improve SW interventions should focus on strengthening institutional vertical and horizontal linkages and supporting collaboration and technical assistance for the Local Water and Sanitation Master Plan. Suggested strategies include learning from localization lessons and institutional arrangements.

SW Stakeholder Views

In terms of the key intervention areas within the WSG program area, 100 percent of respondents said that the water security plans, and the related institutional strengthening, were responsive to meeting their needs (Figure 5). However, at the time of the field data collection only Negros Occidental had developed plans that have been cascaded to the municipal level. Puerto Princesa and Sarangani have not yet gone forward with or completed such plans. In Year 3, Sarangani did complete its plan. Some of the reasons the interventions were considered responsive include data use in decision making and capacity building to develop various watershed management plans. Least responsive scores were given to the localization interventions. Localization refers to the stepping-down of national policies and targets into management plans at the sub-national level. Some of the respondents may not have been aware of the range of SW interventions, hence the more critical assessment. "The localization process is unearthing problems on the ground, revealing the weaknesses of the national level policy and framework. There must be a feedback mechanism by the local to the national level to improve on the vertical/horizontal arrangements" (NEDA).

Figure 5. Respondents' perception of the extent of responsiveness of SW-introduced interventions for improved water governance in meeting need



All respondents agreed that SW's approaches address the water governance challenges in water distressed communities, as shown by the following testimonials:

- "Water security governance framework is operationally simplified among LGUs/on-ground" (NEDA).
- "SW framework responds to the need" (NEDA).
- "Scientific and technical study allowed identification of water sources" (Municipal Environment and Natural Resources Office or MENRO).
- "Provision of water recharge map raised the awareness of the MLGU [municipal LGU] and is helpful for the urban greening for the environment" (MENRO).
- "SW compiled hydrology studies, but [we] need assistance for PES to be clear and operational" (MPDO).
- "The approaches are in the right direction, which is why we requested SW to assist us on how we can attain the SDG [Sustainable Development Goal] target and the different plans for the water sector. Convergence is the key to be able to implement all the plans" (NWRB).

Table 9 below shows the challenges cited in relation to WSG and suggestions on how to address them.

Table 9. Challenges Encountered by Implementers and Ways to Address Them

Challenges	(%)	Ways to Address
Institutional Strengthening Institutionalizing/integrating indicators in the local development plan; establishing a unit/office to staff, implement, and guide the provincial LGU to achieve water security; lack of technical capacity	37%	Institutional Strengthening Adopt indicators to hit national targets; review applicable targets; use a science/evidence-based approach; provide demonstration sites.
Enforcement of regulatory laws Non-enforcement of environment, agricultural, coastal laws/lack of enforcers; economic livelihood that violates environmental laws	21%	Enforcement of regulatory laws Implement/enforce regulatory laws; ensure viable alternative livelihoods are in place,
Advocacy To make localities understand about the program of SW; having partners promote the program; gain support of policy makers for program adoption.	16%	Advocacy Offer refresher courses on the program/interventions; obtain buy-in from local government, stakeholders, and other members; identify a water security "champion"/advocate.
Funding/budget Unavailability of funding	16%	Funding/budget Investment programming through counterpart funding scheme.

Eighty percent of WSG respondents said that the most critical elements in improving water governance in water-distressed communities are leadership, policy enforcement, and community participation. Another critical element they identified is convergence of actions between organizations and programs, as there must be "partnerships from all sectors: NGA [national government agencies], LGUs, CSOs [civil society organizations], private sector. Need for the active participation of all to come up with quality drinking water" (DENR-River Basin Control Office).

Conclusions on Relevance

While a high level of cooperation and consultation with program counterparts is not a guarantee for the relevance of SW interventions, on balance, the evaluation finds that SW is closely aligned to the GPH overall policy reform agenda in the water sector. Interventions with national GPH entities are focused on supporting specific reform initiatives, particularly in areas of planning and budgeting, financing of investment, regulations to strengthen governance, and management of WSS and WRM at sub-national levels. They also build on previous USAID/Philippines water sector programs, especially WASH-FIN, whose strong relationships with the GPH helped DAI in quickly connecting with national counterparts, which was of help when the COVID-19 pandemic fell upon the country, disrupting SW implementation and creating obstacles for continued engagement with GPH entities. As well as its policy alignment, the SW design clearly reflected international best practices in water sector reform and institutional strengthening, especially in proposing an integrated suite of site-based interventions in both WSS and WRM. Related to this, the evaluation concluded that SW's approach to stakeholder engagement at all levels, and its commitment to participatory methods in the design, planning, and implementation of most interventions put SW in "good stead" with counterparts.

Within the WSS program area, SW produced an impressive body of technical inputs to water sector planning. The hydrological studies for watersheds were particularly appreciated by all stakeholders; similarly, with the support to LGUs and WSPs for project design and preparation of project funding packages and strengthening of technical capacities for service delivery. However, some respondents believed the program was not undertaking a fully relevant set of activities in the case for efforts related to securing government financing, and especially in accessing alternative sources of financing, which has been slow to produce scalable results. The challenges related to WSS financing can partly be explained by the fact that securing financing for large-cost projects requires a time-consuming effort to complete the necessary technical and financial proposals.

Within the WRM component, the interventions related to watershed management planning, strengthening WMCs, and community livelihood support clearly reflect local needs and incorporate international best practices. SW's watershed management strategy includes a continuum of activity to improve watershed management—from improved science-based watershed planning, to support for management councils to implement the plans, to work to codify plans into LGU ordinances to enable LGU budgetary support for implementation. SW also works to access funding for watershed management by supporting the development of PES schemes, but which has not yet produced the desired results. Watershed planning is a critical framework for water security planning that SW introduced at the provincial level as a way to strengthen water governance. Stakeholders consider this work to be highly relevant.

EVALUATION QUESTION 2: EFFECTIVENESS

The SW mid-term evaluation scope of work set out the main evaluation questions; the evaluation team added sub-questions to delve into specific issues around the effectiveness of SW's key interventions.

To what extent was the objective on Increased and improved access to resilient water supply and sanitation services achieved or likely to be achieved through SW's 3 key approaches?

- What interventions has the SW introduced that have been effective to achieve or likely achieve the increased and improved access to resilient water supply and sanitation services?

- What training topics were provided to come up with a science-based water security plan? Was knowledge gained from the training useful in planning and implementation? In what ways?
- How are the different stakeholders determined/identified in each project intervention?
- Are the water and sanitation facilities constructed and operated according to the design criteria?

What are/were the major factors, such as the COVID-19 pandemic, that are influencing the achievement and non-achievement of increased and improved access to resilient water supply and sanitation services?

- Given there is a pause in the implementation, what must be the reason behind and measures on how to implement the projects? Reasons behind the delay? Measures taken to catch up with implementation.

The following presentation of the findings and conclusions of the evaluation with respect to effectiveness is organized by SW's three intermediate results (IRs): IR 1 Increased and improved access to resilient water supply and sanitation (WSS) services; IR 2 Improved sustainable management of water resources; and IR 3 Strengthened water sector governance. Within each of the IR sections, findings are analyzed on the different key approaches and their respective interventions. As we noted in the section on Methodology, to look at effectiveness we have included an analysis of SW's effectiveness in implementing the interventions it planned in each AWP cycle, reviewing the AWPs against the progress reports. While the evaluation SOW did not ask about SW reporting, as a byproduct of the analysis, the evaluation team found significant issues with SW reporting. It was not possible to ascertain whether a large percentage of planned interventions had been in fact implemented, owing to ambiguity or absence of information in the progress reports.

Findings on COVID-19 Impacts on SW Implementation

One of the sub-questions about Effectiveness refers to the impacts of the COVID-19 pandemic on the SW program, asking about the influence on "the achievement and non-achievement of increased and improved access to resilient water supply and sanitation services." From the review of the program documents and the interviews with the principal stakeholders, the evaluation team found that there were major delays in implementing activities set out in the SW Year 1 and Year 2 AWPs.

In both years, there were disruptions due to the strict lockdowns imposed by the GPH. In Year 1, SW was able to implement start-up activities and begin some of the baseline studies and consultations with counterparts. In March 2020, the President declared a national health emergency, and soon after proclaimed a "state of national calamity." By May 2020, lockdowns covered the entire country, whether "general community quarantine" or the "enhanced community quarantine" which were applied in different areas through September 2021, when the GPH introduced a system of alerts with different levels of restrictions, which resulted in rolling, partial lockdowns. The severity and length of the lockdowns in the Philippines had multiple impacts on the SW program activities. DAI adjusted, moving quickly to implement technological solutions to allow for remote work. Even so, as travel shut down, access to program counterparts was curtailed, as GPH, private sector, civil society and community stakeholders dealt with the challenges of the pandemic and the lockdowns.

The evaluation found that before the advent of the pandemic, SW had benefited from a rapid start-up in December 2019, and immediate start of consultative workshops with counterparts in Manila in January 2020 and the three program sites in February-March 2020 for the codesign of the Year 1 AWP. As well as identifying problems, drivers and foundational activities to address the problems, the workshops were an opportunity to work face-to-face with SW's main counterparts. In the interviews with national and sub-national stakeholders, several commented on how these events helped to cement relationships that supported continued progress during the lockdowns.

The evaluation team also found that SW benefited from the relationships established with GPH entities under the WASH-FIN activity that ran from November 2018 to September 2020 in the Philippines.[12] WASH-FIN worked closely with NEDA, which was leading implementation of the water sector financing mechanism; URAF; and other entities, including the DILG, the Department of Health, and the Local Water Utility Administration (LWUA). In interviews with national entities, informants confirmed that SW was able to leverage the USAID/WASH-FIN relationships to continue policy reform support and mitigate to some extent the effects of the lockdowns.

Despite the program's ability to leverage the institutional relationships cemented in early 2020, the pandemic exacerbated a challenge common to WASH programs—the dependence on annual cycles of planning and budgeting at national and sub-national levels. Not only were 2020 plans and budgets locked in by late 2019, the impacts of the COVID-19 pandemic, the lockdowns, and the knock-on effects were also felt in 2020 plans and budgets (both revenue and expenditure budgets). While SW was able to continue its activities to support LGU planning, design, and preparation of project proposals and identification of funding opportunities, budget allocation was increasingly affected as GPH entities at national and subnational levels shifted priorities to the COVID-19 response.

As SW program documents emphasize, the approach and interventions are principally site-based. The SW AWPs identify 64 municipalities and cities and 36 watersheds as potential areas for interventions in the three provinces. The AWPs proposed a gradual expansion from 18 LGUs in Year 1, to 35 in Year 2, and 64 in Year 3. Similarly, coverage of watersheds was planned to grow from 12 in Year 1, to 25 in Year 2, and 36 in Year 3. The COVID-19 pandemic created obstacles for establishing and deepening relationships with this large number of local partners. There are numerous examples, but one will suffice here: The formulation of an IWMP informed by science-based evidence is a critical part of SW's approach to WRM. The Year 2 progress report states that "To date, the SW and Planning teams have completed the two IWMPs in Narra and Montible watersheds. However, due to COVID-19-related restrictions (strict enforcement of border lockdowns, limited mobility, and prohibition on face-to-face activities by the LGUs), the IWMPs for Malogo and Siguel are still at the data-gathering and field validation stage."

To get at the overall impact of the COVID-19 pandemic on SW implementation, the evaluation team analyzed the proposed interventions in each AWP in Years 1, 2, and 3 against reported program implementation in the periodic progress reports. As shown in Table 10 below, there were 601

[12] WASH-FIN was a six-year, $45 million, Washington-based project, with field activities in Cambodia, Kenya, Mozambique, Nepal, the Philippines, Senegal, South Africa, and Zambia.

proposed AWP interventions in the three years: 147 interventions in Year 1 AWP, 192 in Year 2, and 262 in Year 3.

Table 10. Completion of Proposed AWP Interventions

	Y1		Y2		Y3		Total	Total %
Reported Progress	Total	%	Total	%	Total	%		
Postponed	62	42.2%	8	4.2%	3	1.2%	73	12.0%
Fully Completed	42	28.6%	59	30.7%	158	60.3%	259	43.1%
Non/Partially Completed	5	3.4%	86	44.8%	52	19.8%	143	23.8%
Unspecified/Unclear	38	25.8%	39	20.3%	50	19.1%	127	21.1%
Total	147	100%	192	100%	262	100%	601	100%

In Years 1 and 2, SW had a low rate of fully completed AWP interventions (28.6 percent and 30.7 percent, respectively), while Year 3 showed a marked improvement (60.3 percent). In Year 1, more than 40 percent of AWP interventions were postponed outright, but in Year 2, presumably as SW adapted to the constraints of COVID-19, the portion of postponed activities fell, but there was a large increase in "partially completed" interventions (44.8 percent). Fully completed activities remained low in Years 1 and 2, and then rebounded to above 60 percent in Year 3 in the context of a large expansion in the overall number of proposed AWP interventions.

Achievement of Outcome Indicator Targets

The notable increase in the overall number of interventions and the percentage of fully completed interventions in the Year 3 AWP suggest that SW is making successful efforts to catch up. Indeed, despite the delays, the data presented for the SW MEL Plan performance indicators for Years 1, 2 and 3 in Table 11 show that for most of the SW MEL Plan outcome indicators, the program is now meeting its Year 3 annual targets.

Year 1 showed zero achievements against targets, while in Year 2 SW was able to show considerable progress in WSS indicators 1.1, 1.2, and 1.3 measuring increased access to water and basic sanitation services. In contrast, the indicators related to WRM, indicators 2.2 and 2.3, showed almost no progress in Year 2. The explanation for the result of outcome indicator 2.1 relating to avoidance of greenhouse gas (GHG) emissions suggests that some of the activities will have future impacts through the preparation of local plans; however, in Year 2 these plans had not yet been approved nor implemented in any degree, which suggests that the indicator result should be revised downward. In any case, the Year 2 results were not promising at all. In the narrative of the Year 2 annual progress report, it is clear that the program was still facing multiple obstacles.

Table 11. Achievement of SW Annual and LOP Targets for Outcome Indicators (%)

Outcome Indicators	% Achievement				Comment
	Y1	Y2	Y3	LOP	
OI 1.1 Number of people gaining access to basic or safely managed drinking water services as a result of (U.S. government) USG assistance.	0	240	104	29	
OI 1.2 Number of people receiving improved service quality from an existing basic or safely managed drinking water service as a result of USG assistance	0	2	372	47	Half the Y3 achievement from a single intervention

Table 11. Achievement of SW Annual and LOP Targets for Outcome Indicators (%)					
Outcome Indicators	**% Achievement**				**Comment**
	Y1	**Y2**	**Y3**	**LOP**	
OI 1.3 Number of people gaining access to limited or basic or safely managed sanitation services as a result of USG assistance	0	428	111	62	Microfinance pilots
OI 1.4 Number of people receiving improved sanitation services quality from an existing "limited" or "basic" service as a result of USG assistance	0	166	55	32	
OI 2.1 Amount of GHG emissions reduced or avoided (metric tons)	0	59	102	28	Unclear how "avoided" is calculated in some activities
OI 2.2 Number of people benefiting from adoption and implementation of measures to improve water resources management as a result of USG assistance	0	103	104	52	
OI 2.3 Number of people receiving livelihood co-benefits (monetary or non-monetary) associated with USG sustainable landscapes activities	0	102	109	33	For relevance, co-benefits should be disaggregated
OI 2.4 Changes in runoff-ratio in targeted catchments	na	Na	Na	na	LOP indicator
OI 2.5 Changes in water quality as measured by water turbidity	na	Na	Na	na	LOP indicator
OI 2.6 Changes in the volume of groundwater recharge / infiltration	na	Na	Na	na	LOP indicator
OI 3.1 Number of policies or plans developed, enhanced, or implemented to promote water security	0	113	270	80	Likely to achieve LOP target
OI 3.2 Number of water and sanitation sector institutions strengthened to manage water resources or improve water supply and sanitation services as a result of USG assistance	na	140	180	92	Close to achieving LOP target in Year 3
Cross Cutting Indicators	**Y1**	**Y2**	**Y3**	**LOP**	
CC 1 Number of tools, technologies, or measures implemented (WRM and WSS)	25	300	160	100	
CC 2 Number of partnerships developed and/or institutionalized (WRM and WSS)	125	100	200	84	
CC 3 Percentage change of women in decision-making positions in water service provision and resource management organizations supported by SW	na	na	Na	Na	LOP indicator
CC 4 Number of persons trained with USG assistance for advancing gender equality or female empowerment through their roles in public or private sector institutions or organizations	na	100	508	220	
Number of indicators with 100% achievement or more	0	10	11	2	

na = not applicable as no target set

The overall progress in achieving indicator targets in Year 2 contrasts with SW's own narrative reporting, which highlighted the multiple obstacles to implementation. It also contrasts sharply with the findings from the evaluation team's analysis of AWP completion rates, which shows many activities that were not completed. This suggests that the overall SW MEL Plan indicator set does not well represent the range of interventions carried out by SW. In other words, if SW's own narrative reports show that only 30 % of interventions were implemented as planned, yet it achieved most of its indicator targets, there is clearly an issue with the completeness of the indicators.

For Year 3, the outcome indicators show an overall recovery as SW has exceeded its AWP targets in all outcome indicators except indicator 1.4 Measuring improved quality of service from existing sanitation services. Equally important, by the end of Year 3, SW has achieved on average about 50 percent of its LOP targets. This suggests that SW is on track to achieve the overall goal of Increased and improved access to resilient water supply and sanitation services. In the following sections we assess progress in implementing the interventions in the individual IRs and also discuss the achievement of annual and LOP targets for the other SW MEL Plan indicator set, which measures achievement of the activity's IRs.

Findings on Effectiveness of Approaches in IR 1 Water Supply and Sanitation

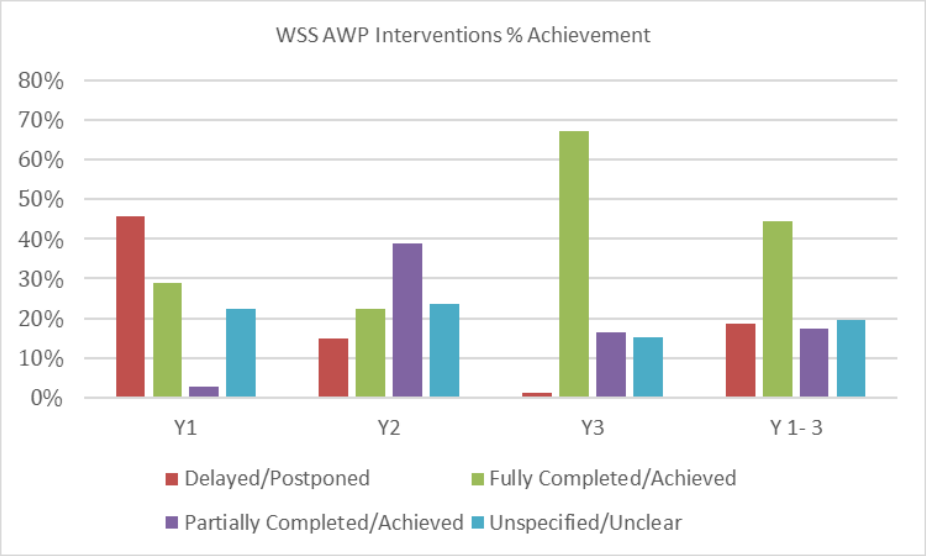
Under this IR, one of the key approaches used by SW is to support mobilization of finance for WSS. Within this approach, the main interventions are:

- Facilitating access to national and local government funding
- Facilitating access to market-based financing from government and private financing institutions
- Facilitating PPPs
- Piloting the OBA-BF for household sanitation

Findings

In seeking to understand SW progress under IR 1, we disaggregated the data on AWP interventions to look at rates of achievement for each AWP. The results are presented in Figure 6 below. As the figure shows, in Year 1, almost half of the WSS AWP interventions were postponed and less than a third were completed as planned. In Year 2, only about 20 percent of WSS interventions were postponed and completion increased to almost 40 percent. By Year 3, more than two-thirds of AWP interventions were completed as planned and almost none postponed. This aligns with the assessment of overall achievement of AWP interventions presented at the beginning of this section and confirms that SW was making substantial progress in its planned activities in WSS.

Figure 6. Percentage rates of achievement of SW Annual Work Plan Interventions IR 1 (WSS) Years 1-3



Yet, progress was not consistent across all kinds of interventions. Here we look at the data on WSS Year 3 activities, which is more relevant to the evaluation question about actual and potential achievement of SW objectives.

Facilitating access to GPH funding. With respect to mobilizing finance, the main emphasis has been to support LGU capacity for project development, programs of work, etc., to present successful requests for funding from existing GPH funding from national or sub-national budgets. SW worked directly with LGUs of different sizes (provinces, cities, and small towns), water districts, and WSPs. SW provided training and TA across the different interventions in supporting mobilization of finance for WSS. SW's interventions to mobilize funding have emphasized project support, through provision of training and detailed, customized TA to WSPs in the three provinces to formulate investment projects for improved and expanded water services. These activities with the LGUs were mostly fully completed in Year 3, with a substantial number of interventions partially completed and continuing into Year 4.

Output based assistance-blended finance. Similarly, the pilot activities for the OBA-BF approaches for sanitation were clearly documented, showing substantial progress in completing the "proof of concept" phase of this intervention through activities in three LGUs, including the development of materials for replication, including templates for memoranda of agreement (MOA) and reforms to LGU local ordinances. This activity depends on loans from Water.org (an international nonprofit organization that helps people living in poverty get access to safe water and improved sanitation through affordable financing) to local micro finance institutions (MFIs), who will on-lend to households for WASH investments within programs established by formal agreements between participating LGUs and the MFI.

With respect to its future potential, SW has worked with Water.org to update its training to include the OBA-BF approach, conducted presentations and training for MFIs to explain the approach and the results of the pilots, and sought to connect the participating MFIs with LGUs to explore opportunities for using micro-finance in local WASH projects. With respect to the future potential, the missing piece is the GPH provision of the targeted subsidies which make this a "blended" approach. The annual progress reports for Years 2 and 3 are short on detail with respect to this critical point, whose resolution is necessary for any strategy for scaling-up and for long-term sustainability of the initiative.

Commercial finance. We looked more closely at some of the interventions that were tagged as "partially completed" or "unspecified." The results of Year 3 activities aimed at identifying other available financing sources to match with WSS investments and facilitate access, were tagged as "unspecified," as the reporting was vague on actual progress. SW has worked with LGUs in the three provinces to formulate projects for improvements and expansion. The evaluation team found that at the time of data collection one LGU had been able to submit a loan request package to commercial funders, but it was not approved; the other two LGUs were still preparing the packages for submission.

Public-private partnerships. The other intervention for mobilizing financing for WSS showing little or no progress in Years 1 to 3 is support for PPPs. Again, the analysis of the AWPs finds that progress in this area is "unspecified," as the periodic reports are unclear on results and next steps. On PPPs, the Year 3 AWP states that "the team will coordinate with PPP Center to access materials … assist Provincial Government of Negros Occidental to pursue a PPP project for bulk water supply … also engage water districts with proposed joint venture agreements for assistance in contract management." The Year 3

progress report refers to "facilitating" the use of PPPs and states that SW is supporting a hydrological study but beyond that shows no concrete progress. Given the timelines for PPP development and completion, there appears to be scant possibility of substantive progress.

As well as analyzing AWP achievements, the assessment of effectiveness takes into consideration the achievement of indicator targets. Earlier, we discussed the overall effectiveness, showing that SW had made progress toward meeting its outcome indicator targets for Year 3, after experiencing a considerable lag in Years 1 and 2. The IR indicator set for IR 1 (WSS) aligns somewhat with the specific interventions under the key approaches. As Table 12 shows, SW has overachieved its Year 2 and Year 3 targets in the interventions aimed to build capacity of partner WSPs. Similarly, Year 3 shows an uptick of efforts at creating coordination mechanisms, in this case the WMCs.

Table 12. % Achievement of Annual and LOP Indicator Targets under IR 1 (WSS)

Outcome Indicators	% Achievement				Comment
	Y1	Y2	Y3	LOP	
OI 1.1 Number of people gaining access to basic or safely managed drinking water services as a result of USG assistance.	0	240	104	150	As SW establishes a presence in more LGUs, this will grow. Unclear if remaining LOP is sufficient.
OI 1.2 Number of people receiving improved service quality from an existing basic or safely managed drinking water service as a result of USG assistance	0	2	372	47	Half the Y3 achievement is from a single intervention. With more LGU partners and continued presence, will meet target.
OI 1.3 Number of people gaining access to limited or basic or safely managed sanitation services as a result of USG assistance	0	428	111	62	OBA-BF pilots to date. With more LGU partners likely to achieve target.
OI 1.4 Number of people receiving improved sanitation services quality from an existing "limited" or "basic" service as a result of USG assistance	0	166	55	32	This is more challenging than the OBA-BF pilots, which have worked through private organizations
IR Indicators					
IR 1.1 Number of WSPs with increased operational, technical, and financial management capacity through SW activities	0	250	640	127	Relevant for capacity of partner WSPs to develop fundable projects, and comply with funders' requirements
IR 1.2 Number of coordination mechanisms institutionalized at the local, watershed, and regional levels through SW activities	0	250	275	44	The timeline required for creation of WMCs may impede SW from reaching the LOP target
IR 1.3 Value of new funding mobilized to the water and sanitation sectors (in US$)	0	108	126	43	Question on whether calculation is compliant with Global Climate Change (GCC) guidance on financial closure. Also inconsistency on value of private funds between Y2 and Y3 reports.
IR 1.4 Number of feasibility studies, programs of work, and detailed designs developed that enable water supply and sanitation service expansion or improvement as a result of USG assistance	0	na	210	50	Concern for the pipeline of new projects in the remaining years that would generate new funding for indicator 1.3 achievement

The analysis of SW's performance indicators (both the Outcome Indicators and the IR Indicators) for IR 1 against targets shows solid achievements. The Outcome measures show that SW has overcome the "pause" in program implementation and is making good progress. The one Outcome indicator that poses a major challenge to achieving the LOP target is OI 1.4, referring to improvement of existing basic sanitation. The progress to LOP is less than one-third. KIIs with LGU counterparts suggest that investments in existing services are lower on their funding priorities.

The IR indicators also show significant progress. Achievement of IR 1.1 "WSPs with increased operational, technical, and financial management capacity," exceeds both Year 3 and LOP targets. Indicator IR 1.2 "Number of coordination mechanisms institutionalized" has also exceeded the Year 3 target. Still, given the apparent challenges with respect to the operationalization of agreements with additional counterpart LGUs and watersheds established in Years 1, 2, and 3, SW may struggle in the remaining LOP to obtain the LGU buy-in for the additional coordination mechanisms.

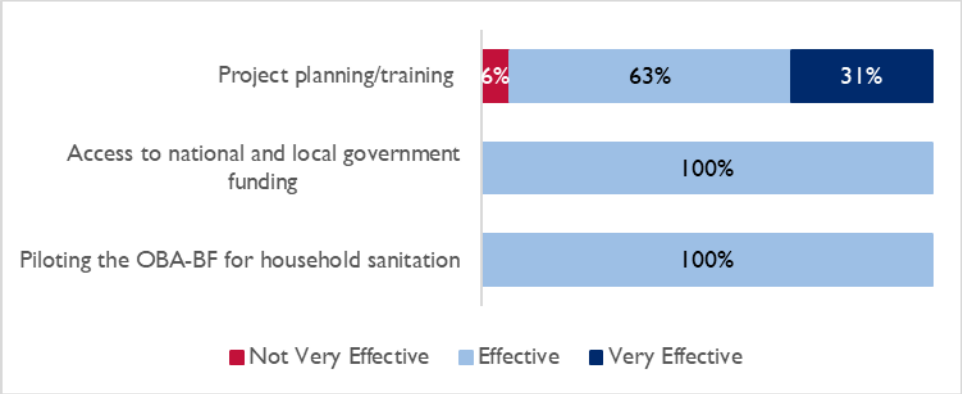
Likewise, IR 1.3 "Value of new funding mobilized to the water and to the water and sanitation sectors" has exceeded the Year 2 and Year 3 targets and is making good progress towards the LOP target. The reporting on private sources of mobilized funds shows some inconsistencies. The Year 1 report states that its activities were limited to verifying availability of private financing and negotiating an MOU with Water.org to access MFI funds. The Year 2 report states that SW mobilized $4.04M from private sources. However, the Year 3 report states that in Years 1 and 2, SW mobilized $7.553M. If the Year 2 figures are accurate, progress towards the LOP target drops to 39 percent.

Absent a large-scale expansion of OBA-BF financing with GPH buy-in, or significant funds from development banks for intermediation by MFIs for WASH loans, SW's ability to meet the LOP target mainly depends on access of WSPs to existing and new GPH funding windows. This, in turn, will be driven by achievement of IR 1.4 LOP target (number of feasibility studies, programs of work, and detailed designs developed), which are at present well short of the LOP target. Nevertheless, the Year 3 progress report, which documents the advances in partnerships with LGUs and WSPs, along with the completed planning instruments, suggests that the pipeline of fundable projects will continue to expand with SW support. Thus, the evaluation finds that it is likely that SW will achieve these LOP targets.

Stakeholder Views

In addition to the analysis of SW's indicators for IR 1, the evaluation team has tabulated and analyzed the results of the KIIs, FGDs, and FGIs with SW stakeholders at all levels: national, watershed or sub-watershed, LGUs, and community organizations. Figure 7 below summarizes responses from stakeholders on the effectiveness of SW interventions.

Figure 7. Respondents' perceptions on effectiveness of SW IR 1 interventions



In addition to the analysis of SW indicator achievements and the responses from SW stakeholders to questions about the effectiveness of some of the individual interventions, the evaluation team conducted a review of the implementation of the field activities, based on SW documents, KIIs, and FGDs in SW sites.

The evaluation team obtained responses for three of the interventions, which are overwhelmingly positive.[13] In one of the interventions, project planning, 31 percent of respondents said it was "very effective" and 63 percent said it was "effective," while only 6 percent said it was "not very effective." For the other two interventions, for access to national and local government financing and piloting of OBA-BF, 100 percent of respondents described them as "effective." The 100 percent positive responses on access to national and local government finances tracks with SW's achievement for indicator IR 1.3: Value of new funding mobilized.

IR 2 Improved sustainable management of water resources

Under this IR, the key approach used by SW for improved WRM is to strengthen water security planning and implementation. The main interventions are:

- Private sector partnership and engagement
- Establishment/scaling of PES
- Support to upland communities on sustainable livelihood
- Develop IWMPs or, in some cases, local watershed conservation and restoration plans
- Help LGUs establish or reactivate watershed management councils

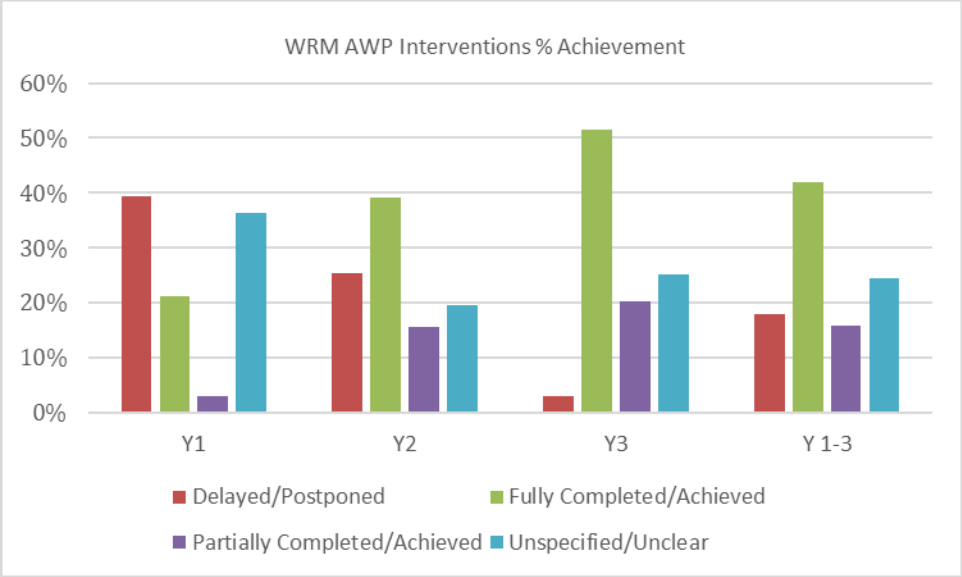
Findings

As in the section above on IR 1, for IR 2 we disaggregated the data on AWP interventions to look at rates of achievement for each AWP. The results are presented in Figure 8 below. As the figure shows, in

[13] There were no responses to questions about two interventions: facilitating access to market-based financing from government/private institutions and PPPs.

Year 1, almost 40 percent of interventions were postponed, and only about 20 percent of planned activities were completed.

Figure 8. Percentage rates of achievement of SW Annual Work Plan Interventions IR 2 (WRM) Years 1-3



In Year 2, the rate of completion increased to almost 40 percent and postponed activities accounted for just 25 percent. In Year 3, completed interventions increased to more than 50 percent, while a tiny proportion of interventions were postponed. The percentage of WRM interventions fully completed was substantially below that of WSS for Year 3 (52 percent and 67 percent respectively).

Private sector. For interventions to promote private sector partnership and engagement, analysis of Year 1 and Year 2 AWPs and progress reports shows that these activities were mainly delayed in Year 2, and completed largely as planned in Year 3. The Year 3 annual report references signed MOUs with 14 organizations on sustainable livelihoods and watershed conservation activities and another four partnerships at various stages of negotiation. There is every expectation that the partnerships will continue throughout the LOP and continue to leverage additional resources towards program objectives.

Payment for ecosystem services. For establishment or scaling up of mechanisms for PES, while certainly relevant to SW goals, the periodic progress reports show a slow rate of achievement to date. SW explains it as working with the LGUs to facilitate PES negotiations, drafting a PES ordinance, and preparing reinvestment plans. However, with respect to establishment of new PES schemes, in Year 3, many of the specific interventions in support of scale adoption of PES, for example, were either partially completed, or unspecified as to results. The periodic reports for Years 2 and 3, while discussing the work in promoting PES (for example, reinvestment plans for existing PES) suggest that progress has been very slow indeed. The reasons are not explained. There are suggestions of growing interest, for example, the Provincial Integrated Water Security Plan (PIWSP) of Sarangani included the establishment of a province-wide PES as a priority policy. The evaluation team finds that PES is still a new concept and

implementation will have to overcome resistance from decision-makers, as any decision related to service tariffs is inherently political.

Sustainable livelihoods. SW's approach to livelihoods is to work through POs in the watersheds to introduce sustainable agricultural practices that are sufficiently remunerative for households to abandon extractive practices and hence avoid further forest degradation. While there may be an argument for a *prima facie* finding of the relevance of the sustainable livelihoods to SW's goals, international experience with rural livelihoods programs, including programs in the Philippines, show that they are not always effective. A major program evaluation conducted by the International Fund for Agricultural Development of its portfolio of rural livelihoods programs in the Philippines in 2017, for example, found that "the effectiveness of the group-based approach pursued under some projects (e.g., enterprise groups) for increasing livelihoods opportunities has not been proven with convincing results and evidence."[14]

It is not evident to the evaluation team whether there are robust MEL strategies to analyze outcomes in terms of monetary and non-monetary benefits. Some of the programs underway are funded through CSR initiatives; international experience suggests that generally, companies have not supported robust MEL strategies for their CSR programs.[15]

The SW periodic reports provide a scope/description of Outcome Indicator 2.3 "livelihood activities (e.g., organic farming)… which provided monetary and non-monetary benefits." The SW MEL Plan description of the source states: "Data will be collected from implementing partners with knowledge of their specific activities and programs." However, the periodic progress reports do not present data on material and non-material benefits. While photos of beneficiaries and testimonies are useful for context, they are clearly insufficient to establish a case for effectiveness. For this reason, the finding is that SW has not demonstrated that the sustainable livelihoods interventions will produce benefits. This important point is discussed further below in analyzing the IR indicators for WRM.

The remaining interventions, development of IWMPs or in some cases, LWCRPs and the establishment or reactivation of WMCs depend on the continued geographic expansion of the program. As mentioned above, the plan was to grow gradually from 18 LGUs and 12 watersheds in Year 1 to 64 LGUs and 36 watersheds in Year 3. This would in principle give the program sufficient geographic coverage and partnerships to achieve its indicator targets. However, SW coverage was considerably less, depending on the specific intervention under consideration.

Watershed plans. The periodic progress reports explain that SW, working with local staff of the DENR, assisted local LGUs and other watershed stakeholders to formulate watershed plans, which are informed by science-based evidence from the completed hydrologic and baseline studies. Tallying the different mentions of watershed plans, it appears that by Year 3, SW had supported formulation of 18

[14] IFAD. Independent Office of Evaluation. 2017. Republic of the Philippines Country Strategy and Programme Evaluation. Manila: IFAD. P. vii.
[15] Y. Kowszyk and F. Vanclay. (2021) "The possibilities and limitations regarding the use of impact evaluation in corporate social responsibility programs in Latin America." In *Corporate Governance* (Bingley), 21(2),

watershed plans.[16] Yet, the Year 3 progress report, in the scope/description of OI 3.1, "Number of policies or plans developed, enhanced, or implemented to promote water security," states that SW completed 12 plans (IWMPs and LWCRPs) that year. Further, it wasn't always clear in most of the plans what the technical inputs were, or whether the planning process had been fully completed and the plan formally approved.

Watershed Management Councils. The interventions to reactivate or establish WMCs were another integral component of the SW approach, as critical coordinating and convening mechanisms for sustaining support to watershed management efforts. In Year 2, SW created or reactivated nine WMCs. For Year 3, the explanation of results for Indicator IR 1.2 "Number of coordination mechanisms institutionalized at the local, watershed, and regional levels" in the annual progress report references 21 mechanisms, of which eight appear to be WMCs, the others TWGs for developing watershed plans. Despite the scattered and inconsistent data in the reports, the evaluation estimates that by Year 3, SW was working with about 20 active WMCs, plus a handful of other local institutions with similar functions. In Years 2 and 3, SW developed and deployed an organizational capacity assessment tool to guide its support for these WMCs. The progress reports do not contain information on measures of improved capacity.

Despite the difficulties with the reporting, the evaluation team finds that SW likely has sufficient coverage and has engaged with a sufficient number of LGUs, WMCs, POs, and other stakeholders to achieve its Outcome and IR Indicator targets for IR 2 through LOP. The presentation of the Outcome and IR Indicators, for example, with respect to OI 2.2, "Number of people benefiting from adoption and implementation of measures to improve water resources management as a result of USG assistance," states that achieving the LOP target of 600,000 people in the next two years will be "through technical assistance to LGUs, POs, and other stakeholders on the implementation of IWMPs." The evaluation raises a concern of whether there is sufficient remaining time to achieve these results.

In addition to the review of program documents and the KIIs, the team reviewed achievement of IR 2 indicators. The actual performance of SW against its LOP targets is summarized in Table 13 below. Overall, the Outcome and IR Indicators show significant progress towards IR 2 objectives for Year 3 and LOP, and suggest that the key approaches and associated interventions are working.

