

# **Philippines**

## **Mid-Term Evaluation**

**Thematic window: Democratic Economic Governance**

**Programme Title: Enhancing Access to and Provision of  
Water Services with the Active  
Participation of the Poor**

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## **Prologue**

The current mid-term evaluation report is part of the efforts being implemented by the Millennium Development Goal Secretariat (MDG-F), as part of its monitoring and evaluation strategy, to promote learning and to improve the quality of the 128 joint programs in 8 development thematic windows according to the basic evaluation criteria inherent to evaluation; relevance, efficiency, effectiveness and sustainability.

The aforementioned mid-term evaluations have been carried out amidst the backdrop of an institutional context that is both rich and varied, and where several UN organizations, working hand in hand with governmental agencies and civil society, cooperate in an attempt to achieve priority development objectives at the local, regional, and national levels. Thus the mid-term evaluations have been conducted in line with the principles outlined in the Evaluation network of the Development Assistant Committee (DAC) - as well as those of the United Nations Evaluation Group (UNEG). In this respect, the evaluation process included a reference group comprising the main stakeholders involved in the joint programme, who were active participants in decisions making during all stages of the evaluation; design, implementation, dissemination and improvement phase.

The analysis contained in the mid-term evaluation focuses on the joint program at its mid-term point of implementation- approximately 18 months after it was launched. Bearing in mind the limited time period for implementation of the programs (3 years at most), the mid-term evaluations have been devised to serve as short-term evaluation exercises. This has limited the scope and depth of the evaluation in comparison to a more standard evaluation exercise that would take much longer time and resources to be conducted. Yet it is clearly focusing on the utility and use of the evaluation as a learning tool to improve the joint programs and widely disseminating lessons learnt.

This exercise is both a first opportunity to constitute an independent "snapshot" of progress made and the challenges posed by initiatives of this nature as regards the 3 objectives being pursued by the MDG-F; the change in living conditions for the various populations vis-à-vis the Millennium Development Goals, the improved quality in terms of assistance provided in line with the terms and conditions outlined by the Declaration of Paris as well as progress made regarding the reform of the United Nations system following the "Delivering as One" initiative.

As a direct result of such mid-term evaluation processes, plans aimed at improving each joint program have been drafted and as such, the recommendations contained in the report have now become specific initiatives, seeking to improve upon implementation of all joint programs evaluated, which are closely monitored by the MDG-F Secretariat.

Conscious of the individual and collective efforts deployed to successfully perform this mid-term evaluation, we would like to thank all partners involved and to dedicate this current document to all those who have contributed to the drafting of the same and who have helped it become a reality (members of the reference group, the teams comprising the governmental agencies, the joint program team, consultants, beneficiaries, local authorities, the team from the Secretariat as well as a wide range of institutions and individuals from the public and private sectors). Once again, our heartfelt thanks.

The analysis and recommendations of this evaluation report do not necessarily reflect the views of the MDG-F Secretariat.

# FINAL REPORT

## MID TERM EVALUATION

**“ENHANCING ACCESS TO AND PROVISION OF WATER SERVICES  
WITH THE ACTIVE PARTICIPATION OF THE POOR”**

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## A. SUMMARY

In 2009, The Millennium Development Goals Achievement Fund (MDG-F) established a Joint Programme (JP) in the Philippines: ***“Enhancing access to and provision of water services with the active participation of the poor”***, which complements existing government’s infrastructure programs in potable water supply such as the President’s Priority Programme on Water (P3W). The JP addresses two issues: (1) limited investments support to enable the poor to have greater access to quality potable water; and (2) lack of local capacities to develop, operate and manage water supply utilities. The JP has a total budget of US\$ 5,375 million; and is implemented over a three-year period from June 2009 to May 2012. The Implementing Partners are the Department of Interior and Local Government (DILG), National Economic Development Authority (NEDA), UNDP and UNICEF; with the National Water Resources Board (NWRB) as responsible party.

The JP aims to provide capacity building support to community-based initiatives to enhance the sustainable delivery of water to about 122,000 households in 36 depressed communities in 12 provinces in 5 regions in the Philippines. The present report is the Mid Term Evaluation (MTE), which is aimed at generating knowledge, identifying good practice and lessons learned so as to improve the implementation process of the JP, and also to transfer lessons to other programmes and contribute to acceleration of achievements towards MDGs. The overall approach of the MTE was based on initial review of official documents and reports; participatory approaches including interviews with target beneficiaries, JP management and stakeholders, including partner UN agencies and government officials; focus group discussions with target beneficiaries and site visits to a sample of project sites.

The MTE found that there is a high level of awareness and expectations of the JP among both the participating Local Government Units (LGUs) and community members in