Table 13. % Achievement of Annual and LOP Indicator Targets under IR 2 (WRM)

	% Achievement				Comment
Outcome Indicators	**Y1**	**Y2**	**Y3**	**LOP**	
OI 2.1 Amount of GHG emissions reduced or avoided (Metric Tons)	0	59	102	28	Low LOP achievement, and not clear if WRM programs will support achievement in final two years.
OI 2.2 Number of people benefiting from adoption and implementation of measures to improve water resources management as a result of USG assistance	0	103	104	52	Same as above. SW has recovered the pace of work in Year 3 and will likely meet the target.

[16] In Year 2, SW reports having completed IWMPs in two watersheds (Narra and Montible), and references 17 plans in Year 3, but includes one of the two plans registered in Year 2, for a total tally of 18 plans.

Table 13. % Achievement of Annual and LOP Indicator Targets under IR 2 (WRM)					
	% Achievement				Comment
OI 2.3 Number of people receiving livelihood co-benefits (monetary or non-monetary) associated with USG sustainable landscapes activities	0	102	109	33	No data in reports of how monetary benefits were calculated, what methods, data sources, etc.
IR Indicators					
IR 2.1 Number of hectares under improved watershed management through SW activities	0	242	103	35	Even as the pace of implementation continues, it is not clear that the LOP target will be achieved
IR 2.2 Number of LGU, WSPs, and watershed stakeholders with improved capacity to plan, manage and monitor water and forest resources sustainably, using data and innovative technologies	Na	100	194	82	As above. In Years 2 and 3, SW expanded coverage and is now focusing on capacity, resource mobilization and implementation.
IR 2.3 Amount of investments (in US$ equivalent) for sustainable landscapes, as supported by USG assistance	0	105	761	114	Indicator calculation for the private sector funds mobilized is not compliant with GCC guidance.
IR 2.4 Number of people who apply improved conservation law enforcement practices as a result of USG assistance	Na	100	240	56	LOP target will be achieved through work with LGUs, WMCs, and POs. Not clear the remaining LOP is sufficient.

The lowest indicator achievement is OI 2.1 on GHG emissions reduced/avoided, OI 2.3 on co-benefits from livelihoods, and IR 2.1 on number of hectares with improved WRM. While SW has evidently made rapid progress in Year 3, the weak performance in Years 1 and 2 in the context of the COVID-19 pandemic and the lockdowns has clearly set back SW's progress towards some LOP targets. There is cause for optimism, however. Going back to the target for LGUs/watersheds discussed above, the relevant indicator is IR 2.2: Number of LGU, WSPs, and watershed stakeholders with improved capacity. Against the LOP target of 50, SW's interventions covered 41 in Years 1 to 3, which is 82 percent of the LOP target and 194 percent of the Year 3 cumulative target. This has provided SW with a solid base of institutional partners with the necessary capacities to collaborate on WRM goals in the last two years of LOP. Indicators OI 2.1 on GHG and IR 2.1 on hectares with improved WRM will likely meet the LOP targets, as will IR 2.4 on number of people applying improved conservation law enforcement practices. The other indicators are discussed below.

In assessing the indicator achievement, the evaluation team has flagged two indicators for review of reported results. On OI 2.3 referring to livelihoods co-benefits, as we highlighted above, it is not clear what MEL strategies are used by the private sector partners in calculating benefits. How robust are the calculations of benefits? What are the rates of return? How do revenues and net incomes compare to the baseline? As we have highlighted above, SW's reports are silent on the most important technical details of the sustainable livelihoods interventions. This aspect of watershed management is technically challenging and there is sufficient experience internationally and in the Philippines to suggest that there are not always significant material benefits from the interventions, which over the long term could limit participants' willingness to invest their own funds for inputs, tools, machinery etc., which is critical for the sustainability of these important initiatives.

A second indicator that raises significant concerns is IR 2.3 on investments for sustainable landscapes, for which SW reports an achievement of 761 percent in Year 3 and 110 percent of LOP target. In their calculation of this impressive indicator result, SW has included the potential loan funds with a partner institution, ECLOF, which in its Philippines operations manages a loan portfolio of more than $6M. In that the concession of loans from ECLOF for activities in SW targeted watersheds will depend on many factors, and will happen at a future date, this should not be included in the indicator achievement calculation. The Global Climate Change (GCC) Indicator Handbook clearly states that "finance mobilized may be reported under this indicator at financial closure. Financial closure is when the contract or agreement is signed by all relevant parties." While SW states in its Scope/Description of the indictor that ECLOF "offers a $6.8M portfolio of loans," these loans may be made to individuals and organizations in the future and in this sense, while SW has an agreement with ECLOC, these funds are still far from "financial closure," a process which will happen gradually over the LOP as loans are disbursed through legal instruments.[17]

This point is especially important as the eventual loan funds from ECLOF represent almost 90 percent of the reported indicator achievement in Year 3. Excluding the ECLOF loan portfolio, in Year 3, SW will have mobilized funds equivalent to 77 percent of its annual target, rather than the reported 761 percent. In this case, the accumulated funds mobilized in Years 1 to 3 would be equivalent to 71 percent of the LOP target. SW might also wish to review its Year 2 figures to ensure that the reported achievement conforms to GCC guidelines on "financial closure," or whether a portion of the funds reported as "mobilized" might be realized at a later date when the investments are executed through legal instruments.[18] Even with a revised calculation of the Year 2 and 3 figures, it is clear that SW is making progress, and is likely to achieve the LOP target in the last two years of LOP.

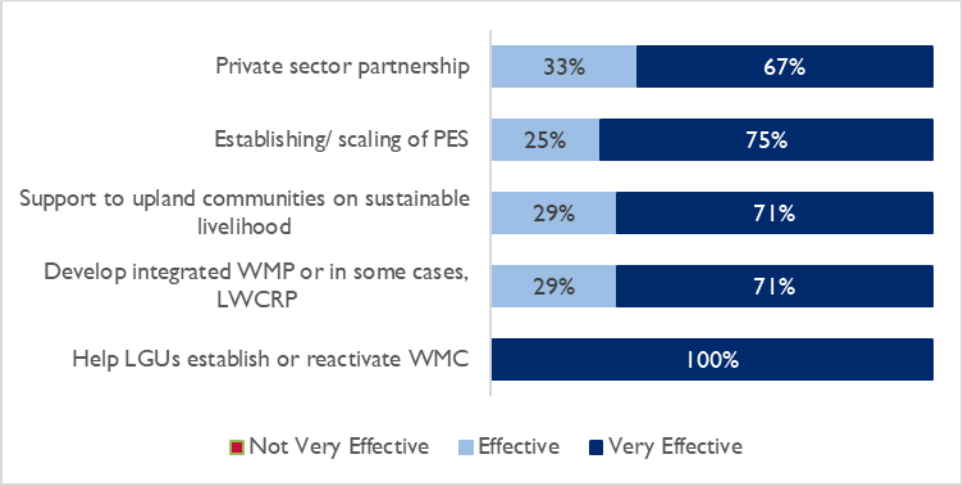
Stakeholder Views

Alongside the analysis of the SW MEL indicators, the evaluation team has tabulated and analyzed the responses of the different stakeholders about the effectiveness of SW's WRM interventions. Overall, the results are very positive with all the respondents saying the interventions were either "effective" or "very effective." And 100 percent said SW's work in assisting LGUs to establish or reactivate water management committees was "very effective." The responses are summarized in Figure 9 below.

[17] Another point in this case is that ECLOF's entire loan portfolio for the Philippines was reported to be $6.53M in 2021. On the face of it, reviewing ECLOF's annual reports and financial statements, it is doubtful that ECLOF plans to dedicate its entire portfolio in the Philippines to SW activities. See ECLOF International Annual Report 2021, p. 29.

[18] This could apply as well to the reported private sector financing mobilized through an agreement with FFSI for the calculation of IR 2.3 in Year 2. While the Year 2 progress report does not explain the nature of the work with FFSI, the evaluation team's understanding that FFSI facilitates access to funds provided by other private organizations, mainly through grants. It is not clear whether the reported fund mobilization is an agreement with FFSI or its partners to provide funds in the future, or actual, disbursed loans to households in Year 2, complying with the GCC guidance on "financial closure." If not, this calculation should be revised.

Figure 9. Respondents' perception on effectiveness of SW IR 2 interventions



These positive findings from the stakeholders interviewed by the evaluation team are buttressed somewhat by the results of the field visits to SW sites. The team asked key informants about each of the interventions carried out within this key approach. The site visit findings are summarized in Table 14 below and a more detailed description is found in Annex VII.2 of this report.

Table 14. Progress to Date of the SW Interventions in WRM Based on the Field Visits

WRM Interventions				
Private sector partnerships	Establish/scale PES mechanisms	Sustainable livelihoods	Formulation of IWMPS and LWCRPS	Create or reactivate WMCS
SW has partnered with private institutions that contributed to improving the livelihood of upland communities. Innovative and sound approaches have been introduced, and their private partners are looking forward to future impacts of rehabilitation efforts.	Orientations on PES were conducted. Palawan completed its Cost-Based Valuation and Cost Revenue Analysis for Irawan and Montible Watersheds, while BMRB and Bago Watershed are still in data collection. Other "PES-like" models are also implemented but not initiated by SW, except for Bago City where SW enhanced its EPF use.	The different livelihood opportunities also deepened the farmers' appreciation of sustainable landscape management. Demonstration farms on ube and coffee further increased their adoption of the introduced intervention. The engagement of locals in monitoring threats has been strengthened.	SW has provided datasets and hydrologic models that helped improve the formulation of IWMPs and LWCRPs. The management plans of Montible Watershed, BMRB, and Bago Watershed have been completed.	The WMC for BMRB has been approved already, while the WMC for Bago Watershed is still being finalized. Meanwhile, WMC in Montible Watershed is yet to be formed.

Generally, the SW counterparts were positive about SW's achievements in WRM. Respondents gave concrete descriptions of achievements in relation to sustainable livelihoods, referring to "demonstration farms" and adoption of ube and coffee by farmers. One respondent from a PO in an upland community said: *"The demo farm showed us the difference between scientific planting and our traditional way of planting. This will help us facilitate the cascading of the coffee training to our respective members."* They also talked about SW's role in providing the key technical inputs into formulation of local planning instruments. A

respondent from DENR said: *"Watershed management councils are important in planning, development activities, rehabilitation efforts, livelihood opportunities, and ecotourism, among many others."*

However, the descriptions of the achievements in relation to private sector partnerships refer to "introduction of sound approaches" for which partners "are looking forward" to impacts. Or in the case of PES, where the descriptions of the respondents refer to "orientations" being conducted, or to carrying out preliminary studies for the design of PES mechanisms. As highlighted above, there is slow progress towards establishing new PES systems. As far as the establishment and reactivation of WMCs, the field visits produced mixed results, with some WMCs having been approved, and others "yet to be formed," according to the KIIs. Several training courses were also provided to the different stakeholders, and the categories range from science-based planning, watershed management and protection, livelihood support, and PES, among many others. Most respondents said that the knowledge gained from training is very helpful in planning and implementation.

For the factors influencing the achievement and non-achievement of SW objectives, respondents identified adaptive and resourcefulness/resilience, and capacity building. They referred often to the fact that SW was able to adjust and adapt to the COVID-19 pandemic by conducting online meetings/workshops. Being part of previous USAID projects such as B+Wiser and Protect Wildlife also helped facilitate engagement with previous partners. A respondent from a PO said: *"Continuity of the project of Safe Water from the B+Wiser project where technical trainings were provided. Implementation phase for livelihood was cascaded by SW."*

Concerning the non-achievement of objectives in WRM, the top three factors identified by the respondents in the field visits were financial, change in administration/leadership, and lack of TA. The change in administration has been identified as a significant factor as well because of the potential change in priorities or direction that the new administration wants to pursue. The continuity of programs and projects is affected, particularly if no policy supports their implementation. A respondent from DENR said: "Change of administration in local and national agencies (meaning re-assignment of officer in-charge and this caused re-orientation, different levels of technical capacity), PENRO and CENROs."

IR 3 Strengthened water sector governance

Under this IR, the key approach used by SW is to strengthen sector governance through technical support and capacity building to national agencies and across levels of government to improve coordination between national agencies and LGUs. Within this approach, the main interventions are:

- Science/evidence-based planning
- LGU institutional strengthening with the creation of WSCs and TWGs
- Programming for WSS and WRM
- Localization of PWSSP national targets

Findings

The nature of interventions of SW in the realm of WSG are mostly aimed at supporting the formulation of plans. This is achieved through capacity building for science and evidence-based planning, TA, and the

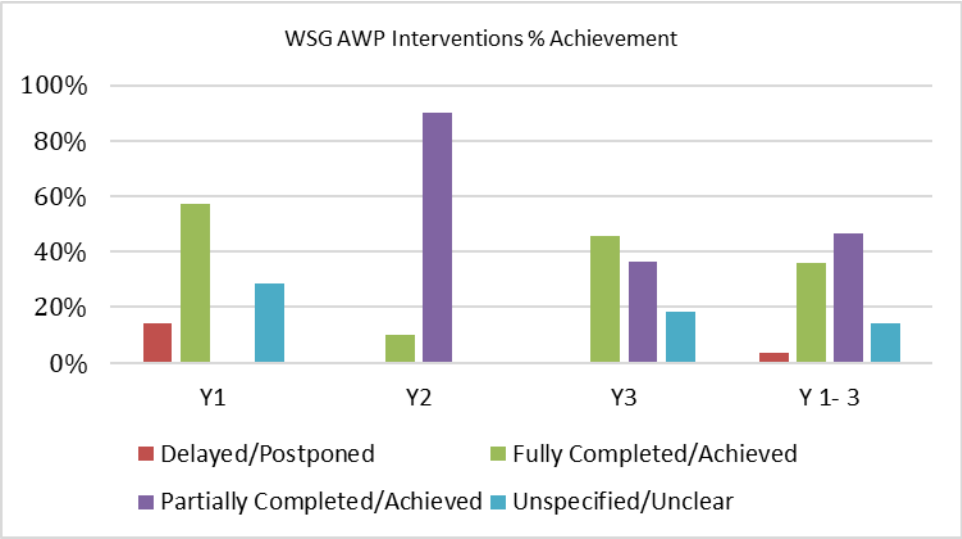
creation of the council that will lead the implementation of the plan. National-level interventions are more policy-related. For NEDA, for instance, the interventions were in assistance in the bill proposing the DWR, and the provisions of the URAF. Both these activities have yet to be approved. For NWRB and LWUA, the interventions were mostly on capacity building. DILG awaits the CMS manual for their adoption in ring-fencing the Municipal Economic Enterprise. Annex VI.4 lists the national interventions in detail.

These activities with the national entities were not within the focus of this evaluation. Rather, the focus is on SW's interventions with LGU partners in water security planning, science and evidence-based planning, LGU institutional strengthening with the creation of WSCs and their respective TWGs, programming for WSS and WRM, and localization of the PWSSMP national targets.

The evaluation team endeavored to triangulate findings from document review, analysis of indicator data, and KIIs with SW stakeholders to assess achievement in the key approaches and associated interventions under WSG. The team reviewed the Year 1, 2, and 3 AWPs to assess reported progress in the different interventions. The results of this review are summarized in Figure 10 below. Unlike the other IRs, under WSG there were fewer instances of interventions postponed; rather, SW continued work on the technical aspects. Year 1 shows some progress in fully implementing the activities in support of the water sector reform agenda; most of these were at the national level. Year 2 showed little progress at all, as SW faced obstacles in shifting to work with local partners. Most of the "fully completed" activities in Year 2 were technical studies, including the hydrological studies, along with manuals, tools, and other products. In Year 3, interventions were more likely to be fully completed, as SW shifted to site work with the LGUs, WSPs, and other stakeholders.

Figure 10. Percentage rates of achievement of SW Annual Work Plan Interventions IR 3 (WSG) Years 1-3

Figure 8 is a bar graph showing the Percentage rates of achievement of SW Annual Work Plan Interventions IR 2 (WRM) Years. The lines are vertical and broken up into four levels of achievement, each being represented by a different color: Delayed/Postponed (red), Fully Completed/Archived (green), Partially Completed/Achieved (Purple), Unspecified/Unclear (blue).



Science and evidence-based planning. SW has produced numerous technical studies and assessments as inputs into planning mechanisms for WSG, including 65 hydrological studies for the watersheds in the focus areas. It successfully supported the design and approval of Water Security Plans in the three provinces, providing technical inputs and facilitation of planning workshops. Year 3 reports indicate that these studies are working their way into the PIWSPs, IWMPs, LWCRPs, and other planning instruments. As mentioned in the section on Relevance, national GPH agencies have incorporated the SW technical studies, especially the watershed hydrological studies, into their own planning and budget allocation criteria. The evaluation team finds that SW has been effective in these interventions aimed at supporting science/evidence-based planning.

Creation of Water Security Council and respective Technical Working Groups. In supporting the PIWSPs, SW's approach has been to establish the WSCs and TWGs to create buy-in and broad support from national agencies, provincial and municipal/city governments, water districts, and other stakeholders, consistent with SW's overall approach and the activity theory of change. Puerto Princesa WSC, created in 2021, for example, has 30 public and private sector members. The WCSs are intended to lead planning processes, aided by the respective TWGs. The WSCs in Puerto Princesa, Negros Occidental, and Sarangani have prepared IWSPs, which during Year 3 have progressed through stages of the design/finalization/approval process. SW provided technical support in the water security assessments, results frameworks, and in drafting the plan documents.

Programming for Water Supply and Sanitation and Water Resource Management. Already the WSCs and their IWSPs are having impacts, for example, through declaration of conservation areas in Sarangani. The Negros Occidental Provincial Integrated WSCs for its part, replaces multiple watershed bodies (WMCs) and works with the municipal/city governments in conducting planning (LWCRPs) and allocating budgeting resources for WRM interventions in watersheds, thus overcoming issues related to overlapping jurisdictions (i.e., watersheds covering multiple LGUs). The process of convening, planning, and programming is slow, as it involves multiple LGU stakeholders and their competing interests, which explains why in the KIIs some stakeholders had critical perceptions of achievements of this intervention. The evaluation finds, however, that SW has made steady progress in Year 3.

Localization of PWSSMP Targets. SW's approach to the localization of PWSSMP targets is to work with the provincial stakeholders, through the process of designing the provincial and city IWSPs. For this purpose, SW developed the Provincial Integrated and Inclusive Water Security Framework and Planning Guide, which purposefully incorporates and "cascades" PWSSMP localization. To the extent that the provincial governments are successful in coordinating with city/municipal governments and watersheds (WMCs) in the planning processes, this will help the LGUs identify their WSS investment requirements that will be the basis for annual budgeting and resource mobilization through the URAF. Again, this is a complex process, driven by reforms at all three levels (national, provincial, and local). It will be worked out over many years, through the annual budgeting cycles. The evaluation finds that SW has made a contribution to the process through the support for the provincial planning bodies and the formulation of the IWSPs. In the final two years of the program, there will be opportunities to consolidate this process working with their LGU partners in identifying and presenting funding proposals through the URAF mechanism.

The analysis of SW's performance indicator achievement in relation to IR 3 is summarized in Table 15 below. It shows that some interventions have advanced more than others. In OI 3.1, SW's work in WSG has focused on support to water service providers and LGUs: the interventions that contribute to the Year 3 target are "assistance to LGUs and other WSS and WRM institutions to develop 12 plans and issue 15 policies to promote water security in the targeted sites." Similarly, with OI 3.2, the focus is assistance to WSPs: the Year 3 achievement was based on SW's support to 15 WSPs to improve their services in terms of water quality management to comply with the Philippine National Standards for Drinking Water (PMSDW) standards and water pressure management. While both indicators show a low level of LOP achievement, the evaluation team considers that SW will likely achieve the target in working with the LGUs and WSPs in the final two years; similarly with IR 3.2, which will likely be achieved based on SW's support for Water Summits and other dissemination activities. Achievement of the LOP result depends mainly on SW.

Table 15. % Achievement of Annual and LOP Indicator Targets under IR 3 (WSG)

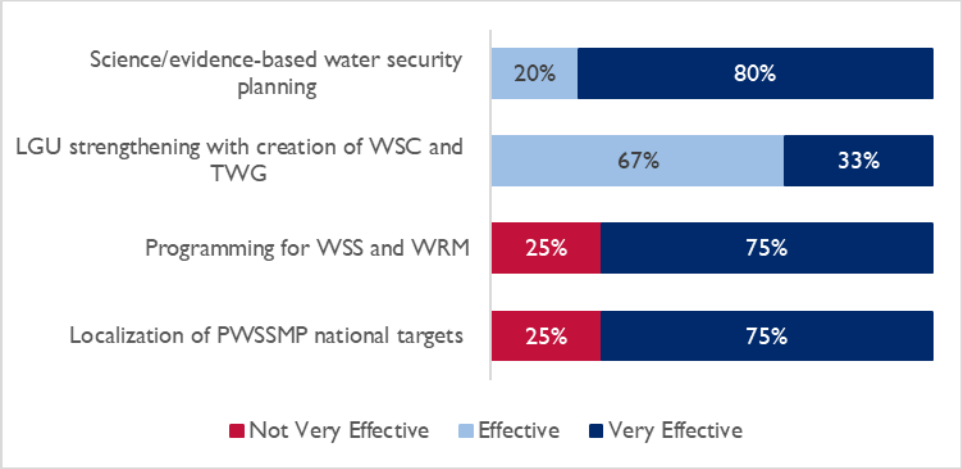
	% Achievement				Comment
Outcome Indicators	**Y1**	**Y2**	**Y3**	**LOP**	
OI 3.1 Number of policies or plans developed, enhanced, or implemented to promote water security	0	113	270	80	SW has made significant progress in supporting IWMPs, LWCRPs, and other water plans with participation of LGUs, WSPs, and WMCs , and other stakeholders
OI 3.2 Number of water and sanitation sector institutions strengthened to manage water resources or improve water supply and sanitation services as a result of USG assistance	0	140	180	92	After overcoming the COVID-19 related obstacles In Years 1 and 2, SW has made progress in Year 3 and is on track to achieve the LOP target
IR Indicators					
IR 3.1 Number of major reform initiatives supported	0	0	na	30	After focusing much of its efforts during Years 1 and 2 on work with national GPH entities, the pace of reform has slowed. SW continues technical support to NEDA, NWRB, and LWUA through LOP but may not achieve target.
IR 3.2 Number of mechanisms developed and/or enhanced for exchanging knowledge on water security	na	75	125	53	SW has accelerated its activities in Year 3, and is on track to achieve the LOP target.

While the evaluation does not focus on the national reform process, it is noted that IR 3.1 shows a considerable lag in achieving LOP targets for major reforms. In Year 1, SW's work was focused on the national water sector reform as set out in the PWSSMP, including the URAF. In Year 2, SW continued to work with NEDA, LWUA, DILG, and Department of Public Works and Highways in promoting adoption of the PWSSMP reforms, while the process slowed due to the GPH focus on the COVID-19

response and NEDA's slow progress in bringing along other entities. In Year 3, the PWSSMP reform process slowed even more.[19] It is unlikely that SW will achieve the target.

Stakeholder Views

Figure 11. Respondents' perceptions of effectiveness of SW IR 3 interventions



The evaluation team tabulated and analyzed the responses of the SW stakeholders to questions about the effectiveness of IR 3 interventions. The results are presented in Figure 11 below. As with the responses in relation to the IR1 and IR 2 interventions, the responses are mainly positive, with the majority of respondents saying the interventions were either "effective" or "very effective." The exceptions were responses in relation to programming of new actions in WSS and WRM or localization of PWSSMP targets, in which 25 percent of respondents said the interventions were "not very effective." This response may be in part an expression of information asymmetries, as not all respondents were necessarily aware of the range of SW activities with respect to localization.

Conclusions on Effectiveness

The exogenous shocks caused by the COVID-19 pandemic undermined SW effectiveness over the first two years of program implementation. The review of the AWP interventions in each year shows a large proportion of interventions that were postponed or only partially completed in Year 1 across all three components of the SW activity. Less than one-third of activities were completed as planned. The Year 2 implementation was somewhat better, as rates of outright postponement of interventions declined and the rate of completed interventions increased somewhat; even so, almost half of activities were not completed and pushed into the following year. In Year 3, SW was able to ramp up activities to almost double the volume of interventions in Year 2 and fully completed almost two-thirds of planned

[19] In Year 3, the national reform process has become even more complex, as the implications of the Supreme Court's "Mandanas ruling" mandating compliance with Constitutional provisions for LGU revenues took effect, but also a requirement to implement provisions for full devolution in services such as health, social welfare, agriculture, natural resource management and tourism. While the ruling considerably increased the LGU revenue base, the requirement of full devolution has whole-of-government implications. The PWSSMP reform agenda is now competing with a raft of Devolution Transition Plans and other measures.

interventions. The observed completion rate of AWP activities probably would have been higher still in Year 3, had it not been for deficiencies in SW reporting formats and contents, which are referenced throughout this evaluation.

The analysis of indicator data for the WSS, WRM, and WSG components triangulates with what the evaluation team saw in the progress reporting. In Year 1, SW did not meet its annual targets for any of the 12 Outcome and IR indicators that reported annually. In Year 2, SW achieved its annual targets in five of the 12 indicators. And in Year 3, it surpassed the annual targets in all 12 indicators. Even so, the obstacles to implementation in Years 1 and 2 meant that SW is lagging in respect to the achievement of many of its LOP targets, with five of the 12 indicators reporting annually showing rates close to or below 50 percent. However, as we discuss below, by the end of Year 3 SW was able to build on agreements with a significant number of LGUs, WSPs, private sector firms, POs, and other stakeholders, which gave it a solid base for the final two years.

Indeed, looking at some of the Outcome and IR indicators by component and triangulating with our analysis of AWP activity implementation, site visits, and interviews with stakeholders, the evaluation team found that with few exceptions, SW had made substantial progress in the interventions in the WSS, WRM, and WSG components. Moreover, the evaluation finds that this rapid progress in Year 3, achieved through intensive site activities with counterparts in each of the three provinces, will likely allow SW to meet most program objectives and achieve a majority of the indicator targets. Having said that, we also found that SW's indicator reporting does not capture effectively the range of interventions. In Year 2 the evaluation found a major anomaly: very low rates of completion of proposed AWP activities, alongside of annual indicator target achievement in most indicators. The annual reporting does not make up for this problem, which as we have observed above is deficient in many respects.

Water and Sanitation Services. With respect to WSS, however, unfortunately for this evaluation, which focuses on interventions to support mobilization of financing, the evaluation team found low levels of effectiveness of SW's efforts to mobilize alternative financing (i.e., from other than public budgets). The work to gain access to commercial bank financing has produced almost no results. There has been no progress at all regarding PPPs, and, while the "proof of concept" for OBA-BF financing mechanisms for household sanitation solutions has been largely successful, it is still at a very small scale. In contrast, SW has worked with partner LGUs and WSPs to improve access to GPH financing, through preparation of project proposals, designs, programs of work, cost estimates, etc.

SW has also sought to mobilize private sector financing for WRM and has shown some success, particularly through private sector support for sustainable livelihoods to avoid watershed degradation through extractive activities or traditional farming. However, SW's indicator for mobilizing private sector financing for WRM suffers from inconsistencies in reporting between Years 2 and 3, and in at least one case the evaluation found a lack of compliance with GCC technical guidance on indicator operationalization, in that case, with reference to indicator IR 1.3 Value of new funding mobilized to the water and sanitation sectors (in US$). These inconsistencies led to a significant overestimation of SW achievement in Year 3, and possibly in Year 2.

Water Resource Management. Overall, for WRM, the evaluation finds that SW has made good progress in almost all of the interventions, whether in assistance to LGUs to reactivate or establish WMCs or

equivalents, and development of IWMPs. SW has also been successful in engaging the private sector in supporting upland communities in sustainable livelihood strategies, mainly implemented with POs. In the case of the latter programs, the evaluation finds that SW reporting lacks important details on the sustainable livelihoods programs and their monetary benefits, which make them difficult to assess. Again, in this respect, we point out some deficiencies in SW's approach to periodic reporting.

Despite SW's rapid recovery from the obstacles in Years 1 and 2, there is a concern that it may be "too little, too late" with respect to the actual protection of watersheds in the three provinces. Among the key indicators for the IR 2 interventions, IR 2.1 Number of hectares under improved watershed management, has a low rate of achievement, only 22 percent against LOP target and well under the Year 3 target of 100,000 hectares. The indicator's targets will be challenging to achieve because of the nature of the indicator itself. Since it is based on the area (in hectares) of forests under improved watershed management, it reflects the cumulative effectiveness of SW's work.

The field visits provide a nuanced set of findings on SW's actual achievements, suggesting that many of the SW interventions can be considered as incipient in terms of improving WRM in the targeted provinces, LGUs, and watersheds. The stakeholders mainly talk about the potential impacts of SW support. This means SW will need to continue to support these LGUs/watersheds to ensure follow-through on the interventions, even while it continues to engage new counterparts and expand its footprint to increase the number of hectares under improved management. With respect to indicator IR 2.1, the evaluation team believes that it is unlikely SW will meet the LOP target unless it is able to take on additional watersheds, a process that takes upwards of a year in terms of convening, creating/strengthening WMCs or equivalents, planning, and mobilizing additional resources.

Water Sector Governance. While there is not a one-to-one correspondence with the key approach to water security planning and implementation, for convenience we have placed it under the rubric of WSC, recognizing that it overlaps with the other components. SW has been highly effective in Years 2 and 3, with support for science/evidence-based planning based on robust scientific studies and other technical inputs. These studies are working their way into the PIWSPs, IWMPs, LWCRPs, and other planning instruments. The support to LGUs, WMCs, and WSCs is creating institutional capacity for convening, leading, managing, and planning. But it is slow and has high transaction costs. Some stakeholders are critical of these interventions. as it involves multiple LGU stakeholders and their competing interests, which explains why in the KIIs some stakeholders had critical perceptions of achievements of this intervention. Finally, the localization of PWSSMP targets is through the provincial and city IWSPs, which is a similar process and will take time to yield results. Overall, the governance interventions are moderately effective.

EVALUATION QUESTION 3: SUSTAINABILITY

What is the likelihood that the mechanisms and initiatives of SW for WSS, WRM, and WSG can be sustained and/or possibly replicated after the completion of USAID's support? What is the likelihood that stakeholders adopt SW's major reform initiatives?

While it is relatively early in the project to assess sustainability, the factors that are often associated with sustainable development programs can be examined at this time to determine if the project is

proceeding in a promising direction. Experience has shown that the best time to begin planning for the continued sustainability of key programs is at least several years before the completion of a project.

USAID's approach to sustainability can be found in ADS references as well as in the USAID Local Systems Framework.[20] ADS 201 defines sustainability as follows: The ability of a local system, network or institutions to produce desired outcomes over time. Programs contribute to sustainability when they strengthen a system's ability to produce valued results and to be both resilient and adaptive in the face of changing circumstances.

USAID's Local Systems Framework. The focus on local systems is rooted in the reality that achieving and sustaining any development outcome depends on the contributions of multiple and interconnected actors. Building the capacity of a single actor or strengthening a single relationship is insufficient. Rather, the focus must be on the system as a whole: the actors, their interrelationships, and the incentives that guide them. Realizing improved development outcomes emanates from increasing the performance of multiple actors and the effectiveness of their interactions. And sustaining development outcomes depends on the sustainability of the local system—specifically, its built-in durability and adaptability that allows actors and their interrelationships to accommodate shocks and respond to changing circumstances.

Assessing the sustainability of a local system requires an approach that considers linkages between near-term choices and long-term consequences. This, in turn, requires an examination of both the technical and social aspects of the local system. For this evaluation, sustainability was analyzed using four factors that have been shown to highly correlate with sustainability. These were also themes that emerged from discussions with SW stakeholders. These factors are:

1. Alignment with national or local policy priorities and regulatory frameworks
2. Stakeholder participation in project planning and implementation
3. Commitment of local government and non-government leaders
4. Counterpart funding support

It is worth mentioning that it is not SW itself that needs to be sustained, nor all of its activities. Rather, the effort can be considered sustainable through continuation of activities critical to achieving the project's main objective, which is "the development of an integrated, evidence-driven, and institutionalized governance and investment framework that will sustain water resources and water and sanitation services for the long term, and thereby improve water security for water-stressed communities in the Philippines."

Alignment with National or Local Policy Priorities and Regulatory Frameworks

This factor refers to the array of laws, regulations, procedures, and technical guidelines in place that potentially facilitate processes of change targeted by donor projects, and to the stakeholders who continue effective processes after these projects end. It includes policies targeted for revision by a

[20] Local Systems: A Framework for Supporting Sustained Development | Strategy and Policy | U.S. Agency for International Development (usaid.gov)

project, or whose design or drafting were supported by donor activities. In many cases, this factor also encompasses local government enforcement or compliance with national policies or initiatives.

New or revised laws can provide a framework for donor assistance for their implementation, including the introduction of new knowledge or processes. New skills or systems may be required to implement existing or new policies. SW is supporting alignment of policies, regulations, and technical guidance with national and local priorities in a number of ways, including advising on national-level policy, helping local governments produce science-based watershed management plans that can be transcribed into local ordinances, and supporting the use of new technologies and procedures to strengthen the implementation and enforcement of existing regulations. An example of SW's work in this area includes the preparation of local resource management and watershed plans, including the IWMPs and LWRCPs, which can be codified through regulations and ordinances, and then funded by LGUs as a regular component of their strategic and budgetary plans. Another example is work on the Lawin Forest and Biodiversity Protection System (Lawin) to monitor and enforce conservation laws.

KIIs indicated a strong alignment between SW's initiatives and the policies and regulatory frameworks, particularly at the sub-national level (see also section on Relevance). Some examples are as follows:

- Eighty-nine percent of the respondents said they have a water security plan and 100 percent said they have trained personnel to implement and evaluate the plan. Supporting the development and implementation of these plans is a central focus of SW. This includes the localization of the NEDA-led PWSSMP.

- The IWMP of Montible Watershed in Palawan has been completed, and this was led by the Puerto Princesa City Water District. Likewise, the IWMPs of Buayan-Malungon River Basin and Bago Watershed have been approved by their respective councils. Furthermore, the Upland Conservation and Management Plan (UCMP) of General Santos City has been completed. Bago IWMP and General Santos' UCMP have funding through the conservation fee generated by the Bago LGU, and the Integrated Protected Area Fund's share of the LGU of General Santos City, respectively.

- In terms of the LWCRPs, draft plans were already prepared in Alabel, Malungon, and Maasim in Sarangani, and in Bago City in Negros Occidental. Meanwhile, SW is assisting at least four municipalities in Palawan in the LWCRP preparation.

- Executive Orders were issued in Palawan supporting the creation of WMCs and TWGs for the municipalities of Dumaran, Quezon, Narra, and Roxas. Similarly, an Executive Order was also issued for the TWG creation for the Malogo-Imbang Watershed in Negros Occidental, which in turn will facilitate the creation of its WMC.

- In Palawan, SW's development of a hydraulic network model for the water district's water supply system provided a big impact to the water district in seeing the actual system condition of their operation.

- SW has supported national-level DILG in the pre-test of the CMS for the 560 LGU-run water systems nationwide. It has also supported the DILG in ring-fencing of Municipal Economic Enterprise, which could result in assured financing of the water enterprise.

Stakeholder Participation in Project Planning and Implementation

This factor includes stakeholder participation in routine coordination and in project activities, such as training events and planning meetings. It also reflects the project's ability to create the space and opportunities for local groups (government agencies, donors, CSOs, private companies, and citizens) to articulate and advocate for their interests, express their concerns, and shape and participate in project implementation and oversight activity. When this engagement occurs, results improve, ownership is increased and there are likely to be more sustained impacts.

SW clearly follows international best practice in water sector interventions, placing a premium on stakeholder engagement and participatory approaches across most of the interventions. As a result, the evaluation team finds that there is a high level of participation and local ownership of approaches. This was evident in several ways, including:

- The creation and reconstitution of WMCs, which are composed of individuals from a range of agencies who can coordinate activities across agencies, communities, and larger geographies, e.g., watershed level. For example, the WMCs in BRMB and Siguel Watershed in Sarangani have been approved.

- Frequent convening of multisectoral planning forums, including for watershed management and planning at various spatial scales. An example of an accomplishment in this area is the frequent interactions of the upland POs with the private partners and local government officials, which SW helped to facilitate. DENR mentioned that they are *"involved during the planning sessions for the development of IWMP. Online webinars were also held related to watershed management"* (DENR PENRO Palawan). Sarangani's provincial LGU further mentioned that stakeholders were highly involved in the planning process. This participatory approach can be practiced more extensively. Gen San City's Environment and Natural Resources Office mentioned *"[We] wish to have constant engagement with partners."* Municipal LGU Alabel said, "*Regular meetings will be welcome where local managers will be the one to call/plan the meetings."*

- Among the mechanisms available, the availability of a water security or watershed management plan is the most evident. This is due to the already approved IWMPs and PIWSPs in the different sites. Developing these plans has been the result of a highly participatory process between SW and sub-national governments, including the participation of political and technical agencies.

- Broad community participation in a range of activities, including livelihood activities managed by strengthened CSOs and community participation in resource patrolling and protection under the Lawin program. SW is implementing the Lawin program across all three sites. Also, the livelihood support activities, such as ube production in Palawan, vegetable production in Negros Occidental, and coffee production in Sarangi, all involve significant community engagement.

These expressions of stakeholder engagement are found across agency planning and community participation e.g., coordination forums and feedback mechanisms, and are mechanisms for developing resource management plans, building local commitment, and coordinating implementation.

KIIs cited implementing partner management (83 percent) and stakeholders' participation (75 percent) as the most essential elements of sustainability. This also validates the crucial role of stakeholders in the decision-making process despite having diverse perspectives. When the stakeholders are involved in the process, this will increase the legitimacy of the decisions, including the decision-makers' accountability. Community support is also enhanced, therefore resulting in improved sustainability outcomes. "The LGU is currently preparing plans and mechanisms for devolution due to the Mandanas ruling. LGU is supportive since the SW interventions can assist them in this process" (DENR).

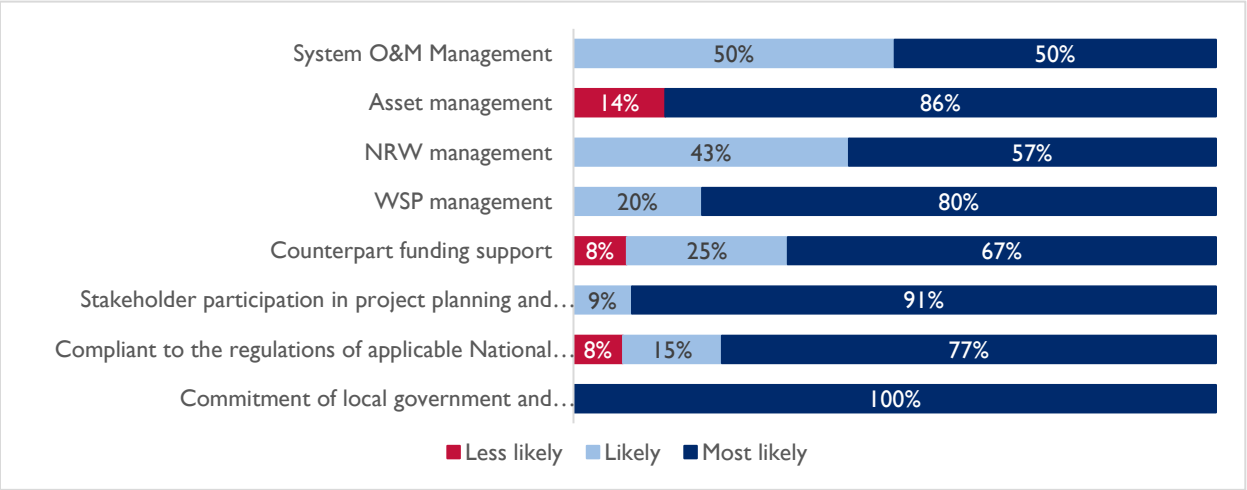
When asked about which interventions are most likely to be sustained, 100 percent of the respondents cited the assistance in establishing or reactivating WMCs and private sector partnerships and engagement. This points to the importance of WMCs in ensuring the implementation of the various projects and programs identified in the plan. The councils mainly serve as oversight and advisory bodies and are tasked with the coordination and implementation of strategies for the sustainable management of the watersheds. The detailed guidelines for creating WMCs are stipulated in DENR Administrative Orders 2021-41 (see Annex V.2).

Commitment of Local Government and Non-government Leaders

This factor refers to the attitudes and actions of individuals who hold positions of leadership or management authority within project counterpart or stakeholder institutions. They include the offices of governors and mayors, the leaders of LGU technical agencies, and leaders of community-based development organizations. Within the local government bureaucracy, these are upper and middle mananagement officials who often have responsibility for functions such as strategic planning, resource allocation, and replication of adopted practices in other units, institutions, or districts. These individuals have the ability to stimulate and drive organizations toward change. Their motivation and willingness to act can mean the difference between success or stagnation of a given initiative in which their institution plays a significant role.

For SW, the evaluation team found committed partners across all three projects sites and among the project's various areas of focus. These partners have supported progress toward achieving the project's objectives in many ways, including allowing staff from their agencies to spend time working together with SW and attend trainings, marshalling the resources of their agencies to move activities forward and working to complete plans that provide direction to the program, and helping to develop policies and regulations to codify program objectives. They have demonstrated how to achieve results and have "mainstreamed" those results into regulations, as well as in planning and budgeting systems, for both the short and medium term.

Figure 12. Stakeholders' views on requirement for sustainability



As shown in Figure 12, the top three elements that respondents identified as requirements of sustainability are commitment of local government and non-government leaders, stakeholder participation in project planning, and asset management.

Specific examples that illustrate the high level of local government commitment to the SW program include the following:

- In Negros Occidental, the province has set aside 90 million pesos/year for the next two years from the LGU fund for activities outlined in the provincial water security plan. This is a dedicated government fund, although is not yet being spent because the activities are still in the planning stage. The LGU will fund most of these activities.

- In Sarangani, the SW interventions on programming for WSS and WRM resulted in the prioritization of program, projects, and activities based on scientific data. Safe water and sanitation projects were proposed and have been included in the regional development plan.

Counterpart Funding Support

This factor refers to the use of co-funding, cost sharing, or direct government financing of programs, including the creation of post-project finance mechanisms to continue SW-implemented initiatives. SW's design includes four main streams of activity to help ensure that project initiatives can continue to be financed after the completion of the project. These include:

- **Provincial and LGU budgetary support.** This relates mainly to the financing of watershed management plans. SW works to develop the science-based plans and then supports a process to have them formally approved by provincial and local governments as ordinances. Once the ordinances are developed, the plans can be included in the government's development plan, for example within the Provincial Physical Development Framework Plan. This then creates an opportunity for the activities to receive annual governmental budgetary support.

- **Conservation fees/PES.** These schemes impose an environmental fee on water users, and the funds collected are then distributed to support local watershed conservation activities. An example of a PES scheme is Bago City's collection of revenue from water users. This revenue is "ring-fenced," then used to support conservation activities in the watershed, including support for community based Lawin resource monitoring patrols that identify illegal resource use, such as illegal forest clearing, and then report the activities to local law enforcement for legal action.

- **Commercial finance/blended finance.** The OBA-BF program combines public grants with household equity to pay for the full cost of household sanitary toilets. Public grants subsidize a portion of the cost of improved sanitation facilities, and these are complemented with household equity, based on ability to pay and sourced from microfinance loans.

- **Private sector partnerships.** SW is designed to promote private sector partnerships in a few ways. One is for the building and management of water supply facilities and systems. Another approach on private sector partnership is SW's promotion of livelihood activities. Most often these activities promote agricultural production and processing and partner with private sector operators who provide TA and market access, sometimes by directly purchasing the products produced by the communities. It should be noted, however, that while the livelihood programs leverage funding, this is not funding that can be used to implement subnational watershed management plans.

In WSG, SW has encouraged integrating the provisions of the water security plans and other plans in the LGU-mandated plans (Comprehensive Land Use Plan or CLUP/Comprehensive Development Plan or CDP/ Forest Land Use Plan or FLUP). This is a critical step to ensuring the programs become part of the LGUs' programs, projects, and activities, and thus become eligible for government funding. Specific accomplishments in this area include the following:

- The Puerto Princesa City government has started to integrate the water security programs, projects, and activities into the mandated LGU plans such as the CDP and CLUP.
- In Sarangani province, executive and legislative branches are now aware of the activities to be prioritized in the implementation plans. This will facilitate integration of water projects in LGU mandated plans and programs.

Regarding PES programs, Bago City, General Santos City, and Palawan province are collecting funds for environmental conservation. Although these programs were initiated prior to SW, SW has engaged in some cases to help refine and strengthen them. For example, in Bago City, SW helped to revise the existing ordinance so that the funds collected are now retained in a dedicated environmental fund for distribution to support priority community-based conservation activities. Similarly, General Santos City was able to request access to their share from the Integrated Protected Area Fund that would be used to support restoration/rehabilitation activities in the upland barangays of the city, and the funding of Lawin and Bantay Gubat. In other localities, SW has begun training staff on data to be gathered in support of developing a PES program.

Another highly rated intervention with respect to prospects for sustainability is private sector partnership and engagement. Respondents have perceived that collaborative engagement with private

institutions can sustain the activities even after the project has ended. Their engagement with SW is also aligned with their organization's objectives and goals; hence, it was easy for them to participate in the program. This is particularly the case for community-based livelihood activities, which partner with private sector firms and sell products through existing marketing channels.

For livelihood activities, a number of SW initiatives have forged partnerships with private organizations, upland communities, and government institutions. These partnerships are based on commercial market principles, with the private sector buying and selling the community products. The progress reports suggest they are commercially viable, without presenting data. They may provide a model for SW to continue to pursue. Examples of upland activities implemented in partnership with the private sector include:

- The Partnership for Water and Economic Resilience (P4WaTER) program being implemented by MUAD-Negros with funding support from Coca-Cola Foundation Inc., seeks to rehabilitate the watershed area in Negros Occidental while providing livelihood opportunities and financial literacy to upland communities.
- The assistance of Sunlight Foods Corporation to establish an ube demonstration farm in Barangay Napsan in Puerto Princesa City.
- Trainings to coffee mentors in Malungon, Sarangani, in tandem with SW and its partners helping to establish demonstration farms for coffee production and showcasing alternative farming practices such as Sloping Agricultural Land Technology.

Conclusions on Sustainability

Among the four sustainability factors this study analyzed, the first three—alignment with national or local policy priorities and regulatory frameworks, stakeholder participation in project planning and implementation, and the commitment of local government and nongovernment leaders—show considerable progress and strength. Progress in these areas is enhanced by the project's strong degree of relevance and its alignment with national and local programs and priorities.

SW's initiatives directly support government policy and planning initiatives and are a strong fit with local needs (see also the section on Relevance). Findings from this evaluation suggest that the project's direct stakeholders in the areas where SW works will likely continue SW's major initiatives, especially in the areas of watershed planning, and with collaboration between the private sector and upland communities.

To some degree, the first three sustainability factors analyzed are enabling conditions, which are precursors to securing sources of sustainable finance. However, without a source of sustainable finance, the prospects for programs being sustained diminish substantially. This is a program area that is not yet mature and, in some areas, is not progressing in a promising direction. In particular, the evaluation team did not find strong examples of progress in the areas of PPPs, PES promotion and operation, commercial financing, or OBA-BF implementation uptake or expansion.

RECOMMENDATIONS

1. *Conduct a review and reality check on SW's ability to reach LOP targets in the different components.* While SW has made a commendable effort to recover time lost to due to COVID-19 impacts on implementation in Years 1 and 2, there may be insufficient time left to achieve all of the targets, given that the rate of implementation is conditioned by LGU decision-making and annual budget cycles. Of particular concern are OI 1.4 Number of people receiving improved sanitation services quality from an existing "limited" or "basic" service as a result of U.S. government (USG) assistance; IR 2.1 Number of hectares under improved watershed management through Safe Water activities; OI 2.3 Number of people receiving livelihood co-benefits (monetary or non-monetary) associated with USG sustainable landscapes activities; and OI 2.1 Amount of greenhouse gas emissions reduced or avoided (Metric Tons).

2. *Related to the previous recommendation, consider an extension of the SW LOP.* Overall, this is a highly successful activity, and it has been able to put "boots on the ground" across the selected sites only in Year 3. The investment of program start-up, building relationships with counterparts, establishing a presence in the provinces, etc., will probably not be fully realized if the program is ended in 2024. In that many of the activities are directly linked to annual cycles of public sector planning, programming and budgeting, the delay has taken away SW's ability to implement many of the interventions through several budget cycles. This also undermines sustainability.

3. Develop updated, partial work plans for Years 4 and 5 focusing on the interventions showing promise for expansion, identify resources required to meet program objectives and targets, and reassign resources in function of these plans. This may result in a degree of "triage," backing off some interventions and focusing resources on those interventions with potential to achieve results, i.e., placing less emphasis on commercial bank financing and PPPs, and ramping up interventions in focused technical support to WSPs to improve services; leveraging additional private sector support for scaling up the successful OBA-BF pilots; enhanced support to programming in WSS and WRM; expansion of pilots in sustainable livelihoods, and replication of Lawin Forest and Biodiversity Protection System.

4. *Develop a sustainability and scaling strategy for SW interventions incorporated into remaining LOP AWPs.* It is not entirely clear from the program documents what SW's strategy is for achieving scale effects within the three focus provinces. We said above that the partner LGUs have strong incentives to sustain certain interventions, but can they be replicated? Can provinces have a leading role in taking SW interventions to a larger group of institutions? LGU associations such as the Union of Local Authorities of the Philippines, Philippine Association of Water Districts or similar? SW and USAID, perhaps with some of the partners and government counterparts, could prepare and conduct a closely facilitated effectiveness/sustainability learning workshop, informed by GIS inputs and other materials to map existing and proposed SW interventions, and co-design a strategy.

5. *Review the SW strategy for assisting LGUs in accessing GPH financing in light of the emerging impacts of the Supreme Court's Mandanas-Garcia ruling. One immediate impact may be LGU underspending in*

capital investment projects and missed opportunities in water sector financing.[21] *SW, together with partner LGUs, should review the changed context, approach, and results to date concerning the project's efforts to secure WSS financing. SW should consider expanding rapidly the support to LGUs in the three provinces to assist in developing WSS and WRM investment projects based on the extensive planning activities conducted in Year 3. This might include subcontracting of engineering firms to assist partner LGUs in developing a pipeline of fundable projects.*

6. *Engage GPH partners to sustain WRM interventions.* The Department of Environment and Natural Resources (DENR), through the River Basin Control Office, can possibly play a key role in facilitating collaboration among LGUs, and regional/local agencies of DENR can provide support for sustained management of water sources within the watershed. For these agencies to be effective in these respective roles, SW should assess the level of commitment of the agencies to take on such a role and analyze and address the capacities that will need to be strengthened. SW could support DENR to create a WRM project bank, or similar mechanism, to maintain a pipeline of project packages for funding by government, or through other sources.

7. *SW should revisit its strategy of supporting PES and increase efforts in this area.* This review should start with a rapid assessment of implementation to date. PES schemes offer an important mechanism to sustainably finance future conservation initiatives, and they are one of the best ways to support local community participation and buy-in. SW should give this work a higher priority in terms of focus and resources. This could include a more comprehensive approach that focuses on activities such as financing studies, establishing payment rate schedules and deciding who will pay, advocacy for adoption, developing regulations, and supporting management structures for the collection and disbursement of funds—activities that require a focus and level of effort well beyond providing orientation workshops.

8. *Revisit the OBA-BF strategy to ensure it meets the needs of targeted households and is financially viable.* This could be done through a robust third-party assessment, complemented by participatory workshops with partners. If viable, effort should be made to expand the program so as to achieve some level of meaningful scale, including by ramping up outreach efforts to LGUs and communities. To have success at scale, the activity may require a national or LGU government champion with sufficient resources to implement a critical mass of these local schemes.

9. *Conduct an assessment of the sustainable livelihood interventions with private sector partners to identify achievements and challenges, including a robust evaluation of monetary benefits.* The SW reporting on this intervention is deficient, lacking basic quantitative data on monetary benefits. The assessment should inform better monitoring and reporting on this indicator, including a revision of the respective indicator data reported in the annual progress reports. It can also inform the design of a scaling-up/replication strategy for the remaining LOP. Given the time constraints, SW might consider using rapid assessment approaches. If the findings from these assessments are positive SW and partners should go on to develop materials for replication and extend the

[21] See World Bank. (2021). *Philippines Economic Update. Navigating a Challenging Recovery*. Washington DC: World Bank. Pp. 30-49.

programs to additional watershed communities. Ideally, these activities will have a strong environmental rationale and be linked to the objectives of watershed management plans.

10. *Review and improve SW's reporting format and contents.* The current format uses extensively "snapshots" of activities. SW had very low rates of completion of its proposed interventions in Y2, yet met a large number of its targets. This is a major anomaly, suggesting that the SW MEL indicator target set does not adequately represent the full range of SW approaches and interventions. For this reason, the annual progress reports are important in documenting SW results. Moreover, the information on the different key approaches and interventions in the annual reports is dispersed and incomplete, making it difficult to understand whether the program has implemented AWP activities and what were the results. In this sense, it does not provide the needed accountability to USAID. We recommend a more syntopic approach, using tables and graphs to summarize interventions across the SW sites, and using text boxes, infographics etc. to highlight relevant examples. Whatever the format, the progress reports should state unequivocally whether the planned activities were implemented completely, partially, pushed into the following year, etc.

11. *Conduct a robust DQA and data audit on SW indicators, including both F Indicators and Custom Indicators.* The evaluation team found inconsistencies in reporting on several SW indicators, and important gaps in descriptions of data sources for others. The indicators on financial resources mobilized and material co-benefits of livelihood interventions are particularly problematic. The indicator on financial resources mobilized clearly contravenes GCC guidelines, and SW's explanations for the change in indicator calculation are not at all convincing. The review should go beyond the common "checklist" used for DQAs to include a review and analysis of the evidence used in calculating indicator values and an assessment of its quality through data audit techniques. On the basis of the quality assessment and data audit, if required, SW should make the respective changes in indicator calculations for Years 1 to 3 and for the remaining LOP.

November 15, 2023

Reference: Contract No. 72049220D00002, Philippines Safe Water Activity

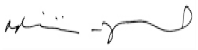
Subject: **Mid-Term Performance Evaluation – STATEMENT OF DIFFERENCE**

DAI Global LLC (DAI) respectfully submits a Statement of Difference in response to the Mid-Term Performance Evaluation of the Philippines Safe Water Activity (Safe Water) conducted by ClaimDev Project. DAI staff had opportunities to engage with ClaimDev while it conducted its evaluation, and to provide feedback on the draft final reports. DAI presented detailed and extensive comments on each draft that focusing on clarifying Safe Water's approaches and strategies and correcting inaccuracies in the data and analysis. However these comments were not adequately addressed.

Despite our active engagement and timely review of the presentations and draft final reports, DAI remains deeply concerned with the quality and accuracy of the Final Mid-Term Evaluation Report prepared by the ClaimDev. The Final Report contains incorrect statements, errors in the computation of variances in project targets, and the recommendations are drawn from assumptions and misperceptions regarding Safe Water's technical scope, approaches, and operating context.

DAI's significant concerns are presented in the table, below. Our staff are available to discuss these concerns. Requests should be sent to contracts@dai.com with "Philippines Safe Water Activity – Mid-Term Performance Evaluation" listed in the Subject Line.

SUBMITTED BY:



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In the table below, DAI outlines are specific differences with the findings of the Evaluation Report:

Reference	Findings/Conclusion/ Recommendations	DAI Basis for Difference
Executive Summary, page xi, Recommendation #5	(5) Review the SW strategy for assisting LGUs in accessing GPH financing in light of the emerging impacts of the Supreme Court's Mandanas-Garcia ruling. *One immediate impact may be LGU underspending in capital investment projects and missed opportunities in water sector financing. SW, together with partner LGUs, should review the changed context, approach and the results to date concerning the project's efforts to secure WSS financing. SW should consider expanding rapidly the support to LGUs in the three provinces to assist in developing WSS and WRM investment projects based on the extensive planning activities conducted in Year 3. This might include subcontracting of engineering firms to assist partner LGUs in developing a pipeline of fundable projects.*	**Safe Water results clearly demonstrate that engaging engineering firms to prepare projects is costly and ineffective without significant commitment from LGUs or water service providers implement projects.** Safe Water's approach to increasing investments in water supply and sanitation (WSS) drew from the experience of NEDA and LWUA, which ran a grant program from 2015 to 2018 for various feasibility studies for septage management, bulk water supply and non-revenue water management. To date, very few of these projects have been funded due to poor enforcement of economic regulations, and unempowered consumers that do not compel LGUs and WSP to invest. Learning from this, Safe Water's approach was to build capacity in project preparation, planning (e.g. strategic business planning, water safety planning) and engage LGUs/WSPs in this process, rather than provide direct technical assistance in project preparation. For major projects, Safe Water has also been providing pre-feasibility studies, which then justifies further investment for the detailed feasibility studies (i.e., Negros Occidental's surface water bulk supply project). For smaller projects, Safe Water reviewed programs of works to ensure the designs meet standards and are efficient, and construction methods (especially for well drilling) are sound. Based on experience, projects are likely to get implemented if LGUs or WSPs have a stake in project preparation as this secures their commitment to see the project through. As evidence, Safe Water has mobilized $18.5 million of investments in WASH projects by the end of Year 3. Additionally, investments in WSS and water resource management (WRM) have been mobilized through the development and adoption of the Provincial Integrated Water Security Plans, which helped LGUs to generate a pipeline of projects that identifies potential funding sources (e.g. local budget). Mobilizing investments in WRM required a different approach in that SW engaged municipal agriculturists and environment officers as technical assistance providers and leveraged their resources such as farm inputs, farm technicians and facilities. The different contexts in the SW-supported sites drive the kind of WRM projects

Reference	Findings/Conclusion/ Recommendations	DAI Basis for Difference
		that LGUs wish to pursue. SW will document successful interventions and present them as models or cases for future WRM project.
Executive Summary, page xi, recommendation #7	**SW should revisit its strategy of supporting PES and increase efforts in this area.** *This review should start with a rapid assessment of implementation to date. PES schemes offer an important mechanism to sustainably finance future conservation initiatives, and they are one of the best ways to support local community participation and buy-in. SW should give this work a higher priority in terms of focus and resources. This could include a more comprehensive approach that focuses on activity such as financing studies, establishing payment rate schedules and deciding who will pay, advocacy for adoption, developing regulations, and supporting management structures for the collection and disbursement of funds – activities that require a focus and level of effort well beyond providing orientation workshops.*	**The report misrepresents the full scale of Safe Water's support to PES, which extends well beyond orientation workshops.** Safe Water's assistance in PES has gone beyond providing orientation workshops. Its technical assistance followed two tracks: one is to initiate PES systems in LGUs, and the other is to help LGUs with pre-established PES systems to make them work for their intended purpose. Many of the LGUs with pre-existing PES have passed PES ordinances and were able to collect PES fees but were not able to use these funds in the absence of financial management guidelines. For the remainder of the project, Safe Water will focus more on helping LGUs with previous PES initiatives to ring-fence these accounts, formulate the financial guidelines, and develop 3-year work and financial plans as well as Local Watershed Conservation and Restoration Plans as bases for disbursing PES funds. For example, Bago City now has an approved LWCRP as the basis for allocating PES collections by the LGU. Similarly, Narra, Palawan was able to use its PES collection after approval of its watershed management plan.
Executive Summary, page xii, Recommendation #11	**Conduct a robust DQA and data audit on SW indicators, including both F Indicators and Custom Indicators.** *The evaluation team found inconsistencies in reporting on several SW indicators, and important gaps in descriptions of data sources for others. The indicators on financial resources mobilized and co-benefits of livelihood interventions are particularly problematic. The review should go beyond the common "checklist" used for DQAs to include review and analysis of the evidence used in calculating indicator values and an assessment of its quality.*	**The DQA goes beyond a common checklist. The means of verification is detailed and fully documented.** For example, the calculation of financing mobilized is based on data that is clearly documented in the partnership agreements. Safe Water is accounting achievements based on the definition of the indicator, methodology of data gathering, and sources of data including evidence or means of verification consistent with the PIRS contained in its approved MEL plan of the project.
On Relevance: SW Stakeholder Views Page 11	*"The deficiencies indicated in the above table refer to the following: under planning/training (sanitary inspectors indicated they require further training to perform their responsibilities), and inadequate capacity building (plumbers indicated they need hands-on training after the theory training to be able to competently perform required tasks)".*	**Safe Water does not conduct skills training.** It would be more efficient to use government skill training centers such as Technical Education and Skills Development Authority (TESDA). The training being referred to does not apply to SW. Please note that Safe Water has not provided any training for plumbers and sanitary inspectors since its first year of implementation. Safe Water

Reference	Findings/Conclusion/ Recommendations	DAI Basis for Difference
		assumes that plumbers and sanitary inspectors are skilled professionals with prior knowledgeable in their fields before they are hired by their respective employers. For skills training such as this, they are best taken at TESDA, which offers certification.
Findings on Relevance of Approaches in IR. 2 (WRM), page 12	"Private sector engagement. *Overall, the evaluation team finds that the strategy is relevant to SW goals of promoting broad participation and support for watershed conservation. However, from international experience, an issue that sometimes emerges is to what extent corporate sponsors of the foundations and CSR initiatives have interests water resources within in the targeted watersheds; how these interests relate to their investments in watershed conservation; and how these interests are balanced with community interests, especially in the case of vulnerable communities."*	**The international experience cited by the Evaluation Team is inappropriately extrapolated to the local context of Safe Water's corporate engagements**. The project has been strategic in identifying partners from the private sector that have clear and strong environmental, social and governance commitments. For example: ● Sunlight Foods needs to comply with the Unilever Sustainable Agriculture Code as requirement for responsible sourcing of raw materials (core business) ● The Coca-Cola and Alcantara Group have a tangible interest in watershed investments given that water scarcity poses a material risk to their businesses. Coca-Cola's investment in the watershed in Negros Occidental is aligned with the global water stewardship program and as expression of its social responsibility to the communities where one of their bottling plants operate. In the case of Alcantara Group with business interest in geothermal power and agri-business, they are compelled to invest in watershed conservation and maintain good relationships with the watershed communities.
Page 15	"Informants also valued the support to upland communities on sustainable livelihood (90 percent "most responsive") and private sector partnership and engagement (86 percent), the latter of which primarily involves partnerships to support and market agricultural products. *The responses in relation to the interventions for establishing PES suggest a strong degree of "courtesy bias", given the scant progress in this area in the first three years of the SW activity. The positive responses on the sustainable livelihoods do not mean the interventions may be producing results in terms of incomes; as we discuss in the section on Effectiveness, this intervention lacks an evaluation strategy."*	**Classifying the responses to PES interventions as an indicator of "courtesy bias" in relation to the intervention's "scant progress" in the first three years is conjecture and inappropriately disregards how LGUs perceive its relevance to their needs**. The PES is an innovative financing mechanism that augments LGU budgets. This important role of PES may be contributing to the positive responses of the respondents, which the Evaluation Team could have probed in its interviews. The statement pertaining to positive responses to sustainable livelihoods equates benefits to "incomes," which limits and excludes all other benefits identified in the PIRs of Safe Water's approved MEL Plan. SW sustainable livelihood approach covers

Reference	Findings/Conclusion/ Recommendations	DAI Basis for Difference
		addressing gaps in the capabilities, asset building, and access to market and financing. These benefits are tracked through various means of verification MOVs) as described in the SW MEL Plan.
Page 21, para 3	"In Year 1 and Year 2, SW had a low rate of fully completed AWP interventions (28.6% and 30.7%, respectively), while Year 3 showed a marked improvement (60.3%). In Year 1, more than 40% of AWP interventions were postponed outright, but in Year 2, presumably as SW adapted to the constraints of COVID-19, the portion of postponed activities fell, but there was a large increase in "partially completed" interventions (44.8%). Fully completed activities remained low in Years 1 and 2, and then rebounded to above 60% in Year 3 in the context of a large expansion in the overall number of proposed AWP interventions."	**The report is not clear on what interventions are being referred to**. Additionally, there is also no clear basis for calculating rate of completion for interventions. This paragraph should be reexamined, along with the following sections with related discussions. • Page 23, Findings on IR1 in reference to Figure 6; • Page 27, Findings on IR2 in reference to Figure 8; • Page 34, Findings on IR3 in reference to Figure 10; • And other related sections.
On Effectiveness, Page 28	"SW's approach to livelihoods is to work through peoples' organizations (POs) in the watersheds to introduce sustainable agricultural practices that are sufficiently remunerative for households to abandon extractive practices and hence avoid further forest degradation. While there may be an argument for a *prima facie* finding of the relevance of the sustainable livelihoods to SW's goals, international experience with rural livelihoods programs, including programs in the Philippines, show that they are not always effective. A major program evaluation conducted by IFAD of its portfolio of rural livelihoods programs in the Philippines in 2017, for example, found that "the effectiveness of the group-based approach pursued under some projects (e.g. enterprise groups) for increasing livelihoods opportunities has not been proven with convincing results and evidence". "It is not evident to the evaluation team whether there are robust MEL strategies to analyze outcomes in terms of monetary and non-monetary benefits. Some of the programs under way are funded through corporate social responsibility (CSR) initiatives; international experience suggests that generally companies have not supported robust MEL strategies for their CSR programs."	**The cited IFAD report is inappropriately extrapolated to SW's work**. The IFAD program portfolio evaluation has a significant lending/grant component. This is unlike SW which focuses on market access at the outset, which the IFAD evaluation cited as a recent intervention in their portfolio. While SW livelihood approach is group-based at the learning phase, the approach shifts to support individual production activities. For example: • Individual growers who graduate from the demo phase have moved to cultivating their ube in their own plots. • Coffee farmers are trained on good agricultural practices to tend their individual coffee farms. • Individual vegetable farmers in Palawan sell their produce through Project Konekt a digital platform by SW partner, Project Zaccheus cooperative. Safe Water's approach to livelihoods has delivered tangible monetary and non-monetary benefits to the project's beneficiaries. They have been validated by SW through FGDs, consistent with the requirements of PIRS for collecting and evaluating data for Outcome 2.3.
On Effectiveness, Page 28	"The SW periodic reports provide a scope/description of Outcome Indicator 2.3 "livelihood activities (e.g., organic farming) … which provided monetary and non-monetary benefits". The SW MEL Plan description of the source	**The underlined text is premature and could have recommended the validation of benefits through a DQA.** In particular, this indicator has yet to undergo DQA, which will determine whether

Reference	Findings/Conclusion/ Recommendations	DAI Basis for Difference
	states: "Data will be collected from implementing partners with knowledge of their specific activities and programs". However, the periodic progress reports do not present data on material and non-material benefits. While photos of beneficiaries and testimonies are useful for context, they are clearly insufficient to establish a case for effectiveness. *For this reason, the finding is that SW has not demonstrated that the sustainable livelihoods interventions will produce benefits. This important point is discussed further below in analyzing the IR indicators for WRM."*	material and non-material benefits have been delivered, consistent with the PIRs of SW's approved MEL Plan.
On Effectiveness, Page 31, para 4	"*The GCC Indicator Handbook clearly states that "finance mobilized may be reported under this indicator at financial closure. Financial closure is when the contract or agreement is signed by all relevant parties". While SW states in its Scope/Description of the indicator that ECLOF "offers a $6.8M portfolio of loans", these loans may be made to individuals and organizations in the future and in this sense, while SW has an agreement with ECLOF, these funds are still far from "financial closure", a process which will happen gradually over the LOP as loans are disbursed through legal instruments."*	**ECLOF has earmarked a portion of its loan portfolio to support watershed management activities. This would not have happened without USG's support, highlighting the additionality of USAID's support.** Also, Safe Water remains compliant with its MEL Plan, approved by USAID in Feb 2022. The GCC Handbook cited by the ET, and its new requirement for financial closure was not enforced until June 2022. Prior to the June 2022 version, the GCC Indicator Handbook requires 'a variety of instruments and vehicles" to mobilize finance. Nonetheless, SW has received reports that ECLOF has made loan releases to individual borrowers from SW-assisted POs in Palawan.
Executive Summary Page vi	*"Some interventions in mobilization of alternative financing and sustainable livelihoods have not yet shown convincing results."*	This statement could have been conveyed more constructively. **At the time of the evaluation, the results of the OBA-BF pilot were just being processed and being an innovative scheme, it still had to be promoted based on the proof of concept.** The replication in Cauayan may be small, but the bigger value is its demonstration that it can work with LGU funding, particularly, it passes muster with COA audit. The uptake for the OBA-BF is expected to be slow, but SW works to promote wider adoption and identify a national champion to increase adoption and replication.
On effectiveness and sustainability rating, Page 24	*"Public-private partnerships. The other intervention for mobilizing financing for WSS showing little or no progress in Years 1 to 3 is support for PPPs. Again, the analysis of the AWPs finds that progress in this area is "unspecified", as the periodic reports are unclear on results and next steps. On PPPs, the Year 3 AWP states that "the team will coordinate with PPP Center to access materials…assist Provincial Government of Negros Occidental (PGNO) to pursue a PPP project for bulk water supply… also engage*	The Evaluation Team needs to define what "progress" means in this statement. **On effectiveness of mobilizing PPP financing, Safe Water did not set targets for PPP projects, rather it promoted it as one of the financing modalities that can be tapped where appropriate.** Appropriate meaning, PPP arrangement has value for money over the conventional financing by a government entity; and that the government entity is interested and committed to the arrangement.

Reference	Findings/Conclusion/ Recommendations	DAI Basis for Difference
	WDs with proposed joint venture agreements for assistance in contract management". The Year 3 progress report refers to "facilitating" the use of PPP and states that SW is supporting a hydrological study but beyond that shows no concrete progress. Given the timelines for PPP development and completion, there appears to be scant possibility of substantive progress."	PPPs work best for big projects that would make it worthwhile for all parties concerned to invest time and resources from project preparation, transaction, capital investment, construction and operation and maintenance. Among the pipelined or potential projects by Year 3, only one is appropriate, this is the Negros Occidental bulk water project. Because of Safe Water support the project has made it to the point of market sounding, which will be followed by the procurement of the PPP contractor by September 2023.
On Relevance: SW Stakeholder Views Pages 16-17	"However, only Negros Occidental had developed plans that have been cascaded to the municipal level. Puerto Princesa and Sarangani have not yet gone forward with or completed such plans…"	**This statement is factually incorrect. Kindly note that as of Year 3, both Negros Occidental and Sarangani have approved provincial water security plans**. Puerto Princesa City is in the process of developing its plan. Please refer to Safe Water's Year 3 annual report.
Page 17	Findings on Relevance of IR3 Approaches, Stakeholder Views	**The narratives describing the results of this graph needs to be revised to be consistent with the "responsiveness" ratings.**
Paragraph 1 under Findings on Effectiveness of IR3, Stakeholder Views, page 36	*"The exceptions were responses in relation to programming of new actions in WSS and WRM or localization of PWSSMP targets, in which 25% of respondents said the interventions were "not very effective."*	**The questionnaire was flawed in that it equated localization to "IEC" and was lacking in context**. IEC is a limited definition for localization as the process involved in localizing the PWSSMP targets at the local level was more holistic and structured. Safe Water started with the baseline assessment and hydro studies, provincial and municipal level score cards on gaps, agreement with the provincial government to prepare a water security plan to address gaps, issuance of executive orders to establish water security council and technical working group, and working with this group to prepare the plan and shepherd it through approval. Safe Water also prepared first the water security planning framework in consultation with NEDA to lay the principles and guidelines to align LGU plans with the PWSSMP.
On Effectiveness Page 39, para 1	"The support to LGUs, WMCs and WSCs is creating institutional capacity for convening, leading, managing and planning. But it is slow and has high transaction costs. Some stakeholders are critical of these interventions. as it involves multiple LGU stakeholders and their competing interests, which explains why in the KIIs some stakeholders had critical perceptions of achievements of this intervention.	**Characterizing governance interventions as "moderately effective" does not accurately capture local context.** As any governance intervention that focuses on improving processes, the pace can be slow to deliver real and perceptible changes. In this regard, the stakeholders' views, even skepticism, are valid. However, the evaluation should also acknowledge the

Reference	Findings/Conclusion/ Recommendations	DAI Basis for Difference
	Finally, the localization of PWSSMP targets is through the provincial and city IWSPs, which is a similar process and will take time to yield results. *Overall, the governance interventions are moderately effective. "*	value of Safe Water's contribution, which was to provide an alternative when there was none. The transboundary nature of watershed management and the complex planning process involved in water supply provisioning requires coordination and multi-stakeholder participation. Linking water resource management and WSS planning had also been historically disconnected. Safe Water addressed critical gaps in these areas by providing the tools (e.g. water security planning framework) and the mechanisms that are bringing service providers and watershed managers together -- for the first time -- to craft cohesive strategies and plans and build consensus.
Under Conclusions and Effectiveness Page 38, 4th and last paragraph	"*Among the key indicators for the IR 2 interventions, IR 2.1 Number of hectares under improved watershed management, has a low rate of achievement, only 22% against LOP target and well under the Y3 target of 100,000 hectares. The indicator's targets will be challenging to achieve because of the nature of the indicator itself. Since it is based on the area (in hectares) of forests under improved watershed management, it reflects the cumulative effectiveness of SW's work.* *With respect to indicator IR 2.1, the evaluation team believes that it unlikely SW will meet the LOP target unless it is able to take on additional watersheds, a process that takes upwards of a year in terms of convening, creating/strengthening WMCs or equivalents, planning and mobilizing additional resources.*"	**The statement opined in these paragraphs may not necessarily apply to Safe Water.** The cumulative target for this indicator in Year 3 is only 30% (100,000 hectares) of the LOP target and at the time of the evaluation, SW had already achieved 72,749 hectares under IR 2.1, equivalent to 73% achievement as of the evaluation period. SW is confident in achieving this indicator. While the targets are set low for the first three years, this has been adjusted to increase in the last 2 years of the project. SW has spent its first three years to lay the groundwork for achieving the milestones needed to count and report results for this indicator.
Table 15, page 36	On number of policy reform initiatives supported - *"After focusing much of its efforts during Y1 and Y2 on work with national GPH entities, the pace of reform has slowed. SW continues technical support to NEDA, NWRB and LWUA through LOP but may not achieve target."*	**This figures are inaccurate**. Outcome 3.2 Y2 should be 140% (Actual: 28, Target: 20) Note that this indicator has no annual target given the complexity of advancing national level reforms.
Evaluation Question 2, Effectiveness, under achievement of outcome indicator targets Page 21, para 2	"Year 1 showed zero achievements against targets, while in Year 2 SW was able to show considerable progress in WSS indicators 1.1, 1.2 and 1.3 measuring increased access to water and basic sanitation services. *"In contrast, the indicators related to WRM, indicators 2.2 and 2.3, showed almost no progress in Year 2."*	**The highlighted statement is contrary to Safe Water's Year 2 Annual Report.** SW actually exceeded its Year 2 targets for outcome indicators 2.2 and 2.3. Table 11 and Table 13 in the Year 2 Annual Report, which are the references for this finding indicate

Reference	Findings/Conclusion/ Recommendations	DAI Basis for Difference
		that in Year 2, SW exceeded Outcome 2.2 by 3%, while Outcome 2.3 was exceeded by 3% as the numbers show below: • Outcome 2.2: Actual was 154,334 vs 150,000 target • Outcome 2.3: Actual was 15,280 vs 15,000 target
Various	**The evaluation report incorrectly reports Safe Water's indicator results, as previously reported, and published in periodic reporting, including Annual Reports. Because of the inaccurate calculation of targets achieved, the evaluator erroneously concluded underachievement of Safe Water.** TABLE 11: The correct numbers are as shown in Year 2 Annual Report are: • CC1 Year 2 should 300% (Actual: 18; Target: 6) as shown in the Year 2 annual report. TABLE 12: The correct numbers are: • IR 1.1 Y2 should be 260% (Actual: 13, Target: 5) • IR 1.1 LOP should be 150% (Actual: 45. Target"30) • IR 1.2 Y2 should be 250% (Actual: 10, Target: 4) • IR 1.2 LOP should be 44% (Actual: 21, Target: 48) • IR 1.3 LOP should be 43% (Actual: 32,391,858, against LOP Targett: 75,000,000) • IR 1.4 Y2 – no target in Y2. The 8% is against LOP target. • IR 1.4 LOP should be 50% (Actual: 25, Targett: 50) • The changes should be reflected also in Table 11 (page 22) TABLE 13: The correct numbers are as shown in Year 2 Annual Report: • Year 2 IR 2.3 should be 105% (Actual: 10,545,780, Target: 10,000,000) TABLE 15: The correct numbers are as shown in Year 2 Annual and Progress Reports: • Outcome 3.1 Y2 should be 130% (Actual: 13. Target: 10) • Outcome 3.1 Y3 should be 270% (Actual: 27; Target: 10 • Outcome 3.2 Y2 should be 140% (Actual: 28, Target: 20) • Outcome 3.2 Y3 should be 180% (Actual: 18; Target: 10) • IR 3.1 Y2: should be zero (SW has no achievement yet during Y2) • IR 3.1 Y3: No target in Y3 but achieved / reported 3 for this indicator • IR 3.2 Y3 should be 100% (Actual: 4; Target: 4) The changes should be reflected also in Table 11 (page 22)	

LIST OF ANNEXES

ANNEX I. TIMELINE

Table 1. STTA WORKPLAN

ACTIVITY	ORIGINAL TIMELINE	UPDATED SCHEDULE
In-brief with PRM/USAID	24 Oct 2022	16 Nov 2022
Inception Report	10 Nov 2022	29 Dec 2022
Data Collection and Analysis	01 Dec 2022 - 31 Jan 2023	12 Dec 2022 – 5 Apr 2023
Storyboarding		6 – 10 March 2023
Final Report Draft	21 Feb 2023	28 April 2023
Final Out Brief	09 Mar 2023	13 April 2023
Final Submission	24 March 2023	12 May 2023
Learning Events	8-12 May 2023	10-31 May 2023

Table 2. STTA GANTT CHART TIMELINE

ACTIVITY	TIMELINE	2022 NOV	DEC	2023 JAN	FEB	MAR	APR	MAY
In-brief with PRM/USAID	Nov 16, 2022							
Inception Report	Dec 29, 2022							
Data Collection and Analysis	Dec 12, 2022– April 5, 2023							
Storyboarding	March 6–10, 2023							
Final Report Draft	April 28, 2023							
Final Out Brief	April 13, 2023							
Written Comments and Oral Instructions from USAID	May 1–5, 2023							
Final Report Submission	May 12, 2023							
Learning Events	10-31 May 2023							

ANNEX II. INCEPTION REPORT TO PRESENT THE STATEMENT OF WORK

STATEMENT OF WORK
MID-TERM PERFORMANCE EVALUATION
SAFE WATER

SEPTEMBER 2022

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HTTPS://WWW.FLICKR.COM/PHOTOS/USAIDWATER/50969600701/

CONTENTS

ACRONYMS

AOR	Agreement Officer's Representative
AMELP	Activity Monitoring, Evaluation, and Learning Plan
CBFMA	Community-Based Forestry Management Agreement
CBMS	Community-Based Monitoring System
CC	climate change
CDC	Centre for Disease Control
CDCS	Country Development Cooperation Strategy
CLA	Collaborating, Learning, and Adapting
COP	Chief of Party
COR	Contract Officer's Representative
CSO	civil society organization
DAI	Development Alternatives Incorporated
DENR	Department of Environment and Natural Resources
DILG	Department of Interior and Local Government
DO	development objective
DOH	Department of Health
FGD	focus group discussion
FLUP	Forest Land Use Plan
GAD	Gender and Development
GHG	greenhouse gas
GIS	Geographical Information System
GPH	Government of the Philippines
IPO	indigenous people's organization
IR	intermediate result
ITT	indicator tracking table
KPI	key performance indicator
LOS	level of service
LGU	local government unit
LWUA	Local Water Utilities Administration
MEL	Monitoring, Evaluation, and Learning

NCIP	National Commission on Indigenous Peoples
NEDA	National Economic Development Authority
NGO	non-government organization
NRM	natural resource management
NWRB	National Water Resources Board
PES	payment for ecosystem services
PO	people's organization
PSA	Philippine Statistical Authority
RF	results framework
STTA	short-term technical assistance
URAF	Unified Resource Allocation Framework
USG	United State Government
WASH	Water, Sanitation, and Hygiene
WATSAN	Water and Sanitation Project
WB	World Bank
WD	water district
WRM	water resource management
WSP	water service providers
WASS	water supply and sanitation

PURPOSE OF THE EVALUATION

The United States Agency for International Development/Philippines (USAID/PH) is commissioning a third-party mid-term performance evaluation of the Safe Water implemented by DAI Global, LLC (DAI), as the prime implementing partner, with five partner organizations: (1) Orient Integrated Development Consultants, Inc.; (2) Lutheran World Relief; (3) Manila Observatory; (4) Geosciences Foundation Inc; and (5) Commitment, Excellence, Service, Teamwork (CEST) Inc. Through this evaluation, USAID/PH will have evidence to gauge the extent to which Safe Water is achieving the outcomes for its three intermediate results (IRs). These IRs are increased access to resilient water supply and sanitation services (IR1), improved sustainable management of water resources (IR2), and strengthened water sector governance (IR3). Together, these IRs contribute to the project's goal to improve water security for water-stressed communities in the Philippines.

The evaluation will focus on the performance of Safe Water from 2019 to 2022. Specifically, it will assess the relevance, effectiveness, and sustainability of Safe Water's key approaches for meeting its outcomes through a series of evaluation questions. Safe-Water supports the ongoing initiatives by the Government of the Philippines (GPH) to meet its targets under the United Nations Sustainable Development Goals (SDGs), specifically SDG 6: Ensure availability and sustainable management of water and sanitation for all. Safe Water support is delivered at the national, local and regional (watershed) levels. At the national level, Safe Water supports the National Economic and Development Authority to advance key reforms that will strengthen the governance and regulation of the water sector, such as the Philippines Water Supply and Sanitation Master Plan and the Unified Resource Allocation Framework (URAF). At the local level, Safe Water employs a wide range of approaches and interventions to meet project objectives and outcomes. For purposes of this evaluation, the focus will be on Safe Water's key approaches, which represents a cluster of interventions. These are:

Key Approaches	Associated interventions
Water Security Planning and Implementation	• Science/evidence-based planning • LGU institutional strengthening with the creation of Water Security Council and TWG • Programming for water supply and sanitation (WSS) and water resource management (WRM) • Localization of PWSSMP national targets
Mobilizing Finance for Water Supply and Sanitation	• Facilitating access to national and local government funding • Facilitating access to market-based financing from Government and Private Financing Institutions • Facilitating Public-Private Partnerships • Piloting the Output-based aid and Blended Finance for Household Sanitation
Sustaining Water Resource Management	• Private sector partnership and engagement • Establishment/scaling of PES • Support to upland communities on sustainable livelihood

Results of the evaluation will help USAID review and adjust the implementation of its current program to better achieve its objectives as well as provide lessons and insights that will help inform the design of USAID/Philippines future water security activity.

In undertaking the mid-term evaluation, the team will consider critical aspects related to the implementation of Safe Water, as listed in its Activity Monitoring, Evaluation, and Learning Plan (AMELP) (February 2022, Table 8). These are:

1. Issues and challenges encountered during the two-and-a-half years of the project implementation;
2. Gains/success stories beyond the project results framework (other emerging benefits);
3. Critical implementation lessons;
4. Validation of assumptions critical to interventions and results;
5. Good practices; and
6. Modifications in the theory of change (TOC), as needed, to inform decisions critical for enhancing Safe Water's implementation strategy and approach for the second half of the activity

The evaluation's intended audiences are USAID/Philippines program officers and USAID staff worldwide interested in water security, Philippine stakeholders, the Department of Environment and Natural Resources (DENR), National Economic and Development Authority (NEDA), Local Water Utilities Administration (LWUA), Department of Interior and Local Government (DILG), National Water Resources Board (NWRB), the local government units (LGUs) in the Philippines, and other researchers and organizations interested in water security .

ACTIVITY INFORMATION

Table 1 summarizes the Safe Water activity information.[22]

TABLE 1. SUMMARY INFORMATION

Activity Name	Safe Water
Cooperative Agreement Number	72049218CA00007
Start and End Dates	December 2, 2019 – December 1, 2024
Funding Levels	US$18 million
Implementing Partners	DAI Global, LLC (DAI)
Sub-awardees	DAI partners with five organizations ● Orient Integrated Development Consultants, Inc. (OIDCI) ● Lutheran World Relief ● Manila Observatory ● Geosciences Foundation, Inc. ● Commitment, Excellence, Service, Teamwork, Inc. (CEST, Inc.)
Sectors/Thematic Areas	Water security of water-stressed communities Safe water supply and sanitation services Sustainable water management of surface and groundwater

[22] The Fiscal Year 2022, Quarter 1 Report October 1–December 31, 2021. USAID Safe Water.

TABLE 1. SUMMARY INFORMATION

resources

BACKGROUND

DESCRIPTION OF THE PROBLEM AND CONTEXT

USAID awarded DAI the Safe Water activity on December 2, 2019, under USAID/Philippines contract number 72049220D00002.

Safe Water aims to improve water security for water-stressed communities in the Philippines. Characteristics of improved water security are increased access of underserved or unserved communities to safe water supply and sanitation services and more sustainable water management of water resources to meet human, economic, and ecosystem needs. Safe Water's objectives are as follows: (1) increased access to resilient water supply and sanitation services; (2) improved sustainable management of water resources; and (3) strengthened water sector governance.

Safe Water uses an integrated approach that emphasizes technical assistance and capacity building for greater sustainability to achieve these overarching targets:

- 1.1 million people receiving improved water supply service quality,
- 272,000 people gaining access to primary or safely managed sanitation services, and
- One million people benefiting from the adoption and implementation of measures to improve water resources management.

Safe Water focuses its field activities in the following cities and provinces, as listed below and shown

in Figure 1.

- Puerto Princesa City, Palawan Province, and the Irawan watershed, which is the primary source of raw water for Puerto Princesa Water District. This site includes an emphasis on the Montible watershed to diversify the natural water sources and address the city's increasing water shortage.

- General Santos City and Sarangani Province covering the Buayan–Malungon River Basin, which encompasses seven watersheds in three provinces -- Sarangani, Davao Occidental, and South Cotabato. These watersheds connect in Sarangani Province and discharge into Sarangani Bay along the Eastern edge of General Santos City. The Buayan-Malungon River Basin, upstream of General Santos City, serves as the project's water resource management (WRM) demonstration site.

- Bacolod City and Negros Occidental Province, with coverage of the Upper Caliban River headwaters, which is the supply source of the Bacolod City Water District (BACIWA). To diversify the sources of raw water and address the water shortage in the province, the project also focuses on the three central watershed forest reserves in the province, namely: Bago River Watershed; Ilog-Hilabangan Watershed; and Kabankalan Watershed.

DESCRIPTION AND THEORY OF CHANGE (TOC)

Safe Water seeks to achieve its overall goal of improving water security for water-stressed communities in the Philippines through the following intermediate results (IR):

IR 1: Increased access to resilient water supply and sanitation services

IR 2: Improved sustainable management of water resources

IR 3: Strengthened water sector governance

The TOC is as follows:

If the Safe Water Project partners effectively with sector stakeholders to:

1. Develop and disseminate accurate and reliable information on the state of water resources, climate change impacts, and domestic demand projections;
2. Strengthens the capacity and competency of sector actors to interpret, analyze and use data for decision-making;
3. Develops integrated and coordinated planning platforms for water and sanitation service providers and water resource managers; and
4. Strengthens the enabling environment for the effective regulation, financing, and rationalization of institutional roles in the sector;

THEN National and local government institutions will be able to develop and implement the long-range policies necessary to balance sector investment, water resource management, and domestic needs for improved and expanded water and sanitation services.

WHILE Water and sanitation service providers will have the ability and the motivation to adopt measures to support water resource protection, efficiency, and financial sustainability in operations, **AND** water consumers will have the knowledge and will to support a sustainable sector through water resource protection, efficient water use, and willingness to pay.

LEADING TO An integrated, evidence-driven, and institutionalized governance and investment framework that will sustain water resources and water and sanitation services for the long term.

THEREBY: Improving water security for water-stressed communities in the Philippines.

The Safe Water activity design envisions contributing to the three development objectives (DOs) under the Country Development Cooperation Strategy (CDCS). Its objectives outline the activity's ecological, economic, and policy functions. The activity TOC and development hypothesis integrate these elements in the two impact pathways (resource and service delivery).

As noted in the Evaluability Assessment Report (November 2021), the two-pronged development framework of Safe Water is a relatively untested approach for water programs. Accordingly, the Safe Water TOC is exploratory or experimental. However, the approach is based on previous USAID/Philippines water, sanitation, and hygiene (WASH) activities. Strengthening Urban Resilience for Growth with Equity (SURGE) and Water Security for Resilient Economic Growth and Stability (Be Secure) focused on the demand side. Conservation activities such as Protect Wildlife focused on watershed resources, particularly in Palawan. The unique dimension of Safe Water is the supply-demand relationship in which WSS service provision is linked to or integrated with sustainable water resource management

For purposes of this evaluation, Safe Water's key approaches (see page 7) will be assessed to determine how relevant and effective they are in achieving IRs 1 and 2, and establishing the link between the two. These approaches are also examined to assess how likely they are to be continued and/or instituted by local partners and beneficiaries, ensuring that gains are sustained over time

Safe Water collaborates with the LGUs, water service providers (WSPs), water councils, government agencies, communities, and other stakeholders in preparing the annual work plans indicating specific activities to direct the project towards achieving the anticipated or desired project outcomes and impacts.

SAFE WATER'S RESULTS FRAMEWORK

The results framework (RF) for Safe Water (Table 1)[23] aligns with its goals of increased access to resilient water supply and sanitation services, improved sustainable management of water resources, and strengthened water sector governance over the life of the activity. Figure 2 shows the hierarchy of indicators of Safe Water, with the details of targets on outcomes and output indicators in Annex C.

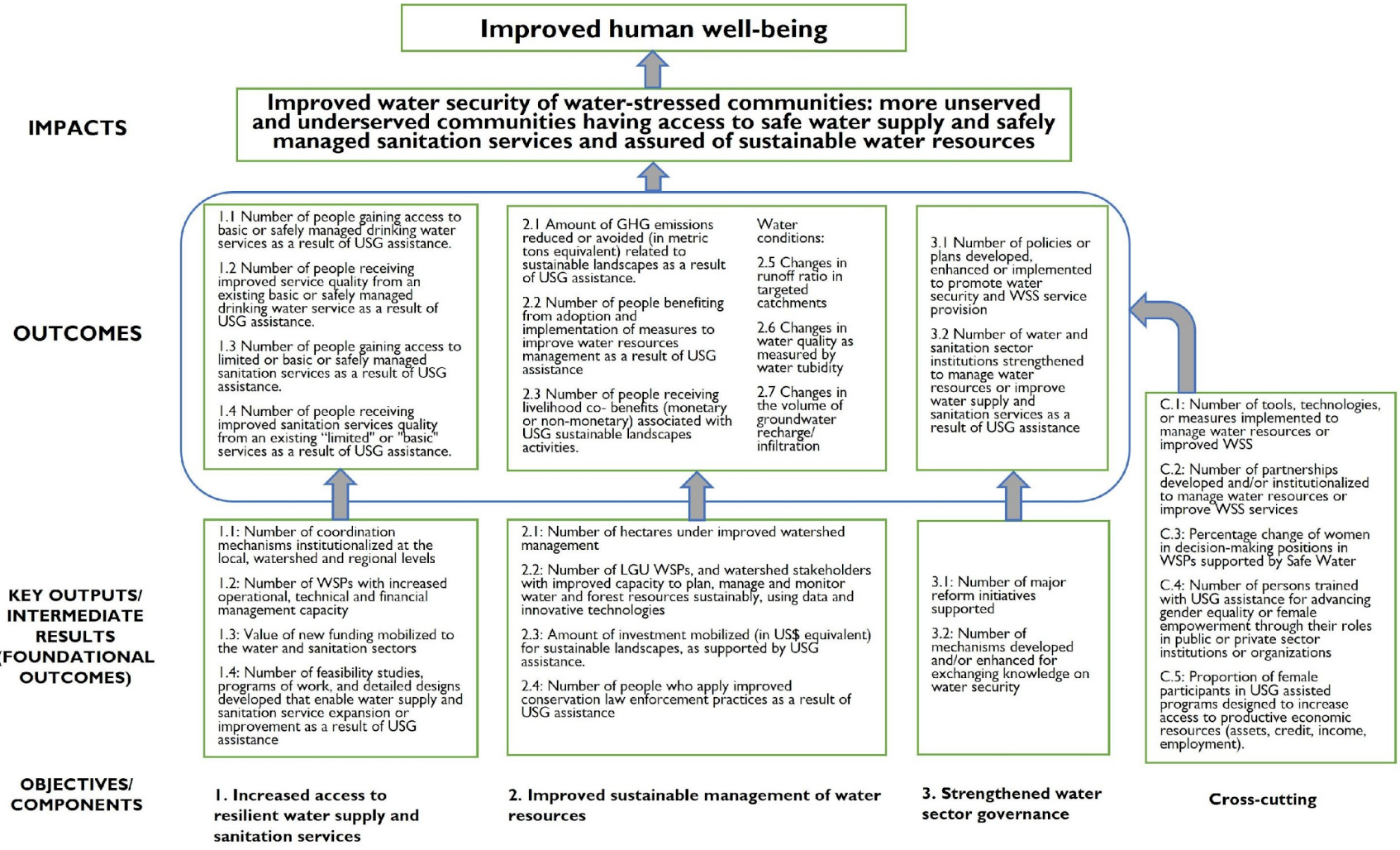
TABLE 1. RESULTS FRAMEWORK (ROADMAP)				
APPROACH	**SUB-RESULTS**	**INTERMEDIATE RESULTS**	**OUTCOMES**	**IMPACT**
Objective 1: Access to resilient water supply and sanitation services improved				
Strengthening capacities for WSS service delivery	Access to tools, technologies, training on water supply and sanitation service provision provided.	Operational, technical and financial management capacities of the WSPs improved for	Access to resilient water supply and sanitation services improved	Improved water security of water-stressed communities

[23] USAID Safe Water. 2022. AMELP

TABLE 1. RESULTS FRAMEWORK (ROADMAP)				
APPROACH	**SUB-RESULTS**	**INTERMEDIATE RESULTS**	**OUTCOMES**	**IMPACT**
		better performance and/or service expansion. Understanding of WSPs on hydrologic and climate analysis improved, enabling informed decisions for better water sources planning that, in turn, ensure a stable and sustainable supply Participatory coordination mechanisms among WSS service institutions and diverse stakeholders at various levels institutionalized		
	Access to tools, information, evidence, and training on risk analysis for the management of water resources provided Analysis of bulk water sources and storage options provided Community voices in service delivery (especially for women) strengthened			
Leveraging additional funding	Access to public and private financing to build, operate and maintain resilient WSS infrastructure improved Financing approaches to accelerate WSS expansion and improvement developed, including facilitation of household investments for improved sanitation facilities or water supply connections.	New and additional financing mobilized, enabling the implementation of water and sanitation projects, and affordability of household investments for improved water supply connection or sanitation facilities		
Establishing protocols and standards for more integrated and coordinated planning of WSS service, LGU development and water resource management	Tools and processes for coherent and integrated planning and coordination among LGUs, WSPs, river basin bodies, and other stakeholders improved. Water security awareness among diverse stakeholders (including the private sector) increased	Integrated local policies, plans, and investment programs prepared and adopted by the LGUs, WSPs and other stakeholders for sustainable WSS services and WRM		
Objective 2: Sustainable management of water resources improved				
Enabling environment and institutional mechanisms on Integrated Water Resources	Tools, information, and training are provided to enhance the IWRM capacities of institutions and	IWRM-informed water policies/ strategies established Partnerships on	Increased management effectiveness of critical watersheds and	Improved water security of water stressed communities

TABLE 1. RESULTS FRAMEWORK (ROADMAP)				
APPROACH	**SUB-RESULTS**	**INTERMEDIATE RESULTS**	**OUTCOMES**	**IMPACT**
Management (IWRM)	stakeholders Viability of payments for ecosystem services (PES) schemes demonstrated. Nature-based solutions to improve water storage capacity and regulate flow levels introduced	improved WSS services and WRM developed and/or institutionalized Investments for landscape and watershed protection, conservation and rehabilitation increased contributing to improved economic conditions of upland communities	water resources	
Establishing protocols and standards on efficient water resource use and water demand management	Water conservation awareness improved Support to the implementation of Green Building Code and national water fixture efficiency labeling standard provided Water efficient technology options like	Increased adoption of measures to better manage, conserve and use water to ease pressure on water resources Capacities and actions of public and private actors on water conservation enhanced		
Objective 3: Water sector governance strengthened				
Facilitating the implementation of the reform agenda for the WSS sector	NEDA-led government policy decisions and actions to operationalize the URAF and Sector Master Plan informed by sound analytics and evidence.	Water and sanitation sector reforms prioritized in the Master Plan and URAF financing policy advanced and implemented	Water sector governance strengthened characterized by transparency, accountability and effectiveness.	Improved water security of water-stressed communities
Establishing approaches, models, and protocols on knowledge sharing for scaling up resilient WSS service provision and sustainable WRM	Models approach and best practices for water security, WRM, and resilience disseminated, exchanged and applied International best practices are identified and incorporated in the models and approaches developed for improving WSS service and sustainable WRM	The broad constituency of actors (national and local government policymakers and executing agencies, WSPs, and constituencies) informed, voice ideas, contribute, and participate in the application of best practices and development and implementation of water security initiatives		

FIGURE 2. SAFE WATER HIERARCHY OF INDICATORS



EVALUATION QUESTIONS

The evaluation will focus on the mid-term performance of the Safe Water project with its wide range of interventions focusing on the three clusters of approaches, namely: (1) water security planning (water supply and implementation); (2) finance and resource mobilization; and (3) partnerships for sustainable livelihoods (WSS and WRM). The questions will focus on the relevance, effectiveness and sustainability of the three Safe Water interventions.

The formulation of the evaluation questions considered the updating by Safe Water in its AMELP, which integrated vital insights gained during the first two years of implementation with the constraints brought about by the COVID-19 pandemic. As stated in its updated AMELP (February 2022), the updates made by Safe Water include the following: (1) assumption on Safe Water implementation amidst of COVID-19 pandemic; (2) expanding learning questions; (3) adding other intermediate outcomes; (4) improvements on the data collection, process, and storage; and (5) baseline and life the of project (LOP) target across indicators. The evaluation questions are considered critical elements of its illustrative key evaluation questions, as indicated in Table 7 of the updated AMELP.

Relevance: (1) To what extent have Safe Water's three (3) key approaches responded to the needs of local stakeholders to improve water security? (2) Are these approaches sufficient to address the local water security challenges?

Effectiveness: To what extent are / were the project objectives (3 IRs) achieved or likely to be achieved through Safe Water's 3 key approaches? (2) What are /were the major factors, such as the COVID-19 pandemic, influencing the achievement and non-achievement of the objectives?

Sustainability: (1) What is the likelihood that the mechanisms and initiatives of SW can be sustained (and possibly replicated) after the completion of USAID's support? (2) What elements are or need to be in place to ensure sustainability?

EVALUATION DESIGN AND METHODOLOGY

EVALUATION DESIGN

The evaluation team will use a mixed-methods approach in conducting the mid-term performance evaluation of Safe Water. The evaluation methodology will concurrently use quantitative and qualitative methods. The selection of key informant interviews will be purposive. The qualitative methods may include context monitoring (Annex B), outcome harvesting, most significant change, and case study methodologies.

The evaluation team will have the option of proposing approaches to evaluate the progress on achieving outcomes outlined in the development hypothesis in the TOC and the results framework.

The evaluation team may consider the use of the framework employed by the World Bank (WB) in its multi-country study on the sustainability of rural water supply systems, as shown in Figure 3[24], as reference in understanding the linkages and synergies of SW's three key approaches towards the achievement of its IRs. The WB study contains a rich set of cases and good practices from 16

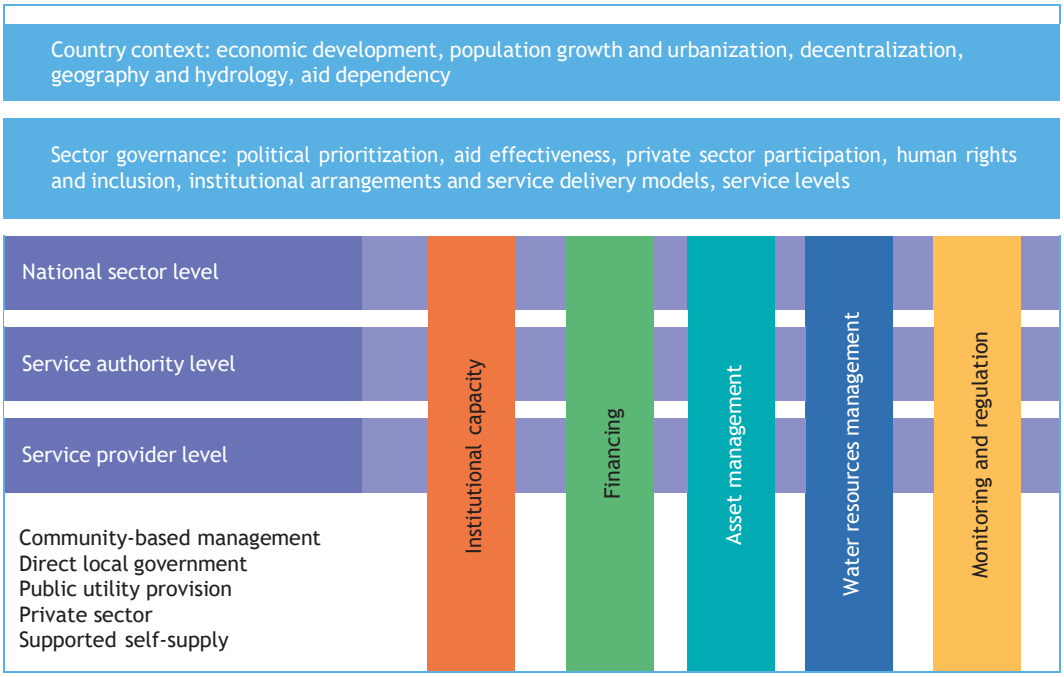
[24] World Bank Group. 2017. Sustainability Assessment of Rural Water Supply Service Delivery Models: Findings of Multi-Country Review.

countries[25] informing the global body of "knowledge in implementation" on sustainable water supply service delivery with reference to the following: (a) institutional capacity; (b) financing; (c) asset management; (d) water resources management; and (e) monitoring and regulation.

The analytical framework of the WB study is based on five building blocks of sustainability: institutional capacity, financing, asset management, water resources management (WRM), and monitoring and regulatory oversight. The framework is consistent with the multi-pronged approach of Safe Water and the interrelationship of its three IRs, with the focus on the 3 approaches of Safe Water, namely: (1) water security planning (water supply and implementation); (2) finance and resource mobilization; and (3) partnerships for sustainable livelihoods (WSS and WRM).

The evaluation on the implementation of these three key approaches may be relevant for examining the emerging development pathways towards the achievement of the 3 intermediate results (IRs) of Safe Water. As relevant and practical, the evaluation team may consider and reference the analysis structure and lessons from the WB study, as well as other lessons learned documents.

Figure 3: Analytical Framework to Understand Sustainability of Rural Water Supply (WB, 2017)



The WB study highlighted that the framework recognizes three institutional levels: (1) national level (through legislation, policy, and the establishment of national authorities); (2) service authority level (authorities with responsibilities for delivering services, often local governments); and (3) service provision level. The delineation of the levels directly mirrors Safe Water's approach to strengthening the hierarchy and complementation of national government agencies, LGUs, water councils, WSPs, and local communities. The interactions of the key stakeholders may be a useful structure for gaining insights into Safe Water's performance, including the challenges of service delivery during the COVID-19 pandemic.

[25] The countries were selected, based on a diverse range of socioeconomic context, regional representation, and presence of World Bank operations: Bangladesh, Benin, Brazil (state of Ceará), China (Zhejiang and Shaanxi provinces), Ethiopia, Ghana, Haiti, India (Punjab and Uttarakhand states), Indonesia, the Kyrgyz Republic, Morocco, Nepal, Nicaragua, the Philippines, Tanzania, and Vietnam.

The importance of water resource management is one of the project's significant building blocks and requires an understanding of the interactions between hydrology, geomorphology, and ecology in watersheds, rivers, wetlands, and estuaries.[26]

The Safe Water's linkage of its three IRs towards its goal of promoting water security supports the analytical framework for sustainability. The synergy is aptly described as follows: "Changes in the quality and quantity of water are directly attributable to changes in the direct drivers that are in turn caused by changes in indirect drivers. Land use/cover change is considered the single most influential factor affecting water quality and quantity among the direct drivers. Among indirect drivers, policy is considered the most influential since it affects the other indirect drivers (i.e., demographic, economic, and technological factors) and particularly land use and land cover."[27] In addition, factors related to management capacity and financing also affect sustainability and will be examined.

GEOGRAPHIC SCOPE

Geographic focus: The Safe Water evaluation expects to conduct field activities in the project's three main areas of focus: 1) Puerto Princesa City andPalawan Province, and the Irawan watershed; 2) General Santos City and Sarangani Province; and 3) Bacolod City and Negros Occidental Province.

Further and more specifically the USAID COR for Safe Water indicated the importance of the following areas in relation to the implementation of the three key approaches.

1. Water security planning and implementation:

- Negros Occidental Province and its municipalities, Bacolod City, Bago and Malogo watersheds
- Sarangani Province and its municipalities, Buayan-Malungon River Basin (BMRB),

2. Mobilizing finance for Water Supply and Sanitation:

- Palawan and its municipalities, Puerto Princesa City
- Negros Occidental and its municipalities, Bacolod, (focusing on PPP on the process),
- Sarangani and its municipalities, and General Santos City.

3. Sustaining WRM:

- Palawan with municipalities (applicable watersheds to be identified)
- Negros Occidental and municipalities Bago & Malogo,
- Sarangani plus related municipalities, and the Buayan-Malungon River Basin (BMRB)

In terms of the possibility of including case studies, USAID identified the following area that might be enlightening to focus on: (a) the importance of the Provincial Integrated Water Security Plan through an examination of Negros Occidental's experience (what drives the province to lead water security planning, and what key elements are needed to implement and realize their plans and programs); and

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[26] Tabios, Guillermo III. 2018. Multiple and Integrated Water Resource Utilization (Chapter 8) in Water Policy in the Philippines: Issues, Initiatives, and Prospects. Agnes C. Rola, Juan M. Pulhin, Rosalie Arcala Hall (Editors). P. 177.
[27] Cruz, Rex Victor O. 2018. Sustaining Water Resources with Environmental Protection (Chapter 9) in Water Policy in the Philippines: Issues, Initiatives, and Prospects. Agnes C. Rola, Juan M. Pulhin, Rosalie Arcala Hall (Editors). P.187.

(b) water resource management (WRM) in Buayan-Malungon River Basin (BMRB) by examining if interventions are sufficient and necessary to help Sarangani stakeholders improve the sustainable management of water resources.

Data collection: The evaluation may use the following data collection methods: (1) document review, particularly on the delivery of outputs and use of resources; (2) key informant interviews (KII); (3) focus group discussions (FGD); (4) simple surveys; and (5) case studies. Combining these methods will allow greater data consistency and triangulation of information for robustness on its validity.

The respondents to key informant interviews and focus group discussions will primarily include USAID personnel and Safe Water Project personnel. At the local level, respondents may include LGUs, WSS service providers, watershed management councils, partner non-government organizations, or people's organizations, and partners from the private sector. National level respondents may include officials and/or staff of NEDA, LWUA, DILG, , DENR regional offices, Public Private Partnership Center and the Palawan Council for Sustainable Development (PCSD).

The key stakeholders and study areas for the water security planning and implementation (key approach #1) would include the provincial Government (select municipalities), water service providers (WDs or LGU-run WSS), watershed management councils.

The above-stated approach (#1) would support the sustainable provision of water supply through increased investments in managing water resources, watersheds, and forests. This will require examining the strategy for putting into place the skills and resources required to sustain the program beyond the terms of the project.

The key stakeholders and study areas for Sustaining WRM (approach #3) would include the Provincial Government, DENR regional offices, PCSD, non-government organizations (NGOs), peoples' organizations (POs), private foundations,

The above-stated approach (#3) would support the achievement of IR2. The evaluation team shall consider at least one site, including the water resource management demonstration site in the Buayan-Malungon watershed, in evaluating the progress made on improved sustainable management of water resources. The study will look more closely at initiatives to establish Payment for Ecosystem Services (PES), engage the private sector in watershed management, and to strengthen agroforestry and other forms of sustainable livelihood of upland communities. The evaluation may also look at how other interventions to strengthen/revive watershed management councils and improve the formulation of integrated watershed management plans and local watershed conservation and rehabilitation plans contribute to sustaining WRM.

The key stakeholders and study areas for Mobilizing WSS Finance (key approach #2) would include the Negros Provincial Government, water utilities, select municiipalities, Water.org and partner MFIs (NWTF or ASA Philippines), LWUA, DILG, Developent Bank of the Philippines (DBP), and the PPP Center.

The evaluation team may also consider undertaking a case study of at least one of the WSPs with improved levels among the main parameters of the LOS. Some examples are increased household coverage, improved duration of service, and improved quality of water. The data collection should also examine Safe Water's technical assistance and support to the LGUs and other WSS service institutions, as indicated in its AMELP (February 2022).

The above-stated approach (#2) is expected to contribute to realizing the goals of the PWSSMP and operationalizing URAF, which Safe Water supports under IR3. The evaluation team shall also

consider how local interventions to increase access to WSS services reinforce national commitment to achieve SDG #6. NEDA serves as an important respondent for this query.

If community restrictions in the three watershed areas (Sarangani/South Cotabato/Davao, Bacolod/Negros Occidental, and Puerto Princesa/Palawan) make in-person data collection unfeasible, the evaluation will use remote methods. The evaluation team may substitute electronic activity records, such as scanned documents for in-person visual reviews of activity records. They may also use remote data collection methods such as online or smartphone surveys using Google forms, Microsoft forms, and similar computer and mobile-aided measures and conduct KIIs and FGDs using video conferences through Zoom, and Google Meet, among others.

The data collection methods discussed are indicative. The evaluation team may propose other forms of data collection in the evaluation design and methodology section of its inception report. The data collection would also support the intent of Safe Water, as indicated in the AMELP (February 2022), in demonstrating activities for promoting gender equality and empowerment, with strategies highlighted in its Gender Action Plan (GAP).

DATA ANALYSIS

QUANTITATIVE

The evaluation will use descriptive statistics and analytic data visualizations to the extent possible. Data will be disaggregated by sex and location. The approach to quantitative analysis will be consistent with USAID's embedded monitoring and evaluation in the Program Cycle.[28]

QUALITATIVE

The qualitative data will be recorded, whenever possible, and transcribed in worksheets. When it is not possible to record KIIs and FGDs due to participant objection, the evaluation team will take notes by hand and later enter it into the data analysis worksheets. The evaluation team will use content analysis and comparison methods on the coherence of responses, codes, and themes to ensure the consistency of results. The team also will analyze Safe Water's implementation context including the emerging overall policy and operating environment as it relates to Safe Water's assumptions and contextual factors, as shown in Annex B.

TRIANGULATION

The evaluation team will combine and compare the quantitative and qualitative analysis results. Comparing the results will provide a more complete understanding of the Safe Water activity regarding relevance, effectiveness, and sustainability.

The design matrix in Table 2 summarizes the evaluation design and methods. The evaluation team will develop a more detailed evaluation design matrix and methodology in the Inception Report.

[28] https://usaidlearninglab.org/monitoring-toolkit?tab=2

TABLE 2. EVALUATION DESIGN MATRIX			
Questions	**Suggested Data Sources**	**Suggested Data Collection Methods**	**Suggested Data Analysis Methods**
Relevance: (1) To what extent Safe Water's three (3) key approaches responded to the needs of local stakeholders to improve water security? (2) Are these approaches sufficient to address the local water security challenges?	Project Documents and Reports IPs: DAI and the five implementing partners Key stakeholders: LGUs, WSPs, communities, DENR, NEDA, NWRB, LWUA, and water councils, among others	Document Review Baseline data and hydrologic studies KIIs/FGDs: LGUs, WSPs, communities, DENR, NEDA, NWRB, LWUA, watershed management, and WSS regulatory councils, among others Simple surveys Site visits and remote data collection approaches	Qualitative and quantitative analyses
Effectiveness: To what extent are / were the project objectives (3 IRs) achieved or likely to be achieved through Safe Water's 3 key approaches? (2) What are /were the major factors, such as the COVID-19 pandemic, influencing the achievement and non-achievement of the objectives?	Project Documents and Quarterly Reports Key stakeholders: LGUs, WSPs, communities, DENR, NEDA, NWRB, LWUA, and Water Council, among others	Document Review Baseline data and hydrologic studies KIIs/FGDs: LGUs, WSPs, communities, DENR, NEDA, NWRB, LWUA, Watershed Management, and WSS Regulatory Councils, among others Context monitoring Simple surveys Case studies: (a) Provincial Integrated Water Security Plan by looking on the Negros Occidental's experience (b) Water Resource Management (WRM) interventions in the Buayan-Malungon River Basin (BMRB)	Qualitative and quantitative analyses

TABLE 2. EVALUATION DESIGN MATRIX			
Questions	**Suggested Data Sources**	**Suggested Data Collection Methods**	**Suggested Data Analysis Methods**
		Site visits and remote data collection approaches	
Sustainability: (1) What is the likelihood that the mechanisms and initiatives of SW can be sustained (and possibly replicated) after the completion of USAID's support? (2) What elements are or need to be in place to ensure sustainability?	Project Documents and Quarterly Reports Key stakeholders: LGUs, WSPs, communities, DENR, NEDA, NWRB, LWUA, and Water Council, among others	Project Documents and Quarterly Reports Key stakeholders: LGUs, WSPs, communities, DENR, NEDA, NWRB, LWUA, Watershed Management, and WSS Regulatory Councils, among others	Qualitative and quantitative analyses

DELIVERABLES AND REPORTING REQUIREMENTS

PRE-FIELD PHASE

IN-BRIEF MEETING WITH USAID

The evaluation team will have an in-briefing with USAID/Philippines. The meeting will consist of introductions and a discussion of the evaluators' understanding of the assignment, initial assumptions, evaluation questions, preliminary thoughts on the evaluation design and methodology, and work plan.

INCEPTION PHASE

INCEPTION REPORT WITH EVALUATION DESIGN, WORK PLAN, SCHEDULE, AND TOOLS

The team will draft an evaluation design and work plan for USAID/Philippines. The evaluation design will include (1) a detailed evaluation design matrix (including the key questions, methods, and data sources to be used to address each question and the data analysis plan for each question); (2) draft data collection instruments both for quantitative and qualitative methods with their main features; (3) sample frame (list of potential informants/respondents and watershed sites to be visited); and (4) known limitations to the evaluation design. In addition to the design, the work plan will finalize the anticipated schedule and logistical arrangements and include a list of key stakeholders at the national and regional levels and the geographic areas the evaluation will cover. Upon receipt of USAID/Philippines comments and feedback, the evaluation team will revise the Inception Report and submit it to USAID/Philippines for final approval before beginning the evaluation research.

The Inception report should be submitted within 30 business days of the mobilization of an evaluation team.

FIELDWORK PHASE

MID-TERM BRIEFING AND INTERIM MEETINGS

After completing the fieldwork phase, the evaluators must hold a mid-term briefing with USAID/Philippines. The briefing should provide a progress report on the status of the evaluation and fieldwork, including potential challenges and emerging opportunities. The briefing shall be held no later than fifteen (15) days after completing primary data gathering and fieldwork. The evaluation team will also provide USAID/Philippines with periodic feedback on the progress of the evaluation, as agreed upon during the first briefing. If desired or necessary, the evaluation team will brief USAID weekly.

The out-briefing should be conducted within 15 business days of fieldwork and data analysis completion. The out-briefing will include the evaluation's emerging findings and conclusions based on the field research and the preliminary data analysis.

ANALYSIS PHASE

DRAFT EVALUATION REPORT AND USAID OUT-BRIEFING

The draft evaluation report will be consistent with the guidance provided in the section on the Final Report Format. The report will address each of the questions identified in the statement of work and any other issues that have a bearing on the objectives of the evaluation. Once the initial draft

evaluation report is submitted, the Offices of Program Resources Management and Office of Environment will have ten business days to review and consolidate comments on the initial draft and provide the words to the principal investigator. After receiving comments, the evaluation team will have ten business days to submit a revised, final (second) draft report. USAID/Philippines will have ten business days to review and reply with comments on the last (second) draft report.

The draft final report, with case studies, should be submitted within 30 business days of completing the Out Briefing.

DISSEMINATION AND LEARNING PHASE

LEARNING EVENTS AND PRODUCTS FOR EVALUATION UTILIZATION

CLAimDev will organize at least two learning events for key stakeholders within three months of USAID's acceptance of the final report. The learning events will disseminate evaluation findings, explore promising practices and lessons learned related to Safe Water, and highlight ways to enhance the sustainability of results in its fourth and fifth year of implementation and after its completion. At least one learning event's target audience will be USAID/Philippines, and one learning event's target audience will be USAID's external stakeholders. Based on written technical directions Task Order Contracting Officer's Representative (TOCOR), and the availability of funds, the Contractor will organize and conduct additional learning events.

CLAimDev will design and produce learning products to increase evaluation utilization within three months of USAID's acceptance of the final report. CLAimDev will finalize the number and type of learning products based on the evaluation's results and the availability of funds in consultation with the TOCOR.

LEARNING EVENT SYNTHESIS

This document synthesizes the Safe Water Mid-term Performance Evaluation Learning Event discussions with various stakeholders. It will capture the salient points from the plenary and breakout talks. This document is intended to reference stakeholders working in water supply and sanitation services, water resource management and watersheds, and improved policies for future USAID programming activities.

EVALUATION TEAM COMPOSITION

STAFFING

Three CLAimDev staff members will oversee and manage the evaluation.

1. Chief of Party (CLAimDev)
2. Principal Investigator (CLAimDev)
3. Evaluation Specialist (CLAimDev)

The external evaluation team will conduct the evaluation.

1. Team Leader Evaluation Advisor (STTA)
2. WASH Specialist (STTA)
3. Watershed Management/NRM Specialist (STTA)
4. Sarangani/South Cotabato/Davao Field Evaluation Assistant (STTA)
5. Negros Occidental Field Evaluation Assistant (STTA)
6. Palawan Field Evaluation Assistant (STTA)
7. Data Analyst (STTA)
8. Evaluation Assistant (STTA)

EVALUATION ADVISOR (TEAM LEADER)

- Evaluation professional with at least ten (10) years of experience conducting evaluation studies, preferably in the education sector and as a Team Leader or Team Member on a USAID activity
- A Master's degree in social sciences or related discipline is required
- Professionals with expertise in policy development related to water resource development activities and with expertise in any or combination of the following:
- Water supply, sanitation, and hygiene (WASH)
    - Watershed Management and/or Natural Resource Management (NRM)
    - Institutional capacity development
    - Gender and social inclusion
- Ability to write message-driven evaluation reports
- Demonstrated ability to lead and manage evaluation or research teams
- Willingness and ability to work as part of a team
- Excellent English communication skills, both written and oral
- Evaluation reports drafted by candidates may be requested

TECHNICAL SPECIALIST: WATER SUPPLY, SANITATION, AND HYGIENE (WASH SPECIALIST)

- Professionals with expertise in water supply, sanitation, and hygiene (WASH) activities and with expertise in any or combination of the following:
    - Watershed Management and/or NRM
    - Policy development related to water resource development
    - Institutional capacity development
    - Gender equality and social inclusion
- Experience conducting evaluations of development assistance and programs/projects is strongly preferred
- At least seven years of experience in a relevant discipline is preferred
- A Master's degree in social sciences or related disciplines is preferred
- Willingness and ability to work together as part of a team

- Demonstrated knowledge of monitoring and evaluation systems
- Excellent English communication skills, both written and oral. Sample studies or published work may be requested from candidates
- Experience in qualitative data management is an advantage

TECHNICAL SPECIALIST: WATER RESOURCES MANAGEMENT (WRM) SPECIALIST

- Professionals with expertise in Watershed Management and/or NRM activities and with expertise in any or combination of the following:
    - Water supply service delivery
    - Policy development related to water resource development
    - Institutional capacity development
    - Gender and social inclusion
- Evaluation or research experience in NRM is strongly preferred
- At least seven years of experience in a relevant discipline is required
- A Master's degree in social sciences or related disciplines is preferred
- Willingness and ability to work together as part of a team
- Demonstrated knowledge of monitoring and evaluation systems
- Excellent English communication skills, both written and oral (Sample studies or published work may be requested from candidates.)
- Experience in qualitative data management is an advantage

FIELD PROVINCIAL ASSISTANTS (UP TO THREE MEMBERS)

- Master's degree in the social sciences or related disciplines is preferred
- Familiarity with USAID and international development programming is required
- Evaluation with at least five years of experience is preferred
- Willingness and ability to work together as part of a team
- Excellent English communication skills, both written and oral
- Sample studies or published work may be requested from candidates
- Basic knowledge in qualitative data analysis is an advantage

DATA ANALYST

- Professional with expertise in qualitative and quantitative data collection, processing, analysis, interpretation, and presentation/visualization.
- At least three to five years of experience in a relevant discipline is preferred.
- A Master's degree in social sciences or related disciplines is preferred.
- Functional knowledge of relevant data processing, analysis, and presentation software is a must (e.g., SPSS, NVivo, Tableau).
- Willingness and ability to work together as part of a team.
- Demonstrated knowledge of data management and analysis.
- Excellent English communication and data presentation skills, both written and oral.

PROJECT ASSISTANT

- Experience providing support services, preferably in evaluation engagements, including formatting interview guides and survey questionnaires using remote data collection tools.
- Experience in data processing (quantitative and qualitative data) as well as logistic support in scheduling and arranging consultation meetings, travel arrangements, and venues for learning events.

- Willingness and ability to work together as part of a team.

LEVEL OF EFFORT (LOE) ESTIMATE FOR THE EXTERNAL EVALUATION TEAM

STAFFING

The LOE estimate for the evaluation is 667 person-days, as detailed in Table 3.

TABLE 3. EXTERNAL EVALUATION TEAM LEVEL OF EFFORT BY KEY TASK

KEY TASKS	TEAM LEADER	WASH SPECIALIST	WRM/NRM SPECIALIST	FIELD EVALUATION ASSISTANTS (3)	DATA ANALYST	PROJECT ASSISTANT	TOTAL
Pre-field Phase	9	9	9	0	9	9	45
Inception Phase	22	22	22	0	22	22	110
Field Data Gathering and Analysis	42	42	42	126	42	42	336
Draft Report Preparation	10	10	10	30	10	10	80
Final Report Writing	12	12	12	0	12	12	60
Learning and Dissemination	12	12	12	0	0	0	36
Sub-total	107	107	107	156	95	95	667

PERIOD OF PERFORMANCE AND ESTIMATED EVALUATION SCHEDULE

The performance period for this evaluation will cover an approximately nine-month period from the STTA team's deployment through the learning and dissemination events. The conduct of the assessment through the submission of the final report will cover an approximate six to eight-month period. Based on USAID availability and schedules, the learning and dissemination events will be within three months of the final report submission.

The details of the evaluation, learning, and dissemination tasks and schedule are shown in Table 4.

TABLE 4. ESTIMATED EVALUATION SCHEDULE

TASK NUMBER	TASK NAME	RESPONSIBLE UNIT/PERSON	ESTIMATED DURATION	ESTIMATED START	ESTIMATED FINISH
Pre-field Phase					
1	USAID issued a task order for the evaluation of Safe Water as part of the Unified Task Order	USAID	0 days	1-Sep-22	2-Sep-22
2	Issue STTA contracts to the evaluation team	CLAimDev	12 days	5-Sep-22	20-Sep-22
3	Document review	STTA	5 days	21-Sep-22	27-Sep-22
4	Evaluation team planning session (TPS)	STTA with CLAimDev	3 days	28-Sep-22	30-Sep-22
5	In-brief meeting with PRM/USAID	All	1 day	6-Oct-22	6-Oct-22
Inception Phase					
6	Initial consultations with AOR and IP	STTA with CLAimDev	2 days	11-Oct-22	12-Oct-22
7	Document review and analysis of reports and studies from implementing partners and clients	STTA	10 days	13-Oct-22	24-Oct-22
	Prepare inception report with evaluation design, methodology, tools, and schedule	STTA	8 days	25-Oct-22	5-Nov 22
8	Submit inception report to COP for review	STTA	2 days	7-No-22	8-Nov-22
9	Submit inception report to USAID for approval	CLAimDev	0 days	9-Nov-22	9-Nov-22

TABLE 4. ESTIMATED EVALUATION SCHEDULE					
TASK NUMBER	**TASK NAME**	**RESPONSIBLE UNIT/PERSON**	**ESTIMATED DURATION**	**ESTIMATED START**	**ESTIMATED FINISH**
10	Revise and submit an inception report	STTA	2 days	16-Nov-22	17-Nov-22
Data Gathering and Analysis Phase					
11	Pilot tools and finalize	STTA	6 days	21-Nov-22	26-Nov-22
12	Schedule data collection interviews and arrange logistics	STTA	2 days	28-Nov-22	29-Nov-22
13	Data collection (with break for Christmas holidays)	STTA	20 days	1-Dec-22	18-Jan-23
14	Data processing and analysis	STTA	12 days	19-Jan-23	31-Jan-23
15	PRM/USAID Out-brief	STTA with CLAimDev	1 day	2-Feb-23	2-Feb-23
16	Consultation meeting with AOR, then with IP	All	1 day	9-Feb-23	9-Feb-23
Draft Report Writing Phase					
17	Draft report preparation	STTA	8 days	10-Feb-23	18-Feb-23
18	Submit a draft report for PI and COP review	STTA	0 days	20-Feb-23	20-Feb-23
19	Comments on the draft report from PI and COP	CLAimDev	5 days	21-Feb-23	27-Feb-23
	PRM/USAID Out-brief	STTA with CLAimDev	1 day	2-Mar-23	2-Mar-23
	Final USAID Out-brief	All	1 day	9-Mar-23	9-Mar-23
Final Report Writing Phase					
20	Final report revisions	STTA	7 days	10-Mar-23	17-Mar-23
21	Submit a final report for PI and COP review	STTA	0 days	20-Mar-23	20-Mar-23
22	Submit a final report for Home Office review	CLAimDev	0 days	24-Mar-23	24-Mar-23
23	Submit final report draft to USAID	CLAimDev	0 days	28-Mar-23	28-Mar-23
24	USAID Comments on the final report	USAID	5 days	29-Mar-22	5-Apr-23

TABLE 4. ESTIMATED EVALUATION SCHEDULE					
TASK NUMBER	**TASK NAME**	**RESPONSIBLE UNIT/PERSON**	**ESTIMATED DURATION**	**ESTIMATED START**	**ESTIMATED FINISH**
25	Final report revisions based on USAID comments	STTA	5 days	6-Apr-23	12-Apr-23
26	COP and Home Office report finalization	CLAimDev	5 days	13-Apr-23	19-Apr-23
27	Final report submission	CLAimDev	0 days	20-Apr-23	20-Apr-23
28	Final report approval	USAID	5 days	21-Apr-23	27-Apr-23
29	Final report submitted to the DEC; data uploaded to DDL	CLAimDev	0 days	28-Apr-23	28-Apr-23
Learning and Dissemination Phase					
30	Learning Event 1: Findings, conclusions, and recommendations with one (1) learning event's target audience will be USAID/Philippines (#1)	All	4 days	TBD	TBD
31	Learning Event 2: Dissemination of Findings and Lessons Learned with another learning event's target audience will be USAID's external stakeholders (#2)	All	3 days	TBD	TBD
32	Submit supplementary report	STTA with CLAimDev	5 days	TBD	TBD

FINAL REPORT FORMAT

The evaluation findings, conclusions, and recommendations will be consolidated into a message-oriented final report. The final evaluation report should include an executive summary, a background of the local context and the activity; the evaluation questions; the methodology or methodologies; limitations to the evaluation; findings, conclusions, and recommendations, and good practices and lessons learned, as applicable. The report should be formatted according to USAID's evaluation report template, with estimated page counts, as listed below.

1. Abstract (half page)
2. Executive summary (three to five pages)
3. Evaluation Purpose (half page)
4. Background on the context and the strategies/projects/activities being evaluated (one page)
5. Evaluation Questions (half page)
6. Methodology (one page)
7. Limitations to the evaluation (half page)
8. Findings, conclusions, and (if applicable) recommendations (30 - 32 pages)
9. Annexes

The report should not exceed 40 pages, including the abstract and executive summary. The executive summary should be three to five pages long and summarize the evaluation activity's purpose, background, main evaluation questions, methods, findings, conclusions and recommendations, and lessons learned (if applicable).

The report will explain the evaluation methodology, including details in an Annex. Limitations to the evaluation shall be disclosed in the report, with particular attention to the rules associated with the evaluation methodology (e.g., selection bias, and recall bias, among others).

The annexes to the report shall include the following: (1) the evaluation SOW; (2) the evaluation inception report; (3) statements of difference, if any, regarding significant unresolved differences of opinion by funders, implementers, and members of the evaluation team; (4) all tools used in conducting the evaluation, such as questionnaires, checklists, and discussion guides; (5) sources of information, correctly identified and listed; and (6) disclosure of conflict of interest forms for all evaluation team members, either attesting to a lack of conflicts of interest or describing existing conflicts of interest.

The Principal Investigator will ensure that the final evaluation report is publicly available through the USAID Development Experience Clearinghouse within 90 calendar days of the official completion date of the evaluation contract.

EVALUATION REPORT QUALITY CRITERIA

Per USAID ADS 201.3.5.17, draft evaluation reports must undergo a peer review organized by the office managing the evaluation. The following criteria will serve as the basis against which the information is reviewed:

- Evaluation reports should represent a thoughtful, well-researched, and well-organized effort to objectively evaluate the strategy, project, or activity.
- Evaluation reports should be readily understood and identify critical points distinctly and briefly.
- The Executive Summary of an evaluation report should present a concise and accurate statement of the most critical elements of the information.
- Evaluation reports should address all questions included in the SOW, or the evaluation questions subsequently be revised and documented in consultation and agreement with USAID.
- Evaluation methodology should be explained in detail, and sources of information identified.
- Limitations to the evaluation should be disclosed in the report, with particular attention to the limitations associated with the evaluation methodology (e.g., selection bias, recall bias, unobservable differences between comparator groups, etc.).
- Evaluation findings should be presented as analyzed facts, evidence, and data and not based on anecdotes, hearsay, or simply the compilation of people's opinions.
- Findings and conclusions should be specific, concise, and supported by solid quantitative or qualitative evidence.
- If evaluation findings assess person-level outcomes or impact, they should also be evaluated separately for both males and females.

If recommendations are included, they should be supported by specific findings and action-oriented, practical, and straightforward.

DATA REQUIREMENTS

All quantitative data collected by the evaluation team will be provided in an electronic file in an easily readable format. The data will be organized and thoroughly documented for use by those not entirely familiar with the activity or the evaluation. USAID will retain ownership of all datasets developed.

All datasets created or collected will be submitted to the DDL by the terms and conditions of the Task Order for this evaluation. This is in keeping with Executive Order 13642 and the OMB Open Data Policy (M-13- 13), which states that an agency's "public data listing may also include, to the extent permitted by law and existing terms and conditions, datasets that were produced through agency-funded grants, contracts, and cooperative agreements."

ANNEXES

ANNEX A. AVAILABLE REFERENCES

- AMELP (February 2022 version)
- Project Annual Report – Year 1 (December 2019 – September 2020)
- Project Annual Report (draft) – Year 2 (October 2020 – September 2021)
- Quarterly Progress Reports (Years 1 and 2; Year 3 – 1st Quarter)
- Approved Work Plan – Year 2
- Approved Work Plan – Year 3
- Hydrologic Report: Buayan-Malungon River Basin (November 2020)
- Baseline Assessment Report (March 2021)

ANNEX B: APPROACH TO MONITORING ASSUMPTIONS AND CONTEXTUAL FACTORS[29]

TABLE 1. APPROACH TO MONITORING ASSUMPTIONS AND CONTEXTUAL FACTORS	
ASSUMPTIONS	**MEANS TO MONITOR AND ASSESS THE EXTENT TO WHICH ASSUMPTIONS / CONTEXTUAL FACTORS PREVAIL**
A. Successful and timely project implementation	
• Free and prior informed consent will be issued by the National Council for Indigenous People (NCIP) in areas covered by ancestral domain claims.	Safe Water shall secure copies of the Memorandum of Understanding (MOU) forged between Safe Water and the NCIP or any related documents, e.g., an official letter from the NCIP providing the SW project the necessary consent to perform assistance in the areas covered by ancestral domain claims.
• Armed group activities, notably the New People's Army of the National Democratic Front, which has a presence in all sites, will not hinder Safe Water's field activities.	Safe Water shall conduct in-depth interviews with the officials/staff of the provincial, city, and municipal LGUs and other stakeholders to gain feedback on whether armed group activities have hindered the project's field activities. Safe Water site offices' reports, e.g., the section on factors affecting the project implementation (e.g., armed group activities cited as a hindrance to field activities)
• LGUs and water districts in all sites will make rational planning and investment decisions after seeing the need and urgency for watershed protection and expanding and improving water supply and sanitation (WSS) service provision.	Safe Water to conduct in-depth interviews with the leaders/officials of the LGUs and WSPs to gain feedback on whether and to what extent the project activities have influenced the manners they do the planning and investment cycle for watershed protection and expanding and improving water supply and sanitation (WSS) service provision. The copies of plans and records containing budgets of the LGUs and WSPs for watershed protection, expansion, and improvement of the WSS services shall also be analyzed.
• The URAFF investment program of the national government will have sufficient funding to support the investment needs of priority WSPs.	Safe Water to secure copies and assess the national government's annual budget for the URAF in support of investment needs of priority WSPs.
B. Government's commitments and engagement with Safe Water	
• National and local governments will respond to positive demonstration activities with increased funding	Safe Water to monitor and assess policy enactment and/or modification in support of the project activities. Likewise, the national government and LGUs annual budget allocations for the WSS services shall be tracked and assessed.
• National government supports the formation of sector working groups	Safe Water shall conduct in-depth interviews with officials from the national government agencies, e.g., DENR, DILG, NWRB, and others that have been involved in forming and/or realizing the functions of working groups that support project activities Issuance of memorandum/order creating sector working groups in support of the Safe Water activities shall also be tracked.

[29] USAID Safe Water. 2022. Annex A of Updated AMELP (28 February 2022)

TABLE 1. APPROACH TO MONITORING ASSUMPTIONS AND CONTEXTUAL FACTORS	
ASSUMPTIONS	**MEANS TO MONITOR AND ASSESS THE EXTENT TO WHICH ASSUMPTIONS / CONTEXTUAL FACTORS PREVAIL**
• National government supports the formation of sector working groups	Safe Water shall conduct in-depth interviews with officials from the national government agencies, e.g., DENR, DILG, NWRB, and others that have been involved in forming and/or realizing the functions of working groups that support project activities Issuance of memorandum/order creating sector working groups in support of the Safe Water activities shall also be tracked.
• LGU leaders increase budgets and advocacy support for WSS and WRM reforms	Safe Water to track annual budget allocations of the LGUs for the WSS and WRM activities and reforms. In-depth interviews with leaders/officials of the LGUs shall also be conducted.
C. Stakeholders and institutions partnering with Safe Water	
• DENR will support and approve Community-Based Forestry Management Agreements (CBFMAs)	Safe Water shall conduct in-depth interviews with the leaders/officials from the DENR at the national, regional, and provincial levels to gain feedback about its support/approval of the CBFMAs. Copy of the official letter/communication that indicates DENR's no objection to the CBFMAs shall also be secured.
• WSP and LGU regulators allow charging of environment fees	Safe Water shall conduct in-depth interviews with the leaders/officials of the LGUs and WSPs to gain feedback on the charging of environmental costs. The records of the WSPs and LGUs on the charging of environmental fees shall also be collected and analyzed.
• NWRB will enforce resource regulation by stricter monitoring of private wells	Safe Water shall conduct in-depth interviews with the leaders/officials of the NWRB to gain feedback/information on the state of enforcing resource regulations concerning private wells. In-depth interviews with the leaders/officials of the LGUs on the same subject shall be undertaken.
• Tariffs set for agricultural water use	Safe Water shall track and analyze LGUs' records on tariffs imposed for agricultural water use.
• LGUs enforce labeling standards and Green Building Code	In-depth interviews with the concerned officials of the LGUs to gain feedback on the state of enforcing the labeling standards and Green Building Code in their respective areas. The LGUs' records related to enforcement of the labeling standards and Green Building Code shall also be tracked and analyzed.
D. Economic and financial environment	
• URAF implemented, including policies on tariffs and lending rates	Safe Water shall secure copies and analyze documents and reports of the national government related to the progress of URAF implementation In-depth interviews with the national government agencies, e.g., NEDA, DOF, and others, shall also be conducted to

TABLE 1. APPROACH TO MONITORING ASSUMPTIONS AND CONTEXTUAL FACTORS	
ASSUMPTIONS	**MEANS TO MONITOR AND ASSESS THE EXTENT TO WHICH ASSUMPTIONS / CONTEXTUAL FACTORS PREVAIL**
	obtain relevant qualitative information about the URAF implementation and policies on tariffs and lending rates.
• Budget allocated to the URAF	Safe Water shall track and analyze annual budgets allocated to the URAF (with the national government's records on the yearly budget allocation for the URAF as reference).
• WSPs and LGUs commit to shared priorities for WSS services	Safe Water shall conduct in-depth interviews with the LGUs and WSPs and access appropriate documents that reflect WSS services or projects pursued through the shared efforts and/or resources of the LGUs and WSPs.
• WSPs and LGUs commit to the shared value of watershed protection	Safe Water shall conduct in-depth interviews with the LGUs and WSPs and access appropriate documents that reflect watershed protection activities/projects being pursued through the shared efforts and/or resources of the LGUs and WSPs,

ANNEX C: ANNUAL AND LIFE OF ACTIVITY TARGETS FOR OUTCOME AND OUTPUT F-INDICATORS

TABLE 1. INDICATORS ON INCREASED ACCESS TO RESILIENT WATER SUPPLY AND SANITATION SERVICES (OBJECTIVE 1)								
NUMBER	INDICATOR	COLLECTION METHOD AND FREQUENCY	BASELINE DATA	LOP TARGETS (CUMULATIVE)				
				Y1	Y2	Y3	Y4	Y5
1.1	Number of people gaining access to basic or safely managed drinking water services as a result of US Government (USG) assistance.[30]	**Source:** CBMS, WSP & LGU Records **Frequency:** Quarterly & Annual	2,800,272	0	20,000	50,000	150,000	270,000
1.2	Number of people receiving improved service quality from an existing basic or safely managed drinking water service as a result of USG assistance.[31]	**Source:** CBMS, WSP & LGU Records **Frequency:** Quarterly & Annual	0	0	50,000	150,000	400,000	800,000
1.3	Number of people gaining access to limited or basic or safely managed sanitation services as a result of USG assistance.[32]	**Source**: LGU Health Office Records **Frequency:** Quarterly & Annual	4,379,610	0	20,00	60,000	120,000	210,000

[30] Definition Indicator 1.1: Basic drinking water services, according to the Joint Monitoring Program (JMP), are defined as improved sources or delivery points that by nature of their construction or through active intervention are protected from outside contamination, in particular from outside contamination with fecal matter, and where collection time is no more than 30 minutes for a roundtrip including queuing. Access must be measured from the beneficiary's place of residence, and does not include access at a day school, health facility, or place of work.

[31] Definition Indicator 1.2: This indicator refers to individuals and households who experience improvement in quality of services from their existing basic and safely managed drinking water services as a result of project (USG) activities or interventions. Improvement shall be determined in terms of (i) water quality (e.g., absence of turbidity, salinity, manganese, e-coli, others); (ii) reliability or service hours; (iii) pressure; (iv) collection time (for basic water services); and (v) other parameters.

[32] Definition Indicator 1.3: (1) Limited sanitation is an improved facility that hygienically separates human excreta from human contact and is shared by two or more households. This category

TABLE 1. INDICATORS ON INCREASED ACCESS TO RESILIENT WATER SUPPLY AND SANITATION SERVICES (OBJECTIVE 1)								
NUMBER	INDICATOR	COLLECTION METHOD AND FREQUENCY	BASELINE DATA	LOP TARGETS (CUMULATIVE)				
				Y1	Y2	Y3	Y4	Y5
1.4	Number of people receiving improved sanitation services quality from an existing "limited" or "basic" services as a result of USG assistance.[33]	**Source**: LGU Health Office Record **Frequency:** Quarterly & Annual	0	0	40,000	100,000	200,000	310,000
Intermediate Results (Outputs/Foundational Outcomes)								
1-1	Number of WSPs with increased operational, technical and financial management capacity through Safe Water activities[34]	**Source:** Project records demonstrating the type of technical support provided to WSPs, training and technical support	188	0	5	10	20	30

of sanitation facility is comprised of any of the following: (a) water-sealed toilet shared with other household/s - water-sealed, other depository used exclusively by household; (b) Water-sealed, other depository shared with other household/s; and- Closed pit. (2) A basic sanitation facility refers also to an improved facility that hygienically separates human excreta from human contact but is used exclusively by household. This category is comprised of households with water-sealed toilet and septic tank. (3) A safely managed sanitation service is use of improved facilities that are not shared with other households and where excreta are safely disposed in situ and conveyed or transported and treated off-site. These household toilet facilities are either connected to a sewerage system or are served by a septage management program. The collected sewage or septage undergoes wastewater treatment.

[33] Definition Indicator 1.4: Persons are counted for this indicator when their current sanitation services are considered as limited or basic but the quality of services they receive are further improved as a result of Safe Water assistance. Improvement shall be determined in terms of the presence of any of the following: (i) septic tank with at least two chambers; (ii) septic tank with concrete bottom slab; (iii) septic tank with access manholes; (iv) septic tank accessible to desludging truck; (v) septic tank connected to street drainage system; and (vi) other applicable features.

[34] Definition Indicator 1-1: This refers to better capacity of WSPs to provide adequate and quality service to consumers in their franchise areas in the most cost efficient and financially sustainable way. The standard Key Performance Indicators (KPIs) and norms that will be adopted under the URAF (currently being discussed with NEDA) will be used to gauge the improvements from existing baselines. In addition, the team will also monitor the adoption of management tools and systems improvements that will lead to better service and financial viability of the utilities

TABLE 1. INDICATORS ON INCREASED ACCESS TO RESILIENT WATER SUPPLY AND SANITATION SERVICES (OBJECTIVE 1)								
NUMBER	INDICATOR	COLLECTION METHOD AND FREQUENCY	BASELINE DATA	LOP TARGETS (CUMULATIVE)				
				Y1	Y2	Y3	Y4	Y5
		designs and methodology, capacity assessment reports, training outputs, and re-entry plans, and own reports and records of institutions that provided technical assistance. **Frequency**: Quarterly and Annual						
1-2	Number of coordination mechanisms institutionalized at the local, watershed, and regional levels through Safe Water activities[35]	**Source:** Project records and coordination mechanism agreements or other documents and records. Documents will identify participating organizations, objectives, and commitments. **Frequency**: Quarterly and Annual	0	1	4	8	25	48
1.3	Value of new funding mobilized to the water and the water and	**Source:** LGU AIP, Financial Statements, Annual & Monthly Disbursement Reports/	0	0	10,000,000	27,000,000	50,000,000	75,000,000

[35] Definition Indicator 1-2: Coordination mechanisms for WRM and WSS include watershed councils, river basin organizations, water alliances and agreements between LGUs and WSPs that are recognized by local, provincial, and national government organizations. The formation of such coordination mechanisms is key to strengthening the management and protection of watersheds and river basins.

TABLE 1. INDICATORS ON INCREASED ACCESS TO RESILIENT WATER SUPPLY AND SANITATION SERVICES (OBJECTIVE 1)								
NUMBER	INDICATOR	COLLECTION METHOD AND FREQUENCY	BASELINE DATA	LOP TARGETS (CUMULATIVE)				
				Y1	Y2	Y3	Y4	Y5
	sanitation sectors as a result of USG assistance (US $)[36]	Statement of Expenditures, others. WSP Business Plans, Financial Statements, others						
1.4	Number of feasibility studies, programs of work, and detailed designs developed that enable water supply and sanitation service expansion or improvement as a result of USG assistance.		0	0	4	14	32	50

TABLE 2. INDICATORS ON IMPROVED SUSTAINABLE MANAGEMENT OF WATER RESOURCES (OBJECTIVE 2)								
NUMBER	INDICATOR	COLLECTION METHOD AND FREQUENCY	BASELINE DATA	LOP TARGETS (CUMULATIVE)				
				Y1	Y2	Y3	Y4	Y5
2.1	Amount of greenhouse gas (GHG) emissions reduced or avoided (in metric tons equivalent) related to	**Source:** Afolu Carbon Calculator **Frequency**: Quarterly and Annual	418,896	0	75,000	300,000	600,000	1,000,000

[36] Definition Indicator 1-3: Total value of new/additional funding or investments in WSS mobilized (approved / allocated / accessed and disbursed) by the LGUs and WSPs to improve delivery of water supply and/or sanitation services. The investments may be funded from domestic public resources (budget allocation, grants, loans from GFIs, bond issuance, user payments or internally generated funds of WSPs), domestic private financing (commercial loans from private banks, MFI loans or PPPs) or global or international sources (global development alliances and leveraged development partner or donor funds).

TABLE 2. INDICATORS ON IMPROVED SUSTAINABLE MANAGEMENT OF WATER RESOURCES (OBJECTIVE 2)								
NUMBER	INDICATOR	COLLECTION METHOD AND FREQUENCY	BASELINE DATA	LOP TARGETS (CUMULATIVE)				
				Y1	Y2	Y3	Y4	Y5
	sustainable landscapes as a result of USG assistance.[37]							
2.2	Number of people benefiting from adopting and implementing measures to improve water resources management as a result of USG assistance.[38]	**Source:** Project records, WSP Customer records, in-depth interviews, and FGDs. Data collected through surveys requires the enumeration of specific names/ addresses and the type of benefit received **Frequency**: Quarterly and Annual	0	0	150,000	275,000	450,000	600,000
2.3	Number of people receiving livelihood co- benefits (monetary or non-monetary) associated with USG sustainable landscapes activities.[39]	**Source:** Project records, government reports, and household surveys. Data will be collected from implementing partners with knowledge of their specific activities and	22,450	0	15,000	50,000	100,000	160,000

[37] Definition Indicator 2.1: Reduced or avoided GHG emissions reflect reductions in illegal logging and forest/land conversion to annual crops, and brush lands or grasslands. Reducing these practices in the upper watersheds is key to restoring watershed health and functions, improving both surface and groundwater supplies and surface water quality and reducing risks of floods and landslides.

[38] Definition Indicator 2.2: "Benefiting" is achieved through increased equitable water resource allocation, watershed protection and restoration, and improved surface and ground water quality and availability, or through reduced water-related risk.

[39] Definition Indicator 2.3: Livelihood co- benefits will be realized from forest protection and the complementary support to link the communities to markets. Sustainable landscape activities will promote enterprises that protect integrity of watersheds such as non-extractive upland livelihoods. Additionally, resilience of livelihood activities will depend on disaster prevention and mitigation strategies through climate-smart agriculture and improved social cohesion through strong community organizations.

TABLE 2. INDICATORS ON IMPROVED SUSTAINABLE MANAGEMENT OF WATER RESOURCES (OBJECTIVE 2)								
NUMBER	INDICATOR	COLLECTION METHOD AND FREQUENCY	BASELINE DATA	LOP TARGETS (CUMULATIVE)				
				Y1	Y2	Y3	Y4	Y5
		programs. Data collected through surveys requires enumerating specific names/addresses and the type of benefit received. **Frequency**: Bi-Annual						
2.4	Changes in runoff ratio in targeted catchments[40]	**Source:** If available, historical records from UP/NIGS data, PAGASA, and DPWH. Gauging stations established by Safe Water and managed by LGUs, WCs and local communities **Frequency**: Annual	**Annual Runoff ratio** (1975-2005): 48% (2.15 billion cubic meters out of 4.5 billion meters of rainfall)					Decreased
2.5	Changes in water quality as measured by water turbidity[41]	**Source:** Project records collected from monitoring stations situated in different watersheds and averaged over the year. **Frequency**: Annual	Water Quality by Section of River (Turbidity measured in Formazin Nephelometric Units (FNUs) Upstream: 24.82 Midstream: 53.26 Downstream: 59.46					Prevented increase in turbidity/ No Change

[40] Definition Indicator 2.4: Measures the volume of runoff for a catchment divided by the precipitation in that catchment (i.e., volume of rain that does not infiltrate, evaporate, or transpire). This ratio is a key indicator of catchment health, and the stability of the ratio should improve in the form of lower peak flows following storms and higher low flows during dry periods or at least be maintained over time—in response to improvements in land management.

[41] Definition Indicator 2.5: Measures changes in sedimentation level and other matter in the water column using a light beam to measure reflectance. Reducing or preventing increase in turbidity will be achieved through reforestation and improved land and water management.

TABLE 2. INDICATORS ON IMPROVED SUSTAINABLE MANAGEMENT OF WATER RESOURCES (OBJECTIVE 2)								
NUMBER	INDICATOR	COLLECTION METHOD AND FREQUENCY	BASELINE DATA	LOP TARGETS (CUMULATIVE)				
				Y1	Y2	Y3	Y4	Y5
2.6	Changes in the volume of groundwater recharge/ infiltration[42]	**Source:** Land use records from Landsat and Planet. Historical hydro-met records from UP/NIGS, PAGASA, and DPWH. Gauging stations established by Safe Water with local stakeholders. **Frequency**: Annual	Annual Ground Water Recharge / Infiltration (1975-2005): 940.3 million cubic meters, equivalent to a 21% GW recharge rate against the 4.5 billion cubic meters annual volume of rainfall.					Prevented reduction in infiltration/ No change
Intermediate Results (Outputs/Foundational Outcomes)								
2-1	Number of hectares under improved watershed management through Safe Water activities[43]	**Source:** DENR, National Commission on Indigenous Peoples (NCIP), Protected Area Management Boards (PMBs), Watershed Management Councils, Local Government Units (LGUs), civil	2,136	0	10,000	100,000	200,000	330,000

[42] Definition Indicator 2.6: This indicator estimates the volume of groundwater infiltration as a percentage of precipitation. Infiltration is defined as the flow of water from aboveground into the subsurface. Infiltration will at the least remain constant through project interventions.

[43] Definition Indicator 2-1: Area under improved management means the number of hectares of remaining and replanted forest under protected status/formal forest management agreement and is actively protected by communities and LGUs. Moving remaining forested areas/public forest land from open access to a recognized formal management structure that benefits communities, is key to arresting the loss of forest cover and improving forest regeneration. Improved natural resource management (NRM) includes activities that promote enhanced management of natural resources for one or more objectives, such as conserving biodiversity, maintaining ecosystem services, strengthening sustainable use of natural resources, mitigating climate change, and/or promoting community participation in NRM.

TABLE 2. INDICATORS ON IMPROVED SUSTAINABLE MANAGEMENT OF WATER RESOURCES (OBJECTIVE 2)								
NUMBER	INDICATOR	COLLECTION METHOD AND FREQUENCY	BASELINE DATA	LOP TARGETS (CUMULATIVE)				
				Y1	Y2	Y3	Y4	Y5
		society organizations (CSOs), people's organizations (POs), indigenous POs (IPOs), and other organizations mandated to manage target watersheds, etc. **Frequency**: Quarterly and Annual						
2-2	Number of LGU WSPs, and watershed stakeholders with improved capacity to plan, manage and monitor water and forest resources sustainably, using data and innovative technologies[44]	**Source:** Project records demonstrating the type of technical support provided to water and sanitation sector institutions, training and technical support designs and methodology, capacity assessment reports, training outputs, re-entry plans, and own reports and records of institutions provided technical assistance.	0	0	8	25	40	50
2.3	Amount of investment mobilized (in US$ equivalent) for sustainable	**Source:** LGU AIP, Financial Statements,	0	0	10,000,000	11,000,000	13,000,000	16,000,000

[44] Definition Indicator 2-2: This indicator includes national and local government and private institutions and civil society organizations that have demonstrated improved capacity to plan, implement and monitor water and watershed resources due to USG assistance. Institutions covered include regional, provincial and local agencies (NEDA, DENR, DA), LGUs (P/C/MPDOs, P/C/MENROs), WSPs (WDs, LGU-run utilities, private operators), and CSOs provided training on the application of climate and hydrological data, data science, satellite imagery and geospatial data and other tools in a) preparation/updating of CLUPs, FLUPs, WATSAN plans and watershed, and river basin management plans, b) design and/or implementation of action plans, projects or programs to sustainably water and forest resources, and c) adoption of innovative technologies to manage use and monitor these resources.

TABLE 2. INDICATORS ON IMPROVED SUSTAINABLE MANAGEMENT OF WATER RESOURCES (OBJECTIVE 2)								
NUMBER	INDICATOR	COLLECTION METHOD AND FREQUENCY	BASELINE DATA	LOP TARGETS (CUMULATIVE)				
				Y1	Y2	Y3	Y4	Y5
	landscapes, as supported by USG assistance.[45]	Annual & Monthly Disbursement Reports/ Statement of Expenditures, others WSP Business Plans, Financial Statements, others financial institution records, grant or loan agreements or contracts, and infrastructure feasibility studies. Also, project documentation demonstrating the type of technical support provided to specific investments. **Frequency**: Bi-Annual						
2.4	Number of people who apply improved conservation law enforcement practices as a result of USG assistance[46]		0	0	100	500	1,500	2,000

[45] Definition Indicator 2-3: Investment mobilized captures funding and investments obtained (allocated / accessed) and disbursed to support sustainable forest protection, reforestation, and other land use practices to improve WRM and protection. These investments go towards adaptive management of watersheds, climate-smart agricultural practices, and improvement of livelihood among communities upstream and downstream communities around target watershed areas. Investment in sustainable landscape management may include financing for non-forest livelihood and enterprises, which contribute to sound stewardship of watershed resources.

[46] Definition Indicator 2-4: This indicator refers to the number of people or individuals in the project sites who apply a range of activities/ practices that will lead to improved enforcement of laws, policies, or ordinances related to the conservation of watersheds or natural resources as a result of USG assistance. These practices may be applied by people working with national and local government and private institutions and civil society organizations or by community members with guidance from resource institutions and law enforcement agencies. The activities

TABLE 2. INDICATORS ON STRENGTHENED WATER SECTOR GOVERNANCE (OBJECTIVE 3)								
NUMBER	INDICATOR	COLLECTION METHOD AND FREQUENCY	BASELINE DATA	LOP TARGETS (CUMULATIVE)				
				Y1	Y2	Y3	Y4	Y5
3.1	Number of policies or plans developed, enhanced or implemented to promote water security[47]	**Source:** Project records official government announcements and records.	35	0	10	20	40	50
3.2	Number of water and sanitation sector institutions strengthened to manage water resources or improve water supply and sanitation services as a result of USG assistance[48]	**Source:** Project records demonstrating the type of technical support provided to water and sanitation sector institutions, training and technical support designs and methodology, capacity assessment reports, training outputs and re-entry plans, and own	0	5	20	30	40	50

and practices may relate to awareness raising, provision of conservation funding, formulation of watershed conservation and protection plans, implementation of community livelihood or agroforestry designed to prevent further encroachment into natural forests, conduct of forest patrol, establishment of resource monitoring plan, and issuance of additional policies or regulations to implement existing laws, policies, and ordinances.

[47] Definition Indicator 3.1: Measures the number of national, regional, and/or local policies and plans designed to protect watersheds and water resources, encourage water use efficiency and reduce water waste. Developing new or amending existing policies or improving enforcement of existing policies and regulations will strengthen the framework for improving water supply and sanitation services and more integrated management of water resources.

[48] Definition Indicator 3.2: The indicator pertains to national and local government and private institutions and civil society organizations that have demonstrated improvement in governance to develop, promote and implement WSS and WRM reform initiatives due to USG assistance. Institutions covered by this indicator are those involved in policymaking and implementation and monitoring, such as oversight and policy bodies (national agencies, inter-agency bodies such as the SCWR); coordinating bodies (regional and local development councils, WATSAN hubs, water alliances); LGUs; regulators (LWUA, NWRB, DHSUD); and private advocacy groups and CSOs which conduct activities in support of government policymaking & implementation. Improved governance refers to the ability of the assisted institution to implement policy and reform initiatives, processes, and systems that are geared towards providing transparent, accountable, and efficient services to improve access to sustainable WSS and WRM.

TABLE 2. INDICATORS ON STRENGTHENED WATER SECTOR GOVERNANCE (OBJECTIVE 3)								
NUMBER	INDICATOR	COLLECTION METHOD AND FREQUENCY	BASELINE DATA	LOP TARGETS (CUMULATIVE)				
				Y1	Y2	Y3	Y4	Y5
		reports and records of institutions provided technical assistance. **Frequency**: Quarterly and Annual						
Intermediate Results (Outputs/Foundational Outcomes)								
3.1	Number of policies or plans developed, enhanced or implemented to promote water security[49]	**Source:** Project records official government announcements and records.	35	0	10	20	40	50
3.2	Number of water and sanitation sector institutions strengthened to manage water resources or improve water supply and sanitation services as a result of USG assistance[50]	**Source:** Project records demonstrating the type of technical support provided to water and sanitation sector institutions, training and technical support designs and methodology, capacity	0	5	20	30	40	50

[49] Definition Indicator 3.1: Measures the number of national, regional, and/or local policies and plans designed to protect watersheds and water resources, encourage water use efficiency and reduce water waste. Developing new or amending existing policies or improving enforcement of existing policies and regulations will strengthen the framework for improving water supply and sanitation services and more integrated management of water resources.

[50] Definition Indicator 3.2: The indicator pertains to national and local government and private institutions and civil society organizations that have demonstrated improvement in governance to develop, promote and implement WSS and WRM reform initiatives due to USG assistance. Institutions covered by this indicator are those involved in policymaking and implementation and monitoring, such as oversight and policy bodies (national agencies, inter-agency bodies such as the SCWR); coordinating bodies (regional and local development councils, WATSAN hubs, water alliances); LGUs; regulators (LWUA, NWRB, DHSUD); and private advocacy groups and CSOs which conduct activities in support of government policymaking & implementation. Improved governance refers to the ability of the assisted institution to implement policy and reform initiatives, processes, and systems that are geared towards providing transparent, accountable, and efficient services to improve access to sustainable WSS and WRM.

TABLE 2. INDICATORS ON STRENGTHENED WATER SECTOR GOVERNANCE (OBJECTIVE 3)								
NUMBER	INDICATOR	COLLECTION METHOD AND FREQUENCY	BASELINE DATA	LOP TARGETS (CUMULATIVE)				
				Y1	Y2	Y3	Y4	Y5
		assessment reports, training outputs and re-entry plans, and own reports and records of institutions provided technical assistance. **Frequency**: Quarterly and Annual						
Cross-cutting								
CC-1	Number of tools, technologies, or measures implemented to manage water resources or improved WSS through Safe Water activities[51]	**Source:** Project records and coordination mechanism agreements or other documents and records. Documents will identify participating organizations, objectives and commitments. **Frequency**: Quarterly and Annual	0	4	10	20	25	30
CC-2	Number of partnerships developed and/or institutionalized to manage water resources or improve water supply and	**Source:** Project records demonstrating the type of technical support provided to WSPs, training and technical	0	5	10	12	16	23

[51] Definition Indicator CC-1: The indicator corresponds to specific tools, technologies, and/or measures relevant to managing water resources or improving WSS that the Provincial, City, and Municipal LGUs, WSPs, and other stakeholders can develop and/or implement with the enhanced technical capacity gained from the activities /interventions the Safe Water Project has provided in the covered areas.

TABLE 2. INDICATORS ON STRENGTHENED WATER SECTOR GOVERNANCE (OBJECTIVE 3)								
NUMBER	INDICATOR	COLLECTION METHOD AND FREQUENCY	BASELINE DATA	LOP TARGETS (CUMULATIVE)				
				Y1	Y2	Y3	Y4	Y5
	sanitation services as a result of USG assistance[52]	support designs and methodology, capacity assessment reports, training outputs, and re-entry plans, and own reports and records of institutions provided technical assistance.						
CC-3	Percentage change of women in decision-making positions in WSPs or sector institutions supported by Safe Water[53]	**Source:** LGU and WSP records supplemented by project records of participation in project-sponsored activities and training. **Frequency**: Annual	32% proportion[54]					50% proportion of women
CC-4	Number of persons trained with USG assistance for advancing gender equality or female empowerment through their roles	**Source:** Project records, and in-depth interviews (IDI); Attendance sheets and documentation reports	0	0	100	500	900	1,000

[52] Definition Indicator CC-2: The indicator corresponds to partnerships among actors' and institutions (provincial, city, and municipal LGUs, WSPs, private sector, and others) that have been spearheaded by various project activities in the targeted areas. These partnerships bind the different actors/institutions' efforts, priorities, and resources of the different actors /institutions to address pressing problems and build on opportunities that would foster more efficient and sustainable management of water resources and improved WSS services.

[53] Definition Indicator CC-3: USAID (2021) defines a "decision-making entity" as any formal or informal body through which a group of appointed or elected individual beneficiaries to serve a particular function and make decisions on behalf of themselves and/or other individual beneficiaries. A decision-making entity –a committee, a board, an advisory group, etc. – will typically have (formal or informal) terms of reference (or equivalent) which define roles, responsibilities, and procedures. For SW, the decision-making positions refer to membership in the board of directors and board members within the water district; membership in the city and barangay watershed management councils; and membership in the GAD Focal Point System. This indicator is intended to capture the participation of women in leadership and management positions to achieve more significant equity in the workplace and highlight the potential of women as leaders in water service provision and resource management organizations.

[54] The 2019 proportion as per the baseline study is an average of 32% of decision-making positions held by women (32% Palawan, 36% Negros Occidental, 23% Sarangani and GenSan)

TABLE 2. INDICATORS ON STRENGTHENED WATER SECTOR GOVERNANCE (OBJECTIVE 3)								
NUMBER	INDICATOR	COLLECTION METHOD AND FREQUENCY	BASELINE DATA	LOP TARGETS (CUMULATIVE)				
				Y1	Y2	Y3	Y4	Y5
	in public or private sector institutions or organizations[55]	of Safe Water follow-up activities implemented by LGUs, WSPs, and DENR **Frequency**: Quarterly and Annual						

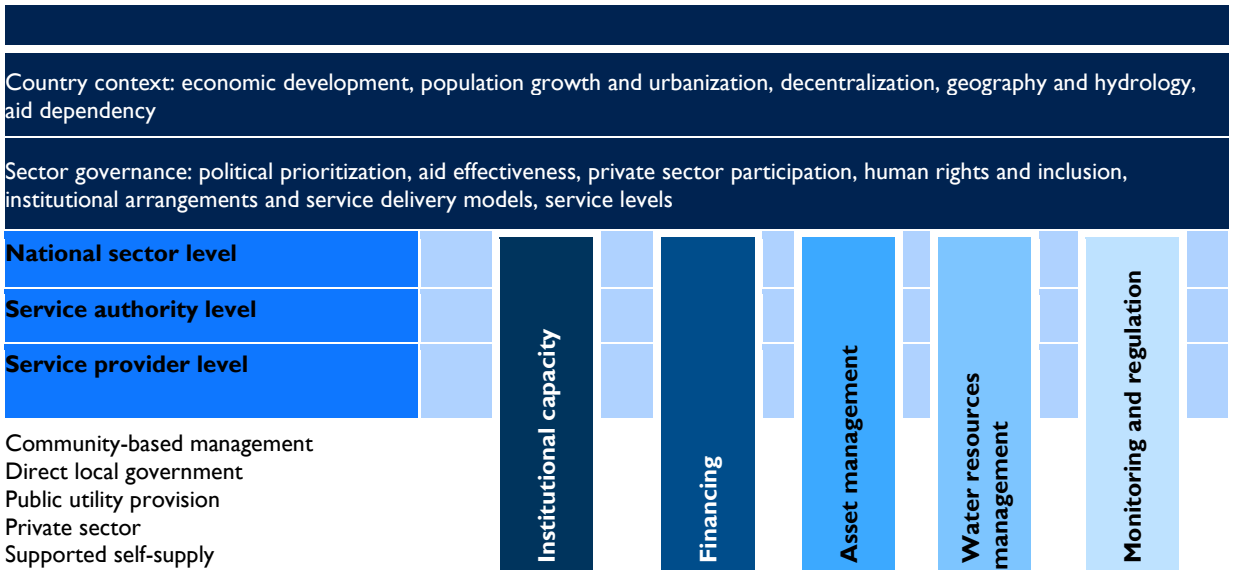
[55] Definition Indicator CC-4: This indicator measures the number of women who can avail of project training modules/ empowering women's roles in public or private sector institutions or organizations.

ANNEX III. METHODOLOGY

The evaluation team used a qualitative methods approach, including data collection through key informant interviews (KIIs), focus group discussions (FGDs), document review, and case studies. The team used content analysis, data visualization, and other non-parametric analysis to evaluate progress on achieving outcomes outlined in the TOC development hypothesis and the Results Framework.

The evaluation team also used the analytical framework employed by the World Bank (WB) in its multi-country study on the sustainability of rural water supply systems (Figure 1)56 as a reference in understanding the linkages and synergies of Safe Water's three key approaches. The WB study contains a rich set of cases and good practices from 16 countries57 informing the global body of "knowledge in implementation" on sustainable water supply service delivery with reference to the following: (1) institutional capacity, (2) financing, (3) asset management, (4) water resource management; and (5) monitoring and regulation.

The framework is consistent with Safe Water's multipronged approach and the interrelationship of its three IRs, focusing on Safe Water's three approaches: (1) water security planning (water supply and implementation); (2) finance and resource mobilization; and (3) partnerships for sustainable livelihoods (WSS and water resource management). The evaluation was relevant for examining the emerging development pathways toward achievement of Safe Water's three IRs.



[56] World Bank Group. 2017. Sustainability Assessment of Rural Water Supply Service Delivery Models: Findings of Multi-Country Review.

[57] The countries were selected based on a diverse range of factors, including socioeconomic context, regional representation, and presence of World Bank operations: Bangladesh, Benin, Brazil (state of Ceará), China (Zhejiang and Shaanxi provinces), Ethiopia, Ghana, Haiti, India (Punjab and Uttarakhand states), Indonesia, the Kyrgyz Republic, Morocco, Nepal, Nicaragua, the Philippines, Tanzania, and Vietnam.

Figure 1: Analytical Framework to Understand Sustainability of Rural Water Supply (WB, 2017)

The WB study highlighted that the framework recognizes three institutional levels: (1) national level (through legislation, policy, and the establishment of national authorities), (2) service authority level (authorities with responsibilities for delivering services, often local governments), and (3) service provision level. The delineation of the levels directly mirrors Safe Water's approach to strengthening the hierarchy and complementation of national government agencies, LGUs, water councils, WSPs, and local communities. The interactions of the key stakeholders may be useful for gaining insights into Safe Water's performance, including the challenges of service delivery during the COVID-19 pandemic. Table 1 shows the levels of analysis and types of respondents to be sought in this evaluation.
The importance of water resource management is one of the project's significant building blocks and requires an understanding of the interactions between hydrology, geomorphology, and ecology in watersheds, rivers, wetlands, and estuaries.58

Safe Water's linkage of its three IRs to promote water security supports the analytical framework for sustainability. The synergy is aptly described as follows: "Changes in the quality and quantity of water are directly attributable to changes in the direct drivers that are in turn caused by changes in indirect drivers. Land use/cover change is considered the single most influential factor affecting water quality and quantity among the direct drivers. Among indirect drivers, policy is considered the most influential since it affects the other indirect drivers (i.e., demographic, economic, and technological factors) and particularly land use and land cover."59 Factors related to management capacity and financing also affect sustainability and will be examined.

LEVELS OF ANALYSIS AND STUDY RESPONDENTS

In alignment with the WB framework, the analysis will be at four levels: (1) national level for policy and service authority analysis, (2) watershed or sub-watershed level for water resource management analysis, (3) local government level for laws and service delivery, and (4) community level for community-based management.

TABLE 1. LEVELS OF ANALYSIS

LEVELS OF ANALYSIS	TYPE OF RESPONDENTS
National Government Level	National Economic and Development Authority (NEDA), National Water Resources Board (NWRB), Department of Interior and Local Government (DILG), Local Water Utilities Administration (LWUA), Department of Environment and Natural Resources-River Basin Control Office (DENR-RBCO)

[58] Tabios, Guillermo III. 2018. Multiple and Integrated Water Resource Utilization (Chapter 8) in Water Policy in the Philippines: Issues, Initiatives, and Prospects. Agnes C. Rola, Juan M. Pulhin, Rosalie Arcala Hall (Editors). p. 177.

[59] Cruz, Rex Victor O. 2018. Sustaining Water Resources with Environmental Protection (Chapter 9) in Water Policy in the Philippines: Issues, Initiatives, and Prospects. Agnes C. Rola, Juan M. Pulhin, Rosalie Arcala Hall (Editors). p.187.

TABLE 1. LEVELS OF ANALYSIS	
Watershed or Sub-watershed Level	Watershed Management council, RC PAMB, Protected Area Superintendent (PASU), Provincial Environment and Natural Resources Office (PENRO), Community Environment and Natural Resources Office (CENRO)
Local Government Level	Province, municipality, barangay
Community Level	Service providers, water district (WD), Barangay Water and Sanitation (BAWASA), private concessionaires, NGOs, private sector, People's Organizations (PO)

GEOGRAPHIC SCOPE

The Safe Water evaluation conducted field activities in the project's three main areas of focus: (1) Puerto Princesa City and Palawan Province and the Montible watershed, (2) General Santos City and Sarangani Province, and (3) Bacolod City and Negros Occidental Province.

The following areas are important for implementation of the three key approaches and where Safe Water operates:

1. Water security planning and implementation
    - Negros Occidental Province and its municipalities, Bacolod City, Bago, and Malogo watersheds
    - Sarangani Province and its municipalities, Buayan-Malungon River Basin
2. Mobilizing finance for WSS
    - Palawan and its municipalities, Puerto Princesa City
    - Negros Occidental and its municipalities, Bacolod City (focusing on public-private partnerships)
    - Sarangani and its municipalities and General Santos City
3. Sustaining water resource management
    - Palawan: Irawan and Montible watersheds
    - Negros Occidental: Bago and Malago watersheds
    - Sarangani Buayan: Malungon River Basin and Siguel watershed

ASSESSMENT OF KEY APPROACHES

The key stakeholders and study areas for water security planning and implementation (Key Approach 1) included the provincial government (select municipalities), WSPs (water district or LGU-run WSS), and watershed management councils. This approach supports the sustainable provision of water supply through increased investments in managing water resources, watersheds, and forests. Evaluating this approach will require examining the strategy for establishing the skills and resources required to sustain the program beyond the activity's life.

The key stakeholders and study areas for mobilizing WSS finance (Key Approach 2) includes the Negros Provincial Government, water utilities, selected municipalities, Water.org and partner microfinance institutions (NWTF or ASA Philippines), LWUA, DILG, and the Public-Private Partnership Center. This approach is expected to contribute to realizing PWSSMP goals and operationalizing URAF, which Safe Water supports under IR3. The evaluation team considered how local interventions to increase access

to WSS services reinforce national commitment to achieve SDG #6. NEDA serves as an important respondent for this query.

The evaluation team will undertake a case study of Puerto Princesa, Palawan WSPs with improved water levels among the main parameters of the level of service, including increased household coverage, improved duration of service, and improved water quality. The data collection will also examine Safe Water's technical assistance and support to the LGUs and other WSS service institutions, as indicated in its AMELP (February 2022).

The key stakeholders and study areas for sustaining water resource management (Key Approach 3) included the provincial government, DENR regional offices, nongovernment organizations, peoples' organizations, and private institutions, among many others. This approach supports the achievement of IR2. The evaluation team considered Bago site, including the water resource management demonstration site in the Buayan-Malungon River Basin, to evaluate progress on improving sustainable management of water resources. The study looked more closely at initiatives to establish Payment for Ecosystem Services (PES), engage the private sector in watershed management, and strengthen agroforestry and other forms of sustainable livelihood in upland communities. The evaluation will also look at how other interventions to strengthen/revive watershed management councils and improve the formulation of integrated watershed management plans and local watershed conservation and rehabilitation plans contribute to sustaining water resource management.

EVALUATION FRAMEWORK

CRITERIA FOR STUDY SITE SELECTION

The team used the following criteria to select sample study sites:

- Watershed or sub-watershed with at least one intervention from each of the three key approaches (planning, mobilizing/financing, sustaining)
- One upland town and/or one barangay within the upland town with at least one intervention from any of the three key approaches
- At least one community organization in the upland town that handles natural resource management
- One lowland town/city and/or one barangay within the lowland town with at least one intervention from any of the three key approaches
- At most three types of water service deliverers in the lowland areas (water district, BAWASA, private concessionaires)

SELECTED WATERSHED STUDY SITES

To generate the study areas to be sampled, the STTA team first generated maps of the six Safe Water study watersheds, superimposing the municipal boundaries (Appendix B). The team then superimposed Safe Water interventions on these maps to identify the sample study sites (Appendix C). The maps in Appendix C made it easier to determine probable watersheds of interest in a province. After selecting one for each province, the team conducted a crosswalk exercise (Appendix D) to identify upland and lowland areas within the watershed with clusters of interventions to determine the most ideal study sites. The team finally selected the following study sites (Table 2):

TABLE 2. SELECTED STUDY SITES			
STUDY SITE	WATERSHED/ RIVER BASIN	UPSTREAM	DOWNSTREAM
Palawan	Montible	Montible	Puerto Princesa
Negros Occidental	Bago	Murcia	Bago City
Sarangani	Buayan-Malungon river basin	Alabel	Alabel

These watersheds were also priority areas for Safe Water. The prioritization was based on access gaps, number of people who will benefit, and LGUs' economic significance. The STTA team confirmed the prioritization with stakeholders in various consultations and especially in dialogue with the implementing partner. These sites also fit the criteria designed by the project team in the choice of watersheds and towns.

Other areas outside the watershed can also be included as study sites, especially if a WASH activity is prevalent in this area. For instance, some WASH projects in Puerto Princesa, Palawan are outside the study watershed but can still be part of the study site because of the USAID precursor projects focused on WASH.

DATA COLLECTION

The evaluation used the following data collection methods: (1) document review, particularly on the delivery of outputs and use of resources; (2) KIIs; (3) FGDs; (4) FGIs, and (5) case studies. Combining these methods will allow greater data consistency and triangulation of information for greater validity.

DOCUMENT REVIEW

Document review included implementing partners' annual and other reports with details on targets and progress on indicators, lists of partners, lists of beneficiaries, maps of study watersheds, and lists of interventions for each municipality/barangay or other levels of governance. The team reviewed references to water security planning in comprehensive land use plans, comprehensive development plans, local climate change action plans, annual investment plans, other water-related development plans, forest land use plans, and watershed management plans.

KIIS, FGIS AND FGDS

KII, FGIs and FGD respondents included primarily USAID personnel and Safe Water personnel. At the local level, respondents included LGUs, WSS service providers, watershed management councils, partner nongovernment organizations, people's organizations, and private sector partners. National-level respondents included officials and/or staff of NEDA, LWUA, and DILG; DENR regional offices; the Public-Private Partnership Center (Annex V.1). Questionnaires developed are found in Annex IV.3 for WSG, Annex IV.1 for WSS, and Annex IV.2 for WRM. Annex IV.4 contains FGD questions for WRM peoples' organizations.

The qualitative data were recorded whenever possible and transcribed in worksheets. When it was not possible to record KIIs and FGDs because of participant objections, the evaluation team took notes by

hand and later enter them into the data analysis worksheets. The team also used mind mapping in the collection of qualitative data during KII/FGIs/sFGDs.

CASE STUDIES

Case studies examined approaches and implementation of water security planning, mobilization of financing, and urban WASH. They addressed: (1) the importance of the Provincial Integrated Water Security Plan by examining Negros Occidental's experience (e.g., What drives the province to lead water security planning and what key elements are needed to implement and realize their plans and programs?); (2) water resource management in Buayan-Malungon River Basin by examining whether interventions are sufficient and necessary to help Sarangani stakeholders improve the sustainable management of water resources; and (3) urban WASH in Puerto Princesa in relation to its system planning (technical and financing scheme), implementation challenges, and system operation and maintenance. Case study questions are found in Annex IV.7-9. Complete results of case studies are in Annex XI.1-XI.3.

FIELDWORK AND DATA COLLECTION METHODS

The team began data collection in the provinces of Palawan, Sarangani and Negros Occidental during the third and fourth weeks of January 2023 and the first week of February 2023, respectively. The national level KIIs were done virtually during the second week of February 2023. The team of three STTAs went together on the provincial trips and were divided into three once there—water resource management, WSS, and water sector governance. The total duration of each provincial trip was five days per province.

The data collection will also support Safe Water's intent, as indicated in its AMELP (February 2022), to promote gender equality and empowerment, with strategies highlighted in its Gender Action Plan.

TABLE 3. DATA COLLECTION METHOD

Data Collection Methos	Number of Sessions
Focus Group Interviews	31
Key Informant Interviews	17
Focus Group Discussions	4
Case Studies	3

DATA ANALYSIS

QUANTITATIVE DATA

The evaluation used analytic data visualizations to the extent possible. Descriptive statistics were used in the analysis of "quantitized"data. MS Excel was used to generate the tabulated data of the KII, FGI and FGD (*see Table 4*).

QUALITATIVE DATA

The evaluation team used content analysis and inter-reliability rating for comparison on the coherence of responses, codes, and themes to ensure consistency of results. Qualitative data analysis was conducted using NVIVO software. The team analyzed Safe Water's implementation context, including

the emerging overall policy and operating environment as it relates to Safe Water's assumptions and contextual factors. To the extent possible, there was an analysis integrated gender concern.

TRIANGULATION

The evaluation team combined and compared the qualitative analysis from the KIIs and the FGDs and case studies with data and information generated from document review. Comparing the results provided a more complete understanding of Safe Water's relevance, effectiveness, and sustainability.

TABLE 4. TOOLS FOR DATA ANALYSIS

TYPE OF DATA	TOOLS FOR ANALYSIS
Qualitative	Case studies Gender analysis Thematic Analysis
Quantitative	Descriptive Statistics Data Visualization MS Excel, NVivo,and other statistical software available

EVALUATION DESIGN MATRIX

The design matrix in Tables 5–7 summarizes the evaluation design and methods.

TABLE 5. RELEVANCE EVALUATION DESIGN AND METHODS

QUESTIONS	SUGGESTED DATA SOURCES	SUGGESTED DATA COLLECTION METHODS	SUGGESTED DATA ANALYSIS METHODS
Relevance: (1) To what extent Safe Water's three (3) key approaches responded to the needs of local stakeholders to improve water security? (2) Are these approaches sufficient to address the local water security challenges?	Project Documents and Reports IPs: DAI and the five implementing partners Key stakeholders: LGUs, WSPs, communities, DENR, NEDA, NWRB, LWUA, and water councils, among others	Document Review Baseline data and hydrologic studies KIIs/FGDs: LGUs, WSPs, communities, DENR, NEDA, NWRB, LWUA, watershed management, and WSS regulatory councils, among others Site visits and remote data collection approaches	Qualitative and quantitative analyses, with the application of quantitative tools in the analysis of qualitative data
Sub-Question 1: What is the critical element to improve water security in your area? Are the key approaches in the right direction, deficient, not what is needed, sufficient, in meeting the need?	Project Documents: Report of IP, Baseline studies Key stakeholders: communities, LGUs, WDs, national officials,	KIIs/FGDs: LGUs, WSPs, communities, DENR, NEDA, NWRB, LWUA, watershed management, and WSS regulatory councils, among others Site visits and remote data collection approaches	Qualitative and quantitative analyses, with the application of quantitative tools in the analysis of qualitative data

TABLE 5. RELEVANCE EVALUATION DESIGN AND METHODS			
Sub-Question 2: Do the proposed water and sanitation facilities' capacities address the need of the targeted beneficiaries, both males and females? Do the identified/proposed interventions in the watershed include both spatial and temporal elements? What other strategies and opportunities can the SW employ to improve the intervention?	Project Documents: Key Stakeholders: Communities, KII with watershed officials	KII with stakeholders	Qualitative analysis
Sub-Question 3: What are the challenges encountered by implementers related to planning, maintaining/financing, sustaining) towards attaining the 3 IRs? How were these challenges addressed and/or improved by SW?	Project Documents KII with LGUs, KII with WD, other stakeholders	KII/ FGD	Qualitative analysis
Sub-Question 4: Are potential impacts of climate change considered in the different key approaches of the program?	Project documents; KII	KII/FGD	Quantitative and Qualitative analyses, with the application of quantitative tools in the analysis of qualitative data

TABLE 6. EFFECTIVENESS EVALUATION DESIGN AND METHODS			
QUESTIONS	SUGGESTED DATA SOURCES	SUGGESTED DATA COLLECTION METHODS	SUGGESTED DATA ANALYSIS METHODS
Effectiveness: (1) To what extent are / were the project objectives (3 IRs) achieved or likely to be achieved through Safe Water's 3 key approaches? (2) What are /were the major factors, such as the COVID-19 pandemic, influencing the achievement and non-achievement of the objectives?	Project Documents and Quarterly Reports Key stakeholders: LGUs, WSPs, communities, DENR, NEDA, NWRB, LWUA, and Water Council, among others	Document Review; Baseline data and hydrologic studies KIIs/FGDs: LGUs, WSPs, communities, DENR, NEDA, NWRB, LWUA, Watershed Management, and WSS Regulatory Councils, among others Context monitoring; Simple surveys Case studies: (a) Provincial Integrated Water Security Plan by looking on the Negros Occidental's experience (b) Water Resource Management (WRM) interventions in the Buayan-Malungon River Basin (BMRB) c) Puerto Princesa Urban WASH Site visits and remote data collection approaches	Qualitative and quantitative analyses, with the application of quantitative tools in the analysis of qualitative data

TABLE 6. EFFECTIVENESS EVALUATION DESIGN AND METHODS			
Sub-Question 1: What training topics were provided to come up with a science-based water security plan? Was knowledge gained from the training useful in planning and implementation? In what ways? How are the different stakeholders determined/identified in each project intervention? (For IP)	Project Documents KII with LGUs, KII with WD, other stakeholders	KII	Qualitative analysis
Sub-Question 2: From the prepared POW, FS, and DED of the intervention area, provide details on the SF targeted and actual served population, proposed water and sanitation facilities and its capacities, project development cost, source of funds, project status, and Water and Sanitation Provider. Are the water and sanitation facilities constructed and operated according to the design criteria? Given there is a pause in the implementation, what must be the reason behind and measures on how to implement the projects.	POW, FS, DED Service authorities/ service providers	Content Analysis FGD/KII – WSSP Site Visits	Qualitative analysis Others
Sub-Question 3: What do you see is the role of the Watershed Management Councils and their TWGs in managing the watershed? Can this structure effectively manage the watershed? In what specific ways? What are your suggestions to further improve the effectiveness of the WMC?	Project Documents; Watershed Management Plans Key stakeholders: DENR, NGAs, LGUs, and other members of WMC	KII/FGD Document reviews	Qualitative Analysis

TABLE 7. SUSTAINABILITY EVALUATION DESIGN AND METHODS			
QUESTIONS	SUGGESTED DATA SOURCES	SUGGESTED DATA COLLECTION METHODS	SUGGESTED DATA ANALYSIS METHODS
Sustainability: (1) What is the likelihood that the mechanisms and initiatives of SW can be sustained (and possibly replicated) after the completion of USAID's support? (2) What elements are or need to be in place to ensure sustainability?	Project Documents and Quarterly Reports Key stakeholders: LGUs, WSPs, communities, DENR, NEDA, NWRB, LWUA, and Water Council, among others	Project Documents and Quarterly Reports Key stakeholders: LGUs, WSPs, communities, DENR, NEDA, NWRB, LWUA, Watershed Management, and WSS Regulatory Councils, among others	Qualitative and quantitative analyses, with the application of quantitative tools in the analysis of qualitative data

TABLE 7. SUSTAINABILITY EVALUATION DESIGN AND METHODS			
Sub-Question 1: Do you have a water security plan developed? Is there a budget appropriation for its implementation? Were personnel trained to monitor and evaluate the plan?	Project Documents: Report of IP, Water Security Plan, Watershed Management Plan Key stakeholders: LGUs, DENR, communities	KIIs/FGDs: LGUs, WSPs, communities, DENR, NEDA, NWRB, LWUA, watershed management, and WSS regulatory councils, among others Document reviews	Qualitative and quantitative analyses, with the application of quantitative tools in the analysis of qualitative data
Sub-Question 2: Are there any legal or financial mechanisms, agreements or strategies that are being put in place to sustain the identified/potential interventions in the watershed even after the project?	Project Documents; MOUs; MOAs; Tenurial Agreements Key Stakeholders: Communities, LGUs, WSSPs, DENR, NEDA, other NGA	KII/FGDs with stakeholders Document reviews	Qualitative and quantitative analyses, with the application of quantitative tools in the analysis of qualitative data
Sub-Question 3: In what ways did the implementing partner engage the different stakeholders in the planning process, implementation, and monitoring? What is the proportion of males versus females' participation?	Project Documents KII with LGUs, KII with WDs, and other stakeholders	KII/FGDs Document reviews	Qualitative and quantitative analyses, with the application of quantitative tools in the analysis of qualitative data
Sub-Question 4: What are the potential risks that would likely to affect the operations and maintenance of these facilities? What is the likelihood that the major reform initiatives by the SW be adopted by the stakeholders? (For national KII).	Project Documents; Detailed Engineering Designs (DEDs) Key stakeholder: LGUs, WDs, communities	KII/FGDs Document reviews	Qualitative and quantitative analyses, with the application of quantitative tools in the analysis of qualitative data

ANNEX IV. DATA COLLECTION TOOLS (QUESTIONNAIRES)

Annex IV.1. KEY INFORMANT INTERVIEW (KII) QUESTIONNAIRE FOR WATER SUPPLY AND SANITATION (WSS)

Purpose of the KII

General: To generate evidence to assess the extent to which Safe Water (SW) is achieving the outcomes for an increased and improved access to resilient water supply and sanitation services (IR1).

Specific: To determine the relevance, effectiveness, and sustainability of the SW interventions towards provision and improvement of resilient water supply and sanitation facilities in water distressed communities.

Respondents:

National:
NEDA, DILG, LWUA,

Provincial:
Palawan Water
DPWH Negros Occ. , Negros Occ PPDO
Sarangani PPDO

Local:
Puerto Princesa (City Planning, City Health), Puerto Princesa City Water District
Bago City (City Planning, City Engineering, City Health), Bago City Water District/Prime Water
Murcia City (City Planning, City Engineering, City Health), Murcia Water District
Alabel City (City Planning, City Engineering, City Health) , Alabel City Water Works

Micro Finance Institutions:
Water Org Philippines - Pasig City
ASA Philippines – Pasig City
Negros Women for Tomorrow Foundation, Inc – Bacolod City

Total = 18 agencies.

Name of Facilitator: _____ Date of Interview: _____

Name of Documentor: _____

Name of Agency: _____

Address: _____

Name of Respondent/s: _____ Gender of Respondent: _____ (M) _____ (F)

Position of Respondent:_____

Type of Engagement with Safe Water: (i.e., Resource person, partner, beneficiary) _____

(Mandate of Agency- from secondary data source)

I. Introductory Questions:

I.1 Name the interventions/engagements that you received from the Safe Water Project:

Interventions	Year

II. RELEVANCE

II.1 To what extent have Safe Water introduced interventions responded to the needs of local stakeholders towards the increased and improved access to resilient water supply and sanitation services?

Table 2.1. Level of Responsiveness of SW Interventions

Approach	Rating (1-least responsive; 2-responsive, 3-most responsive)	Please Explain Your Answer
Project Planning		
Facilitating access to national and local government funding		
Facilitating access to market-based financing from Government and Private Financing Institutions		
Facilitating Public-Private Partnerships		
Piloting the Output-based aid and Blended Finance for Household Sanitation		

II.2 Are these approaches sufficient to address the Increased and improved access to resilient water supply and sanitation services in water distressed communities?
___ Yes ___ No

Why, if not, what are possible approaches to address the need?

Possible Approaches	Relevance to address the need

II.2.1. Are the key approaches (related to planning, implementing/financing, sustaining) in the right direction, deficient, not what is needed, sufficient, in meeting the need to Increase and improve access to resilient water supply and sanitation services? Why?

Table 2.2 Levels of meeting the need

Approach	Level of meeting the need (1-sufficient; 2-right direction; 3-difficient, 4-not needed)	Please Explain Your Answer
Planning for WSS		
Implementing/Financing for WSS:		
Sustaining Water Supply and Sanitation Facilities		

II.2.2 What are the critical elements to improve water security in your area?

(Cite 3 most important elements)

Elements	Relevance to address the need

II.2.2 Do the proposed water and sanitation facilities' capacities address the need of the targeted beneficiaries, both males and females? _____

Please qualify your answer:_____

II.2.2.1 Do the current water and sanitation facilities' personnel management capacities address the need of the targeted beneficiaries, both males and females? (WASH question)

Yes_____ No _____

Please qualify your answer:_____

II.2.2.2 Do the current levels of financing address the need of the targeted beneficiaries, both males and females? Yes_____ No _____

Please qualify your answer:

_____

II.2.2.3 Do the current efforts of the Government in financing address the need of the targeted beneficiaries, both males and females?

Table 2.4 Responsiveness of financing efforts for WSS

Financing Interventions	Yes	No	Impact on Women's needs for water
Facilitating access to national and local government funding			
Facilitating access to market-based financing from Government and Private Financing Institutions			
Facilitating Public-Private Partnerships			
Piloting the Output-based aid and Blended Finance for Household Sanitation			

II.2.2. 4 Do the identified/proposed interventions in the Service Area include both spatial and temporal elements?

a. Planned Service area?
b. Design Year

II.2.2.5 What other strategies and opportunities can the SW employ to improve the WASH intervention? (Table 2.5)

Table 2.5. Strategies and Opportunities for relevant SW interventions for increased and improved water supply and sanitation services

Approach	Strategies (plan of action)	Opportunities (circumstance that makes it possible to do something)
Project Planning		

Approach	Strategies (plan of action)	Opportunities (circumstance that makes it possible to do something)
Facilitating access to national and local government funding		
Facilitating access to market-based financing from Government and Private Financing Institutions		
Facilitating Public-Private Partnerships		
Piloting the Output-based aid and Blended Finance for Household Sanitation		
Others		

II.2.3 What are the challenges encountered by implementers doing the interventions towards attaining the Increased and improved access to resilient water supply and sanitation services and how were these addressed and or improved?

Table 2.6 Challenges and Ways to address these

Approach	Challenges (difficult task)	Addressing/Improving on Challenges
Project Planning		
Facilitating access to national and local government funding		
Facilitating access to market-based financing from Government and Private Financing Institutions		
Facilitating Public-Private Partnerships		
Piloting the Output-based aid and Blended Finance for Household Sanitation		

Approach	Challenges (difficult task)	Addressing/Improving on Challenges
Others		

II.2.4 Are potential impacts of climate change considered in the different key approaches for WASH? _____(Yes) _____ (No)

II.2.4.1 If yes, in what ways?

_____

II.2.4.2 If no, what are the constraints?

_____

II.2.4.3 Are the proposed water supply and sanitation facilities designed to be resilient to climate change?

_____

II.2.4.4. If yes, how are these done?

II.2.4.5 If no, what are the constraints? _____

What are the potential risks that would likely to affect the operations and maintenance of these facilities?

Table 2.7 Potential Risks

Potential Risks	Why these Risks
Water source capacity reliability relative to demand requirement	
Proper observance of Periodic System Maintenance	
Commercial System Efficiency	
Financial Cashflow	
Manpower	
WSP Management	
Others	

III. EFFECTIVENESS

III.1 To what extent was the objective on Increased and improved access to resilient water supply and sanitation services achieved or likely to be achieved through Safe Water's 3 key approaches?

Table 3.1 Extent Objective is likely to be achieved

Approach	Extent of Achievement			Please explain your answer
	Less-1	Achieved - 2	More-3	
Planning				
Implementing/Financing				
Sustaining				

III.1.1 What interventions has the SW introduced that have been effective to achieve or likely achieve the Increased and improved access to resilient water supply and sanitation services?

Table 3.2 Effectiveness of SW interventions/ approaches to likely achieve project objectives

Intervention	Effectiveness of interventions that will likely achieve project objectives			Please explain your answer
	Less effective -1	Effective - 2	More effective -3	
Obj. 1 Increased and improved access to resilient water supply (WSS)				
Project Planning				
Training				
Facilitating access to national and local government funding				
Facilitating access to market-based financing from Government and Private Financing Institutions				
Facilitating Public-Private Partnerships				
Piloting the Output-based aid and Blended Finance for Household Sanitation				

III.1.2 What training topics were provided to come up with a science-based water security plan?

_____

_____

III.1.2.1Was knowledge gained from the training useful in planning and implementation? __ (yes) ___ (no)

III.1.2.2 In what ways?

_____

III.1.2.3 How are the different stakeholders determined/identified in each project intervention (for IP)?

III.1.3.1 Are the water and sanitation facilities constructed and operated according to the design criteria?

_____ (Yes) ___ (no)

If no, why?

III.1.3.2 Given there is a pause in the implementation, what must be the reason behind and measures on how to implement the projects.

Reasons behind delay	Measures taken to catch up with implementation

III.2. What are/were the major factors, such as the COVID-19 pandemic, that are influencing the achievement and non-achievement of increased and improved access to resilient water supply and sanitation services.

IV. SUSTAINABILITY

IV.1 What is the likelihood that the mechanisms and initiatives of SW for WASH can be sustained and/or possibly replicated after the completion of USAID's support? (Tables 4.1 and 4.2)

Table 4.1 Likelihood for the WASH Interventions to be Sustained

Interventions	Measures of Likelihood to be Sustained			Please explain your answer
	Not Likely -1	Likely -2	Most Likely -3	
Project Planning				
Facilitating access to national and local government funding				
Facilitating access to market-based financing from Government and Private Financing Institutions				
Facilitating Public-Private Partnerships				
Piloting the Output-based aid and Blended Finance for Household Sanitation				

Table 4.2 Likelihood for the WASH Interventions to be Replicated

Interventions	Measures of Likelihood to be Replicated			Please explain your answer
	Not Likely -1	Likely -2	Most Likely -3	
Project Planning				
Facilitating access to national and local government funding				
Facilitating access to market-based financing from Government and Private Financing Institutions				
Facilitating Public-Private Partnerships				
Piloting the Output-based aid and Blended Finance for Household Sanitation				

IV.2. What elements are or need to be in place to ensure sustainability? (Table 4.3)

Table 4.3 Elements of sustainability (Ask respondent about what they consider the elements and check if in the list, add if not in this list)

Element	Likelihood to be in place			Please explain your answer
	Less likely - 1	Likely -2	Very likely- 3	
Commitment of local government and non-government leaders.				
Compliant to the regulations of applicable National Gov't Agencies (NWRB,LWUA,DILG)				
Stakeholder participation in project planning and implementation				
Counterpart funding support				
WSP management				
NRW Management				
Asset Management				
System O&M Management				

IV.2.1Are the following mechanisms for sustainable water supply system and sanitation facilities available?

Table 4.4 Mechanisms for sustainable water supply and sanitation facilities

Mechanisms	Yes	No	Pls explain your answer
Availability of water security plan			
Budget appropriation			
Trained personnel to implement and evaluate the plan			
Legal or financial mechanisms, agreements or strategies that are being put in place to sustain the identified/potential interventions in the service area even after the project			

IV.2.2 In what ways did the implementing partner/SW engage the different stakeholders (both males and females) in the planning process, implementation, and monitoring?

Table 4.5 Gender Roles in the project engagement processes

Approach	Engagement Process	Percent of Female participation
Planning		
Implementation		
Monitoring		

IV.2.3.1 What is the likelihood that the major reform initiatives by the SW be adopted by the stakeholders?

Table 4.6 Reform Initiatives

Reform Initiative	Adoption Likelihood			Please explain your answer
	Not likely-1	Likely-2	Most Likely-3	
Planning				
Implementing/Financing				
Sustaining				

Probing question: So far, what is the most significant change after the SW intervention?

Situation before	Significant Change after SW intervention

-END OF INTERVIEW-

Annex IV.2. KEY INFORMANT INTERVIEW (KII) QUESTIONNAIRE FOR WATER RESOURCE AND MANAGEMENT (WRM)

Purpose of the KII:

General: To generate evidence to assess the extent to which Safe Water (SW) is achieving the outcomes for an improved sustainable management of water resources (IR2).

Specific: To determine the relevance, effectiveness, and sustainability of the SW interventions towards a sustainable management of water resources in water distressed communities.

Respondents:

National: DENR-RBCO, NWRB

Local: Region 4B DENR Office, PENRO Palawan, CENRO Puerto Princesa City, PENRO Negros Occidental, CENRO Bago City, PENRO Sarangani, CENRO General Santos City

Private Institutions:
Palawan: Ecumenical Church Loan Fund (ECLOF), Sunlight Foods Corporation (SFC), Development of Educational and Ecological Alternatives, Inc. (IDEAS)
Negros Occidental: Negros MUAD, Coca Cola Foundations Inc., Sunlight Foods Corporation (SFC)
Sarangani: Seaoil Foundation Inc. (SFI)

Total: 16 agencies

Name of Facilitator: _____ Date: _____

Name of Documentor: _____

Name of Agency/local government Unit: _____

Address: _____

Name of Respondent: _____ Gender of Respondent: [ ] M [ ] F

Position of Respondent: _____

Type of Engagement with Safe Water: _____

I. INTRODUCTORY QUESTIONS:

I.1 Name the interventions that you received from the Safe Water Project:

Interventions	Year

II. RELEVANCE

II.1 To what extent have Safe Water introduced interventions responded to the needs of local stakeholders to improve the sustainable management of water resources? 1-least responsive; 2-responsive, 3- most responsive.

Table 2.1. Level of responsiveness of SW interventions

Approach	Rating (1-least responsive; 2-responsive, 3-most responsive)	Please Explain Your Answer
Private sector partnership and engagement		
Establishment/scaling of PES		
Support to upland communities on sustainable livelihood		

Approach	Rating (1-least responsive; 2-responsive, 3-most responsive)	Please Explain Your Answer
Develop integrated watershed management plans or in some cases, local watershed conservation and restoration plans		
Help LGUs establish or reactivate watershed management councils		

II.2 Are these approaches meeting the need (in the right direction, deficient, not what is needed, sufficient) of improved sustainable management of water resources in water-stressed communities?

Table 2.2. Levels of meeting the need

Approach	Level of Meeting the Need				Reasons
	Sufficient	Right Direction	Deficient	Not Needed	
Planning					
Maintaining/ Financing					
Sustaining Water Resource					

II.2.1 What are the critical elements to improve the sustainable management of water resources? (Perception of the respondent)

Elements	Relevance / Explanation

II.2.2 Do the identified/proposed interventions in the watershed lead to sustainable water management? (Table 2.3)

Table 2.3. SW interventions relevant to sustainable management of water resources

Intervention	Yes	No	Remarks
Private sector partnership and engagement			
Establishment/scaling of Paying for Environmental Services (PES)			
Support to upland communities on sustainable livelihood			
Development of integrated watershed management plans or in some cases, local watershed conservation and restoration plans			
Help LGUs establish or reactivate watershed management councils			

II.2.3 What other strategies and opportunities can the SW employ to improve the intervention? (Table 2.4)

Table 2.4. Strategies and opportunities of SW interventions for improved sustainable management of water resources

Intervention	Strategies (plan of action)	Opportunities (circumstance that makes it possible to do something)
Private sector partnership and engagement		
Establishment/scaling of Paying for Environmental Services (PES)		
Support to upland communities on sustainable livelihood		
Development of integrated watershed management plans or in some cases, local watershed conservation and restoration plans		
Help LGUs establish or reactivate watershed management councils		
Others		

II.2.5 What are the challenges encountered by implementers towards attaining improved sustainable management of water resources? How were these challenges addressed and/or improved by SW? (Table 2.5)

Table 2.5. Challenges and ways for improvement

Approach	Challenges (difficult task)	Addressing/Improving on Challenges
Private sector partnership and engagement		
Establishment/scaling of Paying for Environmental Services (PES)		
Support to upland communities on sustainable livelihood		
Development of integrated watershed management plans or in some cases, local watershed conservation and restoration plans		
Help LGUs establish or reactivate watershed management councils		
Others		

II.2.6 Are potential impacts of climate change considered in the different key approaches of the program? [ ] Yes [ ] No

II.2.6.1 If yes, in what ways?

_____

_____

II.2.6.2 If no, what are the constraints?

_____

_____

III. EFFECTIVENESS

III.1 To what extent was the objective on improved sustainable management of water resources achieved or likely to be achieved through Safe Water's 3 key approaches?

Table 3.1. Extent of objective is likely to be achieved

Objective	Approach	Extent of Achievement		
		Less-1	Achieved -2	More-3
Water Resources Management	Planning			
	Implementing/Financing			
	Sustaining			

III.1.1 What interventions has the SW introduced that have been effective to achieve or likely achieve the improved sustainable management of water resources? Please qualify your answer.

Table 3.2. Effectiveness of SW interventions/ approaches to likely achieve project objectives

Intervention	Effectiveness of interventions that will likely achieve project objectives			Please qualify your answer
	Less effective -1	Effective -2	More effective-3	
Objective - Improved sustainable management of water resources				
Private sector partnership and engagement				
Establishment/scaling of PES				
Support to upland communities on sustainable livelihood				

Intervention	Effectiveness of interventions that will likely achieve project objectives			Please qualify your answer
	Less effective -1	Effective -2	More effective-3	
Develop integrated watershed management plans or in some cases, local watershed conservation and restoration plans				
Help LGUs establish or reactivate watershed management councils				

III.1.2 What training topics were provided to come up with a science-based water security/watershed management plan?

_____

_____

III.1.2.1 Was knowledge gained from the training useful in planning and implementation?

[ ] Yes [ ] No

III.1.2.2 In what ways?

_____

_____

III.1.2.3 How are the different stakeholders determined/identified in each project intervention (for IP)?

_____

_____

III.1.3 What do you see is the role of the Watershed Management Councils and their technical working groups (TWGs) in managing the watershed?

_____

_____

III.1.3.1 Can this structure effectively manage the watershed? [ ] Yes [ ] No

III.1.3.2 In what specific ways?

_____

_____

III.1.3.3 What are your suggestions to further improve the effectiveness of the WMC?

_____

_____

III.2 What are/were the major factors, such as the COVID-19 pandemic, that are influencing the achievement and non-achievement of the improved sustainable management of water resources?

_____

_____

III. SUSTAINABILITY

IV.1 What is the likelihood that the mechanisms and initiatives of SW can be sustained (and possibly replicated) after the completion of USAID's support?

Table 3.1. Likelihood for the WRM interventions to be sustained or replicated

Mechanisms/Initiatives	Measures of Likelihood Sustained			Measures of Likelihood Replicated		
	Not Likely -1	Likely-2	Most Likely-3	Not likely-1	Likely-2	Most likely-3
Private sector partnership and engagement						
Establishment/scaling of PES						
Support to upland communities on sustainable livelihood						
Develop integrated watershed management plans or in some cases, local watershed conservation and restoration plans						
Help LGUs establish or reactivate watershed management councils						

IV.2. What elements are or need to be in place to ensure sustainability?

Table 3.2. Elements of sustainability

Element	Likelihood to be in place			Pls explain your answer
	Less likely	Likely	Very likely	
Commitment of local government and nongovernment leaders.				
Alignment with national or local policy priorities and regulatory frameworks				
Stakeholder participation in project planning and implementation				
Conduct of constant/regular meetings with stakeholders especially with POs				
Counterpart funding support				
Implementing partner management				
Others (please specify)				

IV.3 Are the following mechanisms for improved sustainable management of water resources available?

Table 3.3. Mechanisms for improved sustainable management of water resources

Mechanisms	Yes	No	Please explain your answer
Availability of water security /watershed management plan			
Budget appropriation			
Trained personnel to implement and evaluate the plan			
Legal or financial mechanisms, agreements or strategies that are being put in place to sustain the identified/potential interventions in the watershed even after the project			
Others (please specify)			

IV.4 In what ways did the implementing partner engage the different stakeholders in the planning process, implementation, and monitoring? (Table 3.4)

Table 3.4. Gender roles in the project engagement process

Approach	Engagement Process	Percent of Female Participation
Planning		
Implementation		
Monitoring		

IV.5. What is the likelihood that the major reform initiatives by the SW be adopted by the stakeholders?

Table 3.5. Likelihood of adoption for reform initiatives

Reform Initiative	Adoption Likelihood		
	Not likely-1	Likely-2	Most Likely-3
Planning			
Maintaining/Financing			

Reform Initiative	Adoption Likelihood		
	Not likely-1	Likely-2	Most Likely-3
Sustaining			

So far, what is the most significant change after the SW intervention?

Situation before	Significant Change after SW intervention

END OF INTERVIEW

Annex IV.3. KEY INFORMANT INTERVIEW (KII) QUESTIONNAIRE FOR WATER SECTOR GOVERNANCE (WSG)

Purpose of the KII:

General: To generate evidence to assess the extent to which Safe Water (SW) is achieving the outcomes for a strengthened water sector governance (IR3).

Specific: To determine the relevance, effectiveness, and sustainability of the SW interventions towards improving governance of water security in water distressed communities.

Respondents:

National: NEDA, NWRB, DILG, LWUA, DENR-RBCO

Local: Palawan PLGU, Puerto Princesa CLGU, Negros Occidental PLGU, Bago City CLGU, Sarangani PLGU, Alabel MLGU, General Santos CLGU for a total of 12 agencies.

Name of Facilitator: _____ Date of Interview: _____

Name of Documentor: _____

Name of Agency: _____

Address: _____

Name of Respondent: _____Gender of Respondent: ___ (M) ___ (F)

Position of Respondent: _____

Type of Engagement with Safe Water: _____

(Mandate of Agency- from secondary data source)

I. Introductory Questions:

I.1 Name the interventions/engagements that you received from the Safe Water Project:

Interventions	Year

II. RELEVANCE

II.1 To what extent have Safe Water introduced interventions responded to the needs of local stakeholders to improve water governance in water stressed communities? (Table 2.1)

Table 2.1. Level of Responsiveness of SW Interventions

Approach	Rating: 1-least responsive; 2-responsive, 3-most responsive.	Please explain your answer
Water security planning: -Science/evidence-based planning		
-LGU institutional strengthening with the creation of Water Security Council and TWG		
-Programming for water supply and sanitation (WSS) and water resource management (WRM)		
-Localization of PWSSMP national targets		

II.2 Do these approaches address the water governance challenges in water distressed communities?
___ Yes ___ No

Please explain your answer.

_____

_____

II.2.1 Are the key approaches as above in the right direction (sufficient, deficient, not what is needed) in meeting the need for strengthening water security governance? (Table 2.2)

Table 2.2 Levels of meeting the need

Approach	Level of meeting the need				Please explain your answer
	Sufficient	Right Direction	Deficient	Not needed	
Water security planning: -Science/evidence-based planning Water Security Plans/Watershed management Plan					
-LGU institutional strengthening with the creation of Water Security Council and TWG/Watershed Management councils					
-Programming for water supply and sanitation (WSS) and water resource management (WRM)					

Approach	Level of meeting the need				Please explain your answer
	Sufficient	Right Direction	Deficient	Not needed	
-Localization of PWSSMP national targets					

II.2.2.3 What other strategies and opportunities can the SW employ to improve the interventions for an improved water security governance? (Table 2.3)

table 2.3. Strategies and Opportunities for relevant SW interventions for improved water security governance

Approach	Strategies (plan of action)	Opportunities (circumstance that makes it possible to do something)
-Science/evidence-based planning		
-LGU institutional strengthening with the creation of Water Security Council and TWG/Watershed Management Plan		
Programming for water supply and sanitation and water resource management		
-Localization of PWSSMP national targets		

Approach	Strategies (plan of action)	Opportunities (circumstance that makes it possible to do something)
Others:		

II.2.3 What are the challenges encountered by implementers doing the interventions towards attaining the improved water security governance and how were these addressed and or improved? (See Table 2.4)

Table 2.4 Challenges and Ways to address these

Approach	Challenges (difficult task)	Addressing/Improving on Challenges
-Science/evidence-based planning		
-LGU institutional strengthening with the creation of Water Security Council and TWG		
Programming for water supply and sanitation and water resource management		
-Localization of PWSSMP national targets		
Others:		

Approach	Challenges (difficult task)	Addressing/Improving on Challenges

II.2.4 Are potential impacts of climate change considered in the different key approaches for strengthened water governance? _____(Yes) _____ (No)

II.2.4.1 If yes, in what ways?

_____

II.2.4.2 If not, what are the constraints?

_____

II.2.5 What is/are the critical element(s) to improve water governance in water distressed communities? (Cite 3 most important elements)

II.2.4.3 To what extent has the SW intervention in the creation/improvement of the plans (water security /watershed management) useful? _____ (possible answers are- cumbersome, redundant, facilitating efficiency)

II.2.4.4 What will drive the LGUs to work with the water service providers/WD in the investments on water delivery infrastructure and other water and sanitation related decisions?

II.2.4.5 What will drive the LGUs to work with the environment offices and watershed offices in the implementation of watershed management plan, and watershed related decisions?

II.2.4.6 To what extent has SW interventions on financing influenced investment decisions of the LGUS?

III. EFFECTIVENESS

III.1 To what extent was the objective on strengthened water governance achieved or likely to be achieved through Safe Water's 3 key approaches?

III.1.1 What interventions has the SW introduced that have been effective to achieve or likely achieve the strengthened water security governance? Please qualify your answer.

Table 3.1 Effectiveness of SW interventions/approaches to likely achieve strengthened water sector governance.

Intervention	Effectiveness of interventions likely achieve project objectives Rating: Less Effective-1, Effective- 2, more effective-3	Please qualify your answer
Science/evidence-based planning		
LGU institutional strengthening with the creation of Water Security Council and TWG/watershed management councils		
Programming for water supply and sanitation (WSS) and water resource management (WRM)		
Localization of PWSSMP national targets		

III.1.2 What training topics were provided to come up with a science-based water security plan?

_____

_____

III.1.2.1Was knowledge gained from the training useful in planning and implementation?__ (Y) __ (N)

III.1.2.2 In what ways?

_____

III.2 2. What are/were the major factors, such as the COVID-19 pandemic, that are influencing the achievement and non-achievement of the strengthening water sector governance?

III. SUSTAINABILITY

IV.1 What is the likelihood that the mechanisms and initiatives of SW can be adopted, sustained (and possibly replicated) after the completion of USAID's support?

Table 4.1 Likelihood for interventions for a strengthened water security governance to be adopted, sustained/ replicated (not likely-1, likely-2, most likely 3)

Interventions	Likelihood to be adopted	Likelihood to be Sustained	Likelihood to be replicated
Science/evidence-based planning			
LGU institutional strengthening with the creation of Water Security Council and TWG/watershed management council			
Programming for water supply and sanitation (WSS) and water resource management (WRM)			
Localization of PWSSMP national targets			

IV.2. What elements are or need to be in place to ensure sustainability? (Ask respondent, then check in Table 4.2 if in the list, add if not in the list)

Table 4.2 Elements of sustainability

Element	Likelihood to be in place			Pls explain your answer
	Less likely - 1	Likely-2	Very likely-3	
Commitment of local government and nongovernment leaders.				

Element	Likelihood to be in place			Pls explain your answer
	Less likely - 1	Likely-2	Very likely-3	
Alignment with national or local policy priorities and regulatory frameworks				
Stakeholder participation in project planning and implementation				
Counterpart funding support				
Implementing partner management				

IV.3 Are the following mechanisms for sustainable water security governance available?

Table 4.3 Mechanisms for sustainable water sector governance

Mechanisms	Yes	No
Availability of water security plan		
Budget appropriation		
Trained personnel to implement and evaluate the plan		
Legal or financial mechanisms, agreements or strategies that are being put in place to sustain the identified/potential interventions in the watershed even after the project		

IV.4 In what ways did the implementing partner engage the different stakeholders (both males and females) in the planning process, implementation, and monitoring? (Table 4.4)

Table 4.4 Gender Roles in the project engagement processes

Approach	Engagement Process	Percent of Female participation
Planning		
Implementation		

Approach	Engagement Process	Percent of Female participation
Monitoring		

IV.5 Would the LGUs be willing to continue using the monitoring, collection, analyzing tools in informing the water security Plans/watershed management plans? Yes____ No _____

What are the necessary tools for the SW introduced plans to be sustained.

_____

So far, what is the most significant change after the SW intervention?

Situation before	Significant Change after SW intervention

END OF INTERVIEW

Annex IV.4. WATER RESOURCE AND MANAGEMENT FOCUS GROUP DISCUSSION'S QUESTIONNAIRE

Purpose of the FGD:

General: To generate evidence to assess the extent to which Safe Water (SW) is achieving the outcomes for an improved sustainable management of water resources (IR2).

Specific: To determine the relevance, effectiveness, and sustainability of the SW interventions towards a sustainable management of water resources in water distressed communities.

Respondents:

Local: People's Organizations (POs)
Palawan: Candis 3 Marketing Cooperative, Sambayaang Tagbanua kat Simpucan Inc. (STBSI), Samahan ng Nagkakaisang Tagbanua sa Labtay (SANTALAB), Samahan ng mga Katutubo sa Napsan at Bagombayan (SAMAKANABA)
Negros Occidental: Friend of the Highlands Agrarian Reform Cooperative, United Ilijan Agricultural Workers for Sustainable Development, Magazine 2 General Savings and Investment Association, Bago Proper 1 General Savings and Investment Association
Sarangani: Malalag Cogon Agrarian Reform Beneficiaries Association, Kasalngad Upland Farmers Association, Inag Coffee Farmers Association, Nagkahiusang Mag-uuma ug Katawhan sa Tamban, Datal Anggas Small and Independent Multipurpose Cooperative, Tagakaolo Indigenous for Sustainable Development Association, Kasilak Foundation Inc., Sarangani Coffee Industry and Development Council

Total: 16 POs

Name of respondents and other related information

Full Name	PO Name	Address	Position	Gender

I. INTRODUCTORY QUESTIONS:

I.1 Name the interventions that you received from the Safe Water Project:

Respondent/PO	Interventions Received

Respondent/PO	Interventions Received

II. RELEVANCE

II.1 To what extent have Safe Water introduced interventions responded to the needs of local stakeholders to improve the sustainable management of water resources? 1-least responsive; 2-responsive, 3- most responsive.

Table 2.1. Level of responsiveness of SW interventions

Approach/Intervention	Rating (1-least responsive; 2-responsive, 3-most responsive)	Please Explain Your Answer
Private sector partnership and engagement		
Establishment/scaling of PES		
Support to upland communities on sustainable livelihood		
Develop integrated watershed management plans or in some cases, local watershed conservation and restoration plans		
Help LGUs establish or reactivate watershed management councils		

II.2 Are these approaches sufficient to address the improved sustainable management of water resources in water-stressed communities? [ ] Yes [ ] No

II.2.1 Are the key approaches in the right direction, deficient, not what is needed, sufficient, in meeting the need?

Table 2.2. Level of meeting the need

Approach/Intervention	Level of Meeting the Need			
	Sufficient	Right Direction	Deficient	Not Needed
Private sector partnership and engagement				
Establishment/scaling of PES				
Support to upland communities on sustainable livelihood				
Develop integrated watershed management plans or in some cases, local watershed conservation and restoration plans				
Help LGUs establish or reactivate watershed management councils				

II.2.2 Do the identified/proposed interventions in the watershed lead to sustainable water management?

Table 2.4. SW interventions relevant to sustainable water management

Approach/Intervention	Yes	No	Remarks
Private sector partnership and engagement			
Establishment/scaling of Paying for Environmental Services (PES)			
Support to upland communities on sustainable livelihood			
Development of integrated watershed management plans or in some cases, local watershed conservation and restoration plans			
Help LGUs establish or reactivate watershed management councils			

II.2.3 What are the challenges encountered by implementers towards attaining improved sustainable management of water resources and how are the challenges addressed and/or improved by SW?

Table 2.5. Challenges and ways for improvement

Approach/Intervention	Challenges	Addressing/Improving on Challenges
Private sector partnership and engagement		
Establishment/scaling of Paying for Environmental Services (PES)		
Support to upland communities on sustainable livelihood		
Development of integrated watershed management plans or in some cases, local watershed conservation and restoration plans		
Help LGUs establish or reactivate watershed management councils		

II.2.4 Are potential impacts of climate change considered in the different key approaches of the program? ____ [Yes] ____ [No]

Table 2.6. Consideration on the potential impacts of climate change

Yes or No	If Yes, in what ways?	If No, what are the constraints?

III. EFFECTIVENESS

III.1 To what extent was the objective on improved sustainable management of water resources achieved or likely to be achieved through Safe Water's 3 key approaches?

Table 3.1. Extent of objective is likely to be achieved

Objective	Approach/Intervention	Extent of Achievement		
		Less-1	Achieved -2	More-3
Water Resources Management	Private sector partnership and engagement			
	Establishment/scaling of Paying for Environmental Services (PES)			
	Support to upland communities on sustainable livelihood			
	Development of integrated watershed management plans or in some cases, local watershed conservation and restoration plans			
	Help LGUs establish or reactivate watershed management councils			

III.1.1 What interventions has the SW introduced that have been effective to achieve or likely achieve the project objectives? Please qualify your answer.

Table 3.2. Effectiveness of SW interventions/ approaches to likely achieve project objectives

Approach/Intervention	Effectiveness of interventions that will likely achieve project objectives			Please qualify your answer
	Less effective -1	Effective - 2	More effective-3	
Objective - Improved sustainable management of water resources				
Private sector partnership and engagement				
Establishment/scaling of PES				

Approach/Intervention	Effectiveness of interventions that will likely achieve project objectives			Please qualify your answer
	Less effective -1	Effective - 2	More effective- 3	
Support to upland communities on sustainable livelihood				
Develop integrated watershed management plans or in some cases, local watershed conservation and restoration plans				
Help LGUs establish or reactivate watershed management councils				

III.1.2 What training topics were provided to your organization?

Table 3.3. Training topics provided

Trainings Provided	Knowledge/Skills Gained	Usefulness (Please Specify)

III.2 What are/were the major factors, such as the COVID-19 pandemic, that are influencing the achievement and non-achievement of the improved sustainable management of water resources?

Table 3.4 Factors influencing the achievement and non-achievement

Factors

IV. SUSTAINABILITY

IV.1 What is the likelihood that the mechanisms and initiatives of SW can be sustained (and possibly replicated) after the completion of USAID's support?

Table 4.1. Likelihood for the WRM interventions to be sustained or replicated

Mechanisms/Initiatives	Measures of Likelihood Sustained			Measures of Likelihood Replicated		
	Not Likely-1	Likely-2	Most Likely-3	Not likely-1	Likely-2	Most likely-3
Private sector partnership and engagement						
Establishment/scaling of PES						
Support to upland communities on sustainable livelihood						
Develop integrated watershed management plans or in some cases, local watershed conservation and restoration plans						
Help LGUs establish or reactivate watershed management councils						

IV.2. What elements are or need to be in place to ensure sustainability?

Table 4.2. Elements of sustainability

Element	Likelihood to be in place			Pls explain your answer
	Less likely	Likely	Very likely	
Commitment of local government and nongovernment leaders.				
Alignment with national or local policy priorities and regulatory frameworks				
Stakeholder participation in project planning and implementation				
Conduct of constant/regular meetings with stakeholders especially with POs				
Counterpart funding support				

Element	Likelihood to be in place			Pls explain your answer
	Less likely	Likely	Very likely	
Implementing partner management				
Others (please specify)				

IV.3 Are the following mechanisms for improved sustainable management of water resources available?

Table 4.3. Mechanisms for improved sustainable management of water resources

Mechanisms	Yes	No	Please explain your answer
Availability of water security plan			
Budget appropriation			
Trained personnel to implement and evaluate the plan			
Legal or financial mechanisms, agreements or strategies that are being put in place to sustain the identified/potential interventions in the watershed even after the project			
Others (please specify)			

IV.4 In what ways did the implementing partner engage the different stakeholders in the planning process, implementation, and monitoring?

Table 4.4. Gender roles in the project engagement process

Approach	Engagement Process	Percent of Female Participation
Planning		
Implementation		
Monitoring		

IV.5. What is the likelihood that the major reform initiatives by the SW be adopted by the stakeholders?

Table 4.5. Likelihood of adoption for reform initiatives

Reform Initiative	Adoption Likelihood		
	Not likely-1	Likely-2	Most Likely-3
Planning			
Maintaining/Financing			
Sustaining			

So far, what is the most significant change after the SW intervention?

Table 4.6. Likelihood of adoption for reform initiatives

Situation before	Significant Change after SW intervention

END OF FGD

Annex IV.5. WATER RESOURCE AND MANAGEMENT PRIVATE SECTOR QUESTIONNAIRE

Purpose of the KII:

General: To generate evidence to assess the extent to which Safe Water (SW) is achieving the outcomes for an improved sustainable management of water resources (IR2).

Specific: To determine the relevance, effectiveness, and sustainability of the SW interventions towards a sustainable management of water resources in water distressed communities.

Respondents:

Private Institutions:
Palawan: Ecumenical Church Loan Fund (ECLOF), Sunlight Foods Corporation (SFC), Development of Educational and Ecological Alternatives, Inc. (IDEAS)
Negros Occidental: Negros MUAD, Coca Cola Foundations Inc., Sunlight Foods Corporation (SFC)
Sarangani: Seaoil Foundation Inc. (SFI)

Total: 7 agencies

Name of Facilitator: _____ Date: _____

Name of Documentor: _____

Name of Private Institution: _____

Address: _____

Name of Respondent: _____Gender of Respondent: [ ] M [ ] F

Position of Respondent: _____

Type of Engagement with Safe Water: _____

I. INTRODUCTORY QUESTIONS:

I.1 Name the interventions that you received from the Safe Water Project:

Interventions	Year

II. RELEVANCE

II.1 How is the partnership formed between your institution and Safe Water? Are there any legal instruments or process that need to go through to realize the partnership?

II.1.1 What services do you provide to Safe Water? How are these relevant to the key approaches of Safe Water?

II.1.2 In the same way, how relevant are the key approaches of Safe Water to the objectives of your institution/organization? In what ways do they align or contrast with your objectives?

II.1.3 Who or what institutions/organizations are the major beneficiaries from this partnership?

II.2 To what extent have the partnership responded to the needs of local stakeholders to improve the sustainable management of water resources? 1-least responsive; 2- responsive, 3- most responsive.

Table 2.1. Level of responsiveness of SW interventions

Approach/Intervention	Rating (1-least responsive; 2-responsive, 3-most responsive)	Please Explain Your Answer

II.3 Are these approaches meeting the need (in the right direction, deficient, not what is needed, sufficient) of improved sustainable management of water resources in water-stressed communities?

Table 2.2. Levels of meeting the need

Approach/ Intervention	Level of Meeting the Need				Reasons
	Sufficient	Right Direction	Deficient	Not Needed	

II.3.1 What are the critical elements to improve the sustainable management of water resources? (Perception of the respondent)

Elements	Relevance / Explanation

II.3.2 Do the identified/proposed interventions in the area/watershed lead to sustainable water resources management? (Table 2.3)

Table 2.3. SW interventions relevant to sustainable management of water resources

Intervention	Yes	No	Remarks
Private sector partnership and engagement			
Establishment/scaling of Paying for Environmental Services (PES)			
Support to upland communities on sustainable livelihood			

Intervention	Yes	No	Remarks
Development of integrated watershed management plans or in some cases, local watershed conservation and restoration plans			
Help LGUs establish or reactivate watershed management councils			

II.3.3 What other strategies and opportunities can the SW employ to improve the interventions? (Table 2.4)

Table 2.4. Strategies and opportunities of SW interventions for improved sustainable management of water resources

Intervention	Strategies (plan of action)	Opportunities (circumstance that makes it possible to do something)
Private sector partnership and engagement		
Establishment/scaling of Paying for Environmental Services (PES)		
Support to upland communities on sustainable livelihood		
Development of integrated watershed management plans or in some cases, local watershed conservation and restoration plans		
Help LGUs establish or reactivate watershed management councils		
Others (please specify)		

II.3.4 What are the challenges encountered by implementers/your institution towards attaining improved sustainable management of water resources? How were these challenges addressed and/or improved by SW? (Table 2.5)

Table 2.5. Challenges and ways for improvement

Approach	Challenges (difficult task)	Addressing/Improving on Challenges
Private sector partnership and engagement		
Establishment/scaling of Paying for Environmental Services (PES)		
Support to upland communities on sustainable livelihood		
Development of integrated watershed management plans or in some cases, local watershed conservation and restoration plans		
Help LGUs establish or reactivate watershed management councils		
Others (please specify)		

II.3.5 Are potential impacts of climate change considered in the different key approaches or interventions you provide to the program? [ ] Yes [ ] No

II.3.5.1 If yes, in what ways?

II.3.5.2 If no, what are the constraints?

III. EFFECTIVENESS

III.1 To what extent was the objective on improved sustainable management of water resources achieved or likely to be achieved through Safe Water's 3 key approaches?

Table 3.1. Extent of objective is likely to be achieved

Objective	Approach	Extent of Achievement		
		Less-1	Achieved -2	More-3
Water Resources Management	Planning			
	Implementing/Financing			
	Sustaining			

III.1.1 What interventions has the SW introduced that have been effective to achieve or likely achieve the improved sustainable management of water resources? Please qualify your answer.

Table 3.2. Effectiveness of SW interventions/approaches to likely achieve project objectives

Intervention	Effectiveness of interventions that will likely achieve project objectives			Please qualify your answer
	Less effective -1	Effective - 2	More effective- 3	
Objective - Improved sustainable management of water resources				
Private sector partnership and engagement				
Establishment/scaling of PES				
Support to upland communities on sustainable livelihood				
Develop integrated watershed management plans or in some cases, local watershed conservation and restoration plans				
Help LGUs establish or reactivate watershed management councils				

III.1.2 What training topics were provided to the stakeholders?

III.1.2.1 Was knowledge gained from the training useful in planning and implementation?
[ ] Yes [ ] No

III.1.2.2 In what ways?

III.1.2.3 How are the different stakeholders determined/identified in each project intervention (for IP)?

III.1.3 What do you see is the role of private partners or institutions in managing the watershed/water resources?

III.1.4 What are your suggestions to further improve the effectiveness of private partnerships and engagement with SW?

III.1.5 What other assistance or activities are provided to your organization by SW after securing your commitment being a private partner with SW?

III.2 What are/were the major factors, such as the COVID-19 pandemic, that are influencing the achievement and non-achievement of the improved sustainable management of water resources?

IV. SUSTAINABILITY

IV.1 What is the likelihood that the mechanisms and initiatives of SW can be sustained (and possibly replicated) after the completion of USAID's support?

Table 4.1. Likelihood for the WRM interventions to be sustained or replicated

Mechanisms/Initiatives	Measures of Likelihood Sustained			Measures of Likelihood Replicated		
	Not Likely-1	Likely-2	Most Likely-3	Not likely-1	Likely-2	Most likely-3
Private sector partnership and engagement						
Establishment/scaling of PES						
Support to upland communities on sustainable livelihood						
Develop integrated watershed management plans or in some cases, local watershed conservation and restoration plans						
Help LGUs establish or reactivate watershed management councils						

IV.2. What elements are or need to be in place to ensure sustainability?

Table 4.2. Elements of sustainability

Element	Likelihood to be in place			Pls explain your answer
	Less likely	Likely	Very likely	
Commitment of local government and nongovernment leaders.				
Alignment with national or local policy priorities and regulatory frameworks				
Stakeholder participation in project planning and implementation				
Conduct of constant/regular meetings with stakeholders especially with POs				
Counterpart funding support				
Implementing partner management				
Others (please specify)				

IV.3 Are the following mechanisms for improved sustainable management of water resources available?

Table 4.3. Mechanisms for improved sustainable management of water resources

Mechanisms	Yes	No	Please explain your answer
Availability of water security /watershed management plan			
Budget appropriation			
Trained personnel to implement and evaluate the plan			
Legal or financial mechanisms, agreements or strategies that are being put in place to sustain the identified/potential interventions in the watershed even after the project			
Others (please specify)			

IV.4 In what ways did the implementing partner engage your institution/organization in the planning process, implementation, and monitoring? (Table 3.4)

Table 4.4. Gender roles in the project engagement process

Approach	Engagement Process	Percent of Female Participation
Planning		
Implementation		
Monitoring		

IV.5. So far, what is the most significant change after the SW intervention?

Table 4.5. Significant changes

Situation Before	Significant Change after SW Intervention

END OF INTERVIEW

Annex IV.6. WATER SUPPLY AND SANITATION PRIVATE SECTOR GUIDE QUESTIONS

Questionnaire for MFI

Tell us about your Partnership with the Safe Water Program?

Water Supply

Sanitation OBA-BF

What are the LGUs you have partnered with SW in PALAWAN, SARANGANI, NEGROS OCCIDENTAL? May we kindly ask for the list?

What are the other LGUs where SW is proposing to collaborate with you?

What are the schemes of your assistance? loan rates?

What is the minimum and maximum loanable amount for HH Sanitation?

What is the minimum and maximum loanable amount for a Water System?

What other assistance is Water Org extending to SW programs?

How do you complement the other MFIs, like ASA and NWTF in the SW Programs?

How was the loan repayment of the stakeholders under the SW Programs?

Do you extend grants? What specific scope?

Annex IV.7. CASE STUDY QUESTIONS AND DATA NEEDS FOR WATER SUPPLY AND SANITATION

Data Needs and Key Questions for the Puerto Princesa Case Study

Secondary Data

1. Water Security Plan and/or PWSSP
2. Water Service Provider (WSP) /LGU Development Plan

Data Needs for the Puerto Princesa Case Study:

1. PPCWD Feasibility Studies (Montiblle Bulk Water, Prop. System Expansion)
2. WASH POWs from City Planning
3. Water Safety Plan
4. PPCWD and LGU Project Budget Appropriation Plan

KEY QUESTIONS FOR THE PUERTO PRINCESA CASE STUDY

A. PUERTO PRINCESA CITY WATER DISTRICT (PPCWD)

1. Was the PPCWD Water Safety Plan Formulated? _____

   What are the changes in the operation and maintenance of PPCWD after the Safe Water (SW) Technical Assistance (TA) on Water Safety Plan Preparation?

   _____
   _____
   _____

2. From the SW TA on PPCWD long-term water supply source development in Montible River, what is the proposed additional volume per day to complement the present supply?

   _____

   Does the project help identify the long-term water supply needs of the consumers?

   Does the project sufficiently address the gap for the long-term water supply needs of PPCWD?

   What is the TA/FS Status /Project development stage?

   _____

   What are the financing institutions/schemes facilitated by SW for the development?

   _____
   _____

   Was the approach helpful in linking the right financing source?

   _____

   What is the SW recommended measures for climate resiliency in this proposed source?

   _____
   _____

3. How was the SW assisted PPCWD in the restoration of the water system in the northern and central barangays of Puerto Princesa City?

   _____

   What was the cause of the system damage?

   _____

   What were the SW recommendations for resiliency?

   _____
   _____

   How many connections both domestic and non-domestic were energized after the system restoration.

What are the financing institutions/schemes facilitated by SW and cost for the System restoration?

4. What were the highlights in GAD Planning and Budget Training?

No. of Women/No. of participants who participated:

What are the pipeline projects in the Budget Plan?

What are the financing institutions/schemes facilitated by SW for the development?

5. What specific project development plan was initiated by SW in the improvement of water treatment plant (WTP) and septage treatment plant (STP).

a) WTP

What are the financing institutions/schemes facilitated by SW and Cost for the WTP improvement?

What are the impacts of the proposed improvemen in WTP?

b) STP

What are the financing institutions/schemes facilitated by SW and Cost for the STP improvement?

_____

_____

What are the impacts of the proposed improvement at STP?

_____

_____

c) Was the approach helpful in linking the right financing source?

_____

6. How many HH/populations will benefit in the SW TA for the expansion of water system of PPCWD and what barangays?

_____

_____

What are the financing institutions/schemes facilitated by SW and Cost for the system expansion?

_____

_____

Was the approach helpful in linking the right financing source?

_____

7. What is the significant reduction in the NRW (%) after the SW TA?

_____

How many possible connections of domestic/non-domestic can be tapped from the NRW reduction?

_____

_____

What are the financing institutions/schemes facilitated by SW and Cost for the NRW and DMA development?

_____

_____

8. What are the significant changes in Water Quality and System Pressure after SW TA

Water Quality:

_____

System Pressure

_____

What are the financing institutions/schemes facilitated by SW and Cost for the improvement?

_____

_____

9. Were SW TA on trainings enhanced the PPCWD in sustaining the development facilitated by SW?

_____

10. To what extent has SW interventions on financing influenced PPCWD investment decisions?

_____

_____

B. CITY GOVERNMENT

Year: _____

WS Level	%	No. of HH/or Pop
Level 3		
Level 2		
Level 1		

1. What is the City Water Level Coverage?

2. What is the City Sanitation Facilities Coverage?

Year: _____

Sanitation Facility	%	No. of HH
Sanitary		
Unsanitary		

3. What are the financing institutions facilitated by SW, tapped by the City Government for the implementation of the development plans associated with SW interventions. .

Development	Finance Institution	Amount

Development	Finance Institution	Amount

4. What must be the indication of change after the SW interventions with the LGU administered projects?

_____

_____

5. What will drive the LGUs to work with the water service providers in the investments in infrastructure and other decisions?

_____

6. To what extent has SW interventions on financing influenced investment decisions?

_____

C. PALAWAN WATER

1. What was the specific involvement of Palawan Water in SW intervention in Puerto Princesa City WASH Development

_____

2. What are the LGUs where Palawan Water is working in partnership with SW.

a) Aborlan
b) Busuanga
c) Coron
d) Culion
e) Dumaran
f) EL Nido
g) Linapacan
h) Narra
i) Puerto Princesa
j) Quezon
k) Rizal
l) Roxas
m) Sagay
n) San Vicente
o) Taytay

2. What must be the indication of change after the SW interventions with the PALAWAN WATER administered projects in Puerto Princesa City?

_____

_____

What are the financing institutions/schemes facilitated by SW and Cost for the Water and Sanitation development?

_____

_____

3. To what extent has SW interventions on financing influenced PPCWD investment decisions?

_____

_____

-END OF INTERVIEW-

Annex IV.8. CASE STUDY QUESTIONS AND DATA NEEDS FOR WATER RESOURCE AND MANAGEMENT

DATA NEEDS FOR THE BMRB CASE STUDY

- Shapefiles (base maps, watershed boundaries, river network, location of interventions, DEM, land cover, etc.)
- Integrated Watershed Management Plan (IWMP), Local Watershed Conservation and Rehabilitation Plan (LWCRP)
- Documents prepared for the establishment of Payment for Ecosystem Services (PES)
- Vulnerability and climate risk assessment reports/documents
- Documents/reports related to establishing partnerships with private institutions and people's organizations
- Training manual/modules used for different training workshops and capacity building

KEY QUESTIONS FOR THE BMRB CASE STUDY

Private Sector Partnerships and Engagements

1. Who are the different private partners of SW in BMRB and what kind of role they play in WRM activities?
2. What types of assistantships do they provide in the management of the watershed in the area?
3. What mechanisms are put in place by SW to sustain this partnership?

Establishment/Scaling of PES

1. What are the key considerations of SW in establishing/scaling up of PES? Who are the key players in PES in BMRB?
2. What is the importance of such a mechanism in the management of the river basin?
3. What are the challenges being faced by SW in establishing/scaling up of PES in BMRB? How are these issues being addressed?

Sustainable Livelihoods of Upland Communities

1. Who are the partner POs of SW in the area? How are they identified/selected?
2. What are the different assistantships provided by SW to upland communities? In what forms are these assistantships given to them?
3. How are these interventions sustained?

Integrated Watershed Management Plan

1. Is there an existing IWMP in BMRB? If it is still being formulated or updated, what is its current status?
2. Are the identified projects in the plan being adopted or implemented already? What are these projects?
3. What are the problems and issues in adopting/implementing the plan?

Reactivation of the Watershed Management Council

1. What type of assistance is being extended by SW in the reactivation of the watershed management council in BMRB?
2. What is the present status of the watershed management council in BRMB? Are there any changes or modifications made/suggested in the structure of the council?
3. Are there any recommendations made by SW to further strengthen the WMC functions and ensure its active role in the management of the river basin?
4. *Gender composition of the WMC

To what extent has the SW intervention in the creation/improvement of the plans (water security /watershed management) useful? _____ (possible answers are- cumbersome, redundant, facilitating efficiency)

Annex IV.9. CASE STUDY QUESTIONS AND DATA NEEDS FOR WATER SECTOR GOVERNANCE

DATA NEEDS FOR THE CASE STUDY ON NEGROS OCCIDENTAL PROVINCIAL WATER SECURITY PLAN

SECONDARY DATA

1. Provincial Integrated Water Security Plan-Negros Occidental
2. Water sources of the province and quantity of water supply
3. Population projections, urbanizing communities, and their locations vis a vis the sources of water, area development plans, economic development plans, provincial level

FGD QUESTIONS TO THE MEMBERS OF THE PLANNING COMMITTEE OR KII QUESTIONS TO THE GOVERNOR AND /OR THE PROVINCIAL ADMINISTRATOR

1. Who was the author of the Provincial Integrated Water Security Plan? Whose idea was this?
2. How did the government decide on the design of the plan?
3. What was the motivation of the province to lead water security planning?
4. What are the key elements needed to implement the plan?
5. What elements are needed to realize the plans and programs?
   - 5.1 Are capacities needed in the plan implementation?
   - 5.2 Is financing available to pursue the plan?
     - 5.2.1 Where and what funding mechanisms are in place to be able to pursue the plan?
   - 5.3 Is there enough expertise to do asset management needed to pursue the plan?
   - 5.4 Have water tariffs among the different users been defined? In what ways?
   - 5.5 How will the water resource managers (watersheds, river basins) and the water users (domestic, irrigation, industrial) collaborate/coordinate to ensure water is available when needed, where needed?
   - 5.6 Who will be the entity to monitor the implementation of the water security plan?
   - 5.7 Who will be the regulatory agency for the water quality and quantity assurance?

6. How will the water security plan contribute to resilient water security in the province?

7. How will this plan synergize with the watershed management plans?
   - 7.1. How is the watershed management plan integrated in the water security plan?
   - 7.2 How will the institutional arrangements be like in promoting synergy of plans for the water supply and sanitation and water resources management?
   - 7.3 How is the transition from public to private of the water service providers now taking place, in terms of regulation, water tariffs?
   - 7.4 What was the driver of the PLGU to ask for water permit from NWRB?
     - 7.4.1. How difficult was this process?

ANNEX V.1. PARTICIPANT LIST, BY INSTITUTION

PALAWAN

NAME	OFFICE	GENDER	DATA COLLECTION METHOD
Resp 1	PENRO	M	KII
Resp 2	CENRO	M	FGI
Resp 3	CENRO	F	
Resp 4	PG ENRO	M	KII
Resp 5	PPDO	F	FGI
Resp 6	PEEDO/Palawan Water	F	
Resp 7	PEEDO/Palawan Water	F	
Resp 8	City ENRO	M	FGI
Resp 9	City ENRO	F	
Resp 10	City ENRO	M	
Resp 11	City ENRO	F	
Resp 12	CPDO	F	FGI
Resp 13	CPDO	M	
Resp 14	GAD System Office	F	
Resp 15	City Health Office	M	FGI
Resp 16	City Health Office	F	
Resp 17	SANTALAB	F	FGD
Resp 18	SANTALAB	F	
Resp 19	SANTALAB	M	
Resp 20	SANTALAB	M	
Resp 21	ECLOF	F	FGI
Resp 22	ECLOF	M	
Resp 23	ECLOF	M	

NAME	OFFICE	GENDER	DATA COLLECTION METHOD
Resp 24	PPCWD	F	FGI
Resp 25	PPCWD	M	
Resp 26	PPCWD	M	FGI
Resp 27	PPCWD	M	

SARANGANI

NAME	OFFICE	GENDER	DATA COLLECTION METHOD
Resp 1	Office of the Provincial Engineer Staff	F	FGI
Resp 2	Provincial Planning Development Office, Sarangani Province	M	
Resp 3	Provincial Health Office, Sarangani Province	M	
Resp 4	Provincial Planning Development Office, Sarangani Province	M	FGI
Resp 5	Sanggunian Panlalawigan Office, Sarangani Province	F	
Resp 6	ECPC Sarangani Province	M	
Resp 7	Office of the Mayor, Alabel Sarangani	M	FGI
Resp 8	Municipal Environmental and Natural Resources Office, Alabel Sarangani	M	
Resp 9	Municipal Agriculture Office, Alabel Sarangani	F	
Resp 10	Municipal Economic Enterprise Development Office, Alabel Sarangani	M	
Resp 11	****	F	
Resp 12	*****	F	
Resp 13	MEEDO Alabel Sarangani	M	FGI
Resp 14	Municipal Engineering Office, Alabel Sarangani	F	
Resp 15	Municipal Planning and Development Office, Alabel Sarangani	M	
Resp 16	Municipal Health Office, Alabel Sarangani	M	
Resp 17	DENR-Provincial ENRO Sarangani	F	FGI
Resp 18	DENR CENRO Glan	M	
Resp 19	DENR CENRO Gensan	M	

NAME	OFFICE	GENDER	DATA COLLECTION METHOD
Resp 20	Malalag Cogon Agrarian Reform Beneficiaries Association	M	FGD
Resp 21	Kasalngad Upland Farmers Association	F	
Resp 22	Inag Coffee Farmers Association	F	
Resp 23	Tagakaolo Indigenous for Sustainable Development Association	M	
Resp 24	Sarangani Coffee Industry and Development Council	M	
Resp 25	Nagkahiusang Mag-uuma ug Katawhan sa Tamban	M	
Resp 26	Datal Angas Small Independent Multipurpose Cooperative	M	
Resp 27	Malungon Water District (BMRB Watershed)	M	FGI
Resp 28	Malungon Water District (BMRB Watershed)	F	
Resp 29	Savesgrow Multi-Purpose Cooperative Level III Water System (BMRB Watershed)	M	KII
Resp 30	Kasilak Development Foundation Inc. (CSR DOLE Stanfilco)	F/M	KII
Resp 31	Seaoil Foundation Inc.	F	KII
Resp 32	DENR XII	M	FGI
Resp 33	DENR XII	M	
Resp 34	CLGU CENRO Gensan	M	FGI
Resp 35	CLGU CENRO Gensan	M	
Resp 36	Malungon Sarangani	M	FGI
Resp 37	Malungon Sarangani	M	

NAME	OFFICE	GENDER	DATA COLLECTION METHOD
Resp 38	MENRO	M	FGI
Resp 39	MENRO	M	

Negros Occidental

NAME	OFFICE	GENDER	DATA COLLECTION METHOD
Resp 1	Provincial Administrator's Office	M	KII
Resp 2	Provincial Environment and Natural Resources Office (PENRO)	M	KII
Resp 3	DPWH 1st District Engineering Office (DEO) Negros / Murcia	M	FGI
Resp 4		M	
Resp 5	Provincial Planning and Development Office (PPDO)	F	FGI
Resp 6	Provincial Health Office	F	
Resp 7	Prov Eng.	M	
Resp 8	Provincial Environment Management Office (PEMO)	F	FGI
Resp 9		F	
Resp 10		M	
Resp 11	Negros Women for Tomorrow Foundation	M	KII
Resp 12	City Environment Management Office (CEMO)	M	FGI
Resp 13		M	
Resp 14		M	
Resp 15	LGU Bago City	M	FGI
Resp 16		M	
Resp 17			
Resp 18	PO: Friends of the Highlands Agrarian Reform Cooperative,	M	FGD
Resp 19		F	
Resp 20		F	
Resp 21		F	
Resp 22	PO: United Ilijan Agricultural	F	FGD

NAME	OFFICE	GENDER	DATA COLLECTION METHOD
Resp 23	Workers for Sustainable Development	M	
Resp 24		M	
Resp 25		M	
Resp 26	Bago City Water District (Monitoring)	M	KII
Resp 27	LGU Murcia	F	KII
Resp 28		M	
Resp 29		M	
Resp 30	LGU Murcia	M	FGI
Resp 31		M	
Resp 32	Murcia Water District	M	FGI
Resp 33		M	
Resp 34		M	
Resp 35	PO: Magazine 2 General Savings and Investment Association	F	
Resp 36		F	FGD
Resp 37		M	
Resp 38		F	
Resp 39	PO: Bago Proper 1 General Savings and Investment Association	F	
Resp 40		F	FGD
Resp 41		M	
Resp 42	Bago CENRO	F	FGI
Resp 43	MUAD from Negros	M	KII

National Level and Private Organizations

NAME	OFFICE	GENDER	DATA COLLECTION METHOD
Resp 1	DENR-RBCO	M	KII
Resp 2	NEDA	M	FGI
Resp 3		F	
Resp 4	NEDA	M	KII
Resp 5	Sunlight Foods Corp.	M	FGI
Resp 6		F	
Resp 7	LWUA	F	FGI
Resp 8		F	
Resp 9	Water.org	F	KII
Resp 10	DILG	F	FGI
Resp 11		M	
Resp 12	Coca Cola Foundations Inc.	F	KII
Resp 13	ASA Philippines Foundation	F	KII
Resp 14	NWRB	F	KII

ANNEX V.2. LIST OF SOURCES

1. USAID Safe Water Annual Report Year 1 (December 2019-September 2020)
2. USAID Safe Water Work Plan for Year 2
3. USAID Safe Water Quarterly Report Year 3, First Quarter (October - December 2021)
4. USAID Safe Water Quarterly Report Year 3, Second Quarter (January-March 2022)
5. USAID Safe Water Quarterly Report Year 3, Third Quarter (April - June 2022)
6. Negros Occidental Provincial Integrated Water Security Plan (2023-2030)
7. Resolution No. 2022-02 Resolution approving the Negros Occidental Integrated Water Security Plan (PIWSP) for 2023-2030
8. Sarangani Provincial Integrated Water Security Plan (2023-2030)
9. Resolution No. 2022-01 Resolution endorsing the Provincial Integrated Water Security Plan (PIWSP) 2023-2030
10. Montible Integrated Watershed Management Plan
11. Integrated Watershed Management Plan of Buayan-Malungon River Basin (2023-2048)
12. Bago City Local Conservation Area Plan
13. Bago City Local Watershed Conservation and Rehabilitation Plan
14. EO No. 26 Creation of City Environment Protection Fee Ring-fencing Team (Bago City)
15. Ordinance No. 15-16 Imposing Environmental Protection Fee (Bago City)
16. EO No. 63 Organizing the Bago City Watershed Management Council and the Technical Working Group
17. DAO 2021-41 Guidelines in the Creation of Watershed Management Councils

ANNEX VI. CASE STUDIES

ANNEX VI.1. CASE STUDY ON WATER SUPPLY AND SANITATION

CASE STUDY ON URBAN WASH, PUERTO PRINCESA CITY, PALAWAN

Water and Sanitation background of Puerto Princesa City, Palawan. Puerto Princesa City has 66 barangays, and PPCWD is serving the 50 barangays while the rest are being served by the respective barangay water systems. As reported by the City Health Office (CHO), most of the population have level 3 water system. The levels 1 and 2 systems are mostly in the remote barangays. The CHO also said most households have sanitary toilets, but there is a need to address some households in the 32 barangays who still practice open defecation. The city has Septage Treatment Plant operated through PPP with the City Government.

SW Intervention in Puerto Princesa City, Palawan. Safe Water has started its intervention in Puerto Princesa in Year 2021. The intervention has started looking into the holistic view of the present condition of the existing Water Supply and Sanitation facilities. Assessment was carried out to identify the avenues of development to address the gaps to increased and improved water and sanitation facilities of the city. SW has been coordinating and working with the City Government, and Puerto Princesa City Water District (PPCWD). Foremost interventions were addressed to the PPCWD as the main water supply provider and the highlights are the following; Development of Hydraulic Network Model for the PPCWD Water Supply System; Technical Assistance in the preparation IWMP for Montible , PPCWD 5-year business plan; Water Safety Plan, Water security plan; GAD Agenda workshop; and LAWIN Patrol; Equipping PPCWD personnel through training in the reduction of Non-Revenue Water (NRW); Water Quality and Pressure Management Training, and Hydraulic Analysis; Project assistance in the restoration of the transmission/distribution pipelines recommending concrete encasement of the exposed pipelines; and on-going expansion of the distribution system to the three barangays.

Changes that took place during SW Intervention. The following took place during the interventions: SW Development of Hydraulic Network Model for the PPCWD Water Supply System gave a big impact to the WD in seeing the actual system condition of their system operation. This guided the WD to the improvements needed in the system that resulted to improved system operation and maintenance efficiency; SW NRW training has resulted in the NRW reduction which implies revenue volume to WD; SW technical assistance in the on-going distribution pipeline expansion of PPCWD in the three Barangays of Bacungan, Mangingisda, and Maruyogon will be generating about 2,700 connections. This is funded from the Water District Funds; On the restoration of the damaged water system due to Typhoon Odette, SW recommendation on pipeline encasement has made the system pipelines climate resilient. The restoration was funded by the Water District; Trainings in the basic Hydraulic Analysis, Water Quality, and Pressure Management have resulted to significant change in the system operation and maintenance that results to good water supply distribution system both quantity and quality.

PPCWD and City Health Other Plans. The Water District has plan to serve other barangays through a satellite system. But then, there were disputes with Indigenous People in Brgy. Montible and other barangays. SW pushed to invite the IPs to air their concern and there was settlement. In the case of Brgy Napsan, the PO of Sitio Bubugtong, Purok Pag-asa, doesn't want the Water District to serve their

area as they will be paying high tariff. They want the system to be operated by themselves as BAWASA. According to the PO, they have a good water source "Manudoc falls about 3.5 kms to Purok Pag-asa that will supply by gravity. SW advised Brgy Napsan to form BAWASA before they can facilitate their request on Water System. PPCWD is also expressing their need of a man-made lake and impounding dam to store water during wet season. This will address their water needs during dry flow. City Health office is looking forward to be a zero open defecation (ZOD) city. When SW will introduce the OBA-BF program to Palawan, this will help in some way to attain their goal.

Photos of some PPCWD facilities are shown below.

PPCWD- Montible Rive Intake

PPCWD- Montible Rive Intake Pumping Station

PPCWD- Lapu-lapu River Intake

PPCWD Lapu-Lapu Water Treatment Plant

PPCWD- Lapu lapu Transmission Pipeline restored with concrete pipe encasement after typhoon Odette, SW TA climate resilient structure.

ANNEX VI.2. CASE STUDY ON WATER RESOURCE AND MANAGEMENT

SUSTAINABLE WATER RESOURCE MANAGEMENT: THE CASE OF THE BUAYAN-MALUNGON RIVER BASIN

The Buayan-Malungon River Basin. The Buayan-Malungon River Basin, or BMRB, is one of the 18 major river basins in the country that straddles the southern and central regions of Mindanao, covering the provinces of Sarangani, Davao del Sur, Davao Occidental, South Cotabato, and General Santos City. It has an approximate area of around 140,000+ ha, and its river networks drain into Sarangani Bay. Based on the 2020 land cover map of NAMRIA, only about 7% or just above 10,000 ha of forests are left in BMRB, while around 45% of its total area is already dominated by cropland areas (annual crop = 18% and perennial crop = 27%) (*see Figure 1.*). This leaves the river basin at risk if measures are not put in place, and further degradation is not averted. Despite the remaining forests, it is important to note that from 2015 to 2020, the forests in the river basin have increased by 11% or about 995 ha. In spite of these efforts, the SW hydrologic study in BMRB in 2020 showed that under climate change, reduction in the flow exceedance values would drop between -2% and -11% when compared to the baseline values. These percentages will further decrease in the 2050s when the reduction can reach about -4% to -35%. This means that water in BMRB is expected to decline over time with climate change. This further worsens the already alarming state of the area, thus the need for immediate and concerted actions of all stakeholders of BMRB.

SW Interventions in BMRB. All sectors interviewed or had discussions with agree that the identified interventions are essential in sustainable water resource management. Among them, the planning aspect of the project received the highest ratings in terms of sufficiency. In BRMB, its IWMP and WMC have been approved already, and the LWCRPs of Malungon and Alabel have been drafted too. In addition, General Santos City has completed its Upland Conservation and Management Plan (UCMP). While the PES establishment is still at its early stage in BMRB, General Santos City was able to request funding

through their equitable share from environmental fees, amounting to about P4.5M this 2023, from the Integrated Protected Area Fund (IPAF). However, this is already outside of the SW intervention. In terms of private sector engagement, SW has partnered with the Kasilak Development Foundation Inc. (KDFI) and Seaoil Foundation Inc. (SFI). KDFI is mainly involved in riverbank rehabilitation through the establishment of bamboo dikes and tree planting activities. At the same time, SFI held training on SALT as an improved farming technology for their farmer beneficiaries. Finally, the upland communities in Malungon and Alabel are primarily involved in improved coffee farming, the SALT farming technology implementation, and forest patrolling using the Lawin system. In comparison, General Santos City is more engaged in tree planting activities in upland barangays and forest patrolling.

One of the promising developments in BMRB with the upland communities is coffee farming. PO members were very appreciative of the SW assistance, from the training conducted to the establishment of demonstration farms to their participation in coffee festivals in Malungon, Sarangani, and the Davao City Coffee Summit. They have recognized the difference between the kind of harvest they have been getting recently and their traditional practice. Their yields also command higher profits compared to before. SALT farming technology has been around for decades. Still, SW has introduced some improvements, such as the infiltration canals that intend to lessen soil erosion and surface runoff and increase groundwater recharge. Some PO members also said that while coffee can provide a good income, the harvest may typically occur once a year, depending on their location, climate, and other factors. Hence, SW advocated SALT so farmers can sustain income throughout the year.

Key Elements of Sustainable Water Resource Management. Sustainable water resource management mainly includes the following key elements - integrated approach, collaboration and participation, water conservation and efficiency, watershed management, climate resilience, water reuse and recycling, and good governance.

Overall, the SW interventions capture all these different elements. Most are covered in WRM, while others are integral in the other two key approaches – WSS and WSG. This means that, in general, the SW interventions in WRM can be regarded as relevant and sufficient since their scope includes all the crucial elements of sustainable water resource management. However, each watershed is genuinely unique, and the level of interventions should vary depending on the state and needs of the area. For instance, since agricultural activities continue to expand in BMRB over the years, it is indispensable that SW continues to advocate SALT as a soil and water conservation measure. This practice would help arrest further degradation and avert potential siltation of rivers in BMRB. While providing livelihood opportunities to upland communities is being pursued, restoration or rehabilitation should not be left behind, especially that forests in BMRB are now only found in Mt. Matutum and the eastern boundary of Sarangani and Davao Occidental. SW can help intensify reforestation and afforestation efforts, especially in open and degraded areas. Government should also regulate the expansion of farming activities in the watershed, particularly in high-recharge areas and under forestland classification. As SW continues to promote sustainable farming practices in the area, unwanted encroachment should be restricted and prohibited. Lastly, the project can continually pursue developing strong partnerships among various stakeholders so that each one can contribute to improving and sustaining the water resources in the river basin.

LAND COVER MAP (2020) AND STATISTICS OF THE BUAYAN-MALUNGON RIVER BASIN

Figure 9.2.1. Land cover map of the Buayan-Malungon River Basin in 2020. (Source: NAMRIA)

TABLE 9.2.1. LAND COVER CHANGE ANALYSIS IN BMRB FROM 2010 TO 2020

LAND COVER	AREA (HECTARE)			2010-2015		2015-2020	
	2010	2015	2020	GAIN/LOSS	PERCENT	GAIN/LOSS	PERCENT
Annual Crop	16,160.41	21,914.40	25,122.88	5,753.99	35.61%	3,208.48	14.64%
Brush/Shrubs	57,853.22	31,535.72	31,337.63	-26,317.50	-45.49%	-198.09	-0.63%
Built-up	675.61	1,367.22	2,307.19	691.60	102.37%	939.98	68.75%
Closed Forest	437.46	1,472.42	2,158.57	1,034.96	236.58%	686.15	46.60%
Open Forest	7,560.66	7,705.42	8,014.27	144.77	1.91%	308.85	4.01%
Fishpond	2.06	7.27	2.09	5.21	252.51%	-5.18	-71.28%
Grassland	9,102.26	38,518.34	31,221.12	29,416.08	323.17%	-7,297.22	-18.94%

TABLE 9.2.1. LAND COVER CHANGE ANALYSIS IN BMRB FROM 2010 TO 2020							
LAND COVER	AREA (HECTARE)			2010-2015		2015-2020	
	2010	2015	2020	GAIN/LOSS	PERCENT	GAIN/LOSS	PERCENT
Inland Water	1,293.07	1,788.80	1,599.32	495.72	38.34%	-189.48	-10.59%
Open/Barren	149.84	463.74	535.27	313.90	209.50%	71.53	15.42%
Perennial Crop	46,936.50	35,397.77	37,872.76	-11,538.74	-24.58%	2,474.99	6.99%
GRAND TOTAL	140,171.10	140,171.10	140,171.10				

ANNEX VI.3. CASE STUDY ON WATER SECTOR GOVERNANCE

CASE STUDY: NEGROS OCCIDENTAL PROVINCIAL INTEGRATED WATER SECURITY PLAN

PURPOSE OF THE CASE STUDY

This case study's objective is to understand the drivers pertaining to province leading water security planning and the key elements needed to meet targets in the Negros Occidental Provincial Integrated Water Security Plan.

(*Sources: Main Key informant: KII with Provincial Administrator Negros Occidental; also KII with the Murcia MPDO, KII with Bago City CEMO KII, Negros Occidental Provincial Integrated Water Security Plan, Bago City Local Conservation Area Plan*)

1. NEGROS WATER SITUATION: DRIVERS OF WATER INSECURITY

Based on the perceptions of the Negrenses, water resources province-wide are deteriorating as evidenced by the drying up of rivers and springs, declining yield of wells, and the worsening water quality of these sources. These effects were attributed to inadequate water resource management, that has resulted to huge forest loss, thus vulnerability to impacts of climate change. The irresponsible land use, including quarrying, upstream caused siltation of water sources. High population growth and economic development in the area saw the unregulated use of groundwater. Additionally, there is the absence of functional watershed management bodies, and no management plans to guide the management of the 15 major watersheds within the province.

The absence of a sustainable financing strategy for the water sector such as funding both WRM and WSS activities leads to limitations in enforcing measures that can help avert the water crisis. These include the patrolling and monitoring of forests, reforestation, warding off unauthorized settlements and other prohibited activities. Poor water quality, contaminated sources and saltwater intrusion constrain the population's limited access to safe water supply and sanitation services.

2. RELEVANCE OF THE PROVINCIAL INTEGRATED WATER SECURITY PLAN

Negros Occidental got excited when introduced to the integrated water security plan idea, as the provincial officials really wanted to address climate-change effects such as extreme drought and flooding. The LGU wanted the remaining forest resources to be functional in their ecological services including maintaining high water tables for sustainable water supply by protecting the high recharge areas. The PIWSP was a government initiative assisted by USAID and NGAs through technical assistance. For example, conduct of hydrologic studies from Manila Observatory guided the interventions in Negros

Occ. With the plan, the reforestation activities were more strategically placed in highly recharged areas to have the best impact at the least time possible.

According to the Provincial Administrator of Negros Occidental, the province already touched based with Tambara, Talisay, Imbang Watershed and EB Magalona, Malogo Watershed that will be possible water sources for most of the province. The province applied for Special Agreements for Protected Areas (SAPA) at the DENR to protect the forest within the protected area for sustainable water use for the next 25 years. Currently there are 60 hectares of protected areas in Imbang managed by the LGU and with SAPA, there will be 62 hectares more. SAPA will secure the area and stop intrusion of the old growth forest. This is successful in Tambara, Talisay and the second site will be the EBMagallona. Another on-going project in Mambukal area at the foothills of Mt. Kanlaon is community organizing. Activities consist of hiring the community for reforestation, training them with skills and crafts so that later on, an agroforestry business can be implemented for the community. The province promotes the idea of interdependence, that will be mutually beneficial for the environment and the people. For all SAPA areas, bamboo and timber trees will be planted. The province also plans to grow the bamboo industry as a win- win condition for the uplands and water supply.

3. THE DRIVERS WHY THE PROVINCE IS LEADING THE NEGROS OCCIDENTAL PIWSP

The Negros Occidental Provincial Local Government Unit (PLGU) had been pursuing programs for food and water security. When they were introduced to the Safe Water activity, they realized that the Safe Water Goals are "in sync with the goals of the province" (Provincial Administrator). The SW was guiding, motivating and supporting the PLGU to craft a provincial level water security plan, which the PLGU wants to cascade to the 31 municipalities and cities. Currently, a water security council has been formed although this has not yet been convened. All these activities are led by the office of the governor, through the provincial integrated management team/council and municipal technical working groups. The office of governor had experience in leading a multisectoral program of the national government, the National Greening Program (NGP).

Some drivers pertaining to province leading water security planning include the following:

a) Motivation of the province to achieve both water and food security.

Apart from climate-change, food, and water security as long-term goal/target. Government is supportive.

b) Practice of Participatory Governance by the Governor, engaging the municipal LGUs early on for the easier cascading of the plan

During the preparation of the plan, the municipalities were already involved, data were also taken from the various LGUs in the province with the promise that the plan will cascade to them (Murcia respondent). There was also an effort of convergence with all sectors involved within the PLGU and including the DENR officials in the province. DENR is also part of the council.

PLGU is also inclusive. It has partnered with the DENR in managing the local conservation areas, which are patches of intact forests. It is not typical for an LGU and DENR officials to partner because most of the time, conflicts would arise due to duplication in roles and responsibilities. However, in the case of Negros Occ. PLGU, it was able to strike a contract called Special Use Agreement in Protected Areas (SAPA), mentioned above, with the DENR. It is not usual for an LGU being given the SAPA permit. This permit allows the permittee to use a portion of the Protected Area, in this case to protect the source of water for their bulk water supply.

c) Quality of staff at the Governors' Office

Admin Officer is Lawyer, they are hiring highly technical persons for GIS mapping, that can help them in water mapping, and planning. There are geologists, engineers, and architects in the Provincial Administrator's Office.

Tapping expertise of people on the ground and putting them on the right framework and organizational structure so that efficiency and effectivity can be ensured. Enough manpower on the ground to implement projects, according to the LGU officer. The Action officer for the water security plan is the Provincial Administrator, who will be in charge of monitoring. There are also pilot/ flagship programs that are being monitored.

d) Recognition that placing this in a department will be more inefficient organizationally.

The water security plan will be implemented with the Office of the Governor as lead and the Provincial Administrator as action officer. Any conflict amongst the departments within the LGU will be settled at the Office of the Governor level. The province and the governor have experience in convergence programs because the National Greening Program (NGP), a convergence program by the national government, was also spearheaded by the provincial governor's office.

e) Quality of the leadership

The fact that the province entices donors (i.e., ADB for a bulk water grant) and responses from national government (NWRB positive action for water permits) and strong partnership with the private sector shows the credibility of the leader handling these projects, thus, acceptability of the people in the area. The trust level of the governor is high. So far, innovative projects of the province address the local problems. These include putting up a feed mill for livestock, water laboratory for biosecurity issues, Grab like transportation services. "If he believes in the project, then he gives funds" as he wants these projects to "hit the ground as soon as possible" (Provincial Admin).

4. KEY ELEMENTS NEEDED TO IMPLEMENT THE PLAN

The institutional set up, funding and partnerships are three of the elements needed to implement the plan.

First, the Water Security Council will be reconstituted. It has not met yet but there is already a provincial ordinance, where mayors took part in crafting and were consulted. The Water Security Plan has been formulated by LCEs with their officers. There are water summits – all LGUs participated to generate ideas. There will be one provincial water security council with the governor and the Local chief executives (LCEs) instead of one per watershed / one water security council per municipality. The technical working groups will support the council. There will be one provincial wide council to make a decision that is more encompassing, circumspect, and participative for the interest of everybody. The plan will look into domestic water supply and sanitation. Irrigation is taken care of the NIA, but there are also irrigated areas funded by the province.

Second, the province has set aside for the next two years, 90 million/year as suggested by studies of USAID from the LGU fund. This is piggy bank in the government, not yet being spent because plans are still in the planning stage. LGU can fund most of these activities.

Third is the partnership with the community. This is true with the National Greening Program (NGP). The employees are community members living in the area, hired as job orders (JO). Loyalty was cultivated, as these are not just partners but part of Provincial Government serving as Bantay Bukid or Forest Rangers. They earn about 12,000-13,000 a month paid by the LGU. There are 40 employees in

Tambara, Talisay. The families are also trained through cooperatives, to go into bamboo engineering, building and architectural materials. Later, with the supply of bamboo which is now being planted in the high recharge reforestation areas, people in the area will have sustained means of livelihood. Furthermore, for plan implementation, the province can tap expertise of people on the ground. There is enough manpower, there is need to organize and put people where they can shine the most.

For Payment of Ecological Service (PES), the province is not aware of it yet. Bago City has implemented a PES like approach (see box). Also, only Bago and Ilog – Hilabangan have existing Watershed Management Councils (WMCs) although needing reconstitution and strengthening. The other 12 watersheds straddling at least three LGUs have yet to create and establish WMCs. For the 12 watersheds, the constraint is the absence, lack, and inaccessibility of relevant data.

THE SPECIAL CASE OF BAGO CITY

The City of Bago within the Negros Occidental is a microcosm of a place where integrated water supply and sanitation plan can be implemented. It has trained persons in Bantay Gubat and LAWIN, from the previous USAID project, BWISER. It has funds for conservation taken from the Environmental Protection Fee, paid by water users downstream. Water supply is given to the people by the LGU at very low rates. They have 100% zero open defecation. To discourage from breaking the forests, the upland people were given livelihood programs, including Retirement Tree Farms, and village banking, with the help of the NGOs in the province. They also have an indicator for success in their efforts to re charge the water in the highly charge areas, a knowledge shared with them by the SW. Another partner, the Coca Cola Foundation is monitoring results of these upland interventions. These are some of the elements needed to meet the targets in the Negros Occidental Provincial Integrated Water Security Plan. All these initiatives can be replicated in other towns in the province. These activities are feasible in the area because of good governance, in general. With suggested cross visits in the SW sites, these initiatives can also be replicated in other areas outside the province. "*To see is to believe*" has been the prevailing motto in the other study

5. OBJECTIVES AND TARGETS OF THE NEGROS OCC PIWSP

The main objective of the plan is to address the underlying causes of the problems barring water security. Resolving the root causes of both the WRM and WSS problems ensures resolution of the core issues and the overall impacts to Negros Occidental's water security. Each objective aims to achieve specific targets by 2030. Indicated in Tables 1 and 2 below are the objectives and targets of WRM and WSS programs as they appear in the Negros Occ's PIWSP.

Table 9.3.1. WATER RESOURCE MANAGEMENT OBJECTIVES AND TARGETS

Objectives	2030 Targets
Improved adaptive capacity of communities to climate change impacts	Increased resiliency to climate hazards (e.g., reduced cost of damage to water utilities and crops during floods and droughts, decreased number of households displaced during floods)
Institutionalized sustainable financing scheme	Increased LGU funding for WRM and WSS LGUs mobilized additional funds from various financing institutions and partners in support of WRM
Established functional and coordinated watershed management councils with operational Watershed Management Plans	Established and operationalized LGU TWGs (Technical Working Group) for Water Security. PLGU and concerned LGUs established and strengthened WMCs, adopted and implemented IWMPs (Integrated Watershed Management Plan) or Local Watershed Conservation, Protection and Rehabilitation Plans (LWCPRPs)
Harmonized land use plans	Regulated settlements and/or cultivations in riparian zones and forestlands
Increased engagement /participation, awareness, appreciation of communities on watershed improvement initiatives	Increased forest cover with endemic trees

Table 9.3.1. WATER RESOURCE MANAGEMENT OBJECTIVES AND TARGETS	
Objectives	**2030 Targets**
Increased access to livelihood and social infrastructures	State of watersheds improved (recharge areas protected, water extraction regulated)
Regulated access to forests and forestlands	Sustainable water resources achieved (streamflow in dry season increased, spring and well yields improved)

Source: Negros Occidental PIWSP, page 45.

Table 9.3.2. WATER SUPPLY AND SANITATION OBJECTIVES AND TARGETS	
Objectives	**Targets**
Improved adaptation and mitigation capacity of service providers to climate change impacts	Decreased cost of damage to water utilities during floods and heavy rains All LGUs with LCCAPs implemented. All WSPS adopted and implemented emergency response plans
Improved management and technical capacity of service providers	Increased service coverage of WSPs All WSPs adopted and implemented the Water Safety Plan All WSPs meeting PNSDW Entire population accessing safe drinking water services
Increased and prioritized funding for WSS	LGUs mobilized additional funds from various financing institutions and partners in support to WSS
Strengthened coordination among WSS actors	All WSPS adopted and implemented business plans. Water supply and sanitation units/bodies established and strengthened
Environmental laws enforced and synergized	WSPs tapped sustainable surface and groundwater sources. All LGUs adopted and implemented MW4SP
Fully implemented septage management program	All LGUs declared ZOD. Increased number of households compliant with prescribed septic tank (ST) standards All LGUs passed and adopted an ordinance on implementation of a Septage Management Program Entire population accessing prescribed sanitation facilities
Provided safe onsite water supply for remote communities	Isolated and remote communities provided with safe water supply and sanitation services

Source: Negros Occidental PIWSP, page 45.

6. ELEMENTS NEEDED TO REALIZE THE PLANS AND PROGRAMS

These are the same elements as in implementing the plan but should take the strategies more for the medium and the long term. The institutional structure should be functional. These institutional structures should be supported by legal basis. The watershed management plans, and water security plans can be embedded in the LGU mandated plans, but can have their dedicated, ring -fenced budget. Partnerships with the upland communities and the private sector are a must to realize these plans and programs especially in the WRM.

Localizing the plan to the municipalities was done by creating a manual for information campaigns so that everybody understands. In terms of WSS, zero open defecation (ZOD) and other sanitation and septage projects may be done in coordination with the DILG who has a big portfolio in WASH. In almost all WASH targets, infrastructure, hence, funding take center stage.

According to the provincial administrator, funds have been secured for water projects, such as bulk water projects. For instance, province led projects such as PPP for bulk water in Malogo River are ongoing. Currently, hiring consultants to do feasibility studies will be funded by an ADB grant. The feasibility study is targeted to finish in June 2023 and bidding in July 2023. The province is also looking into how water tariffs can be made cheaper. Talks are in place to look at the possibility of the government subsidy of the distribution pipes. This can result in cheaper tariffs that are acceptable to consumers. Furthermore, water processing plants will be privately managed and built (for bidding).

In all, these elements are present, and at this time, there is assurance that long term plans have been crafted and included in the PIWSP. The current activities are also validated by the SW evaluation team's analysis from the field work in other municipalities of the province.

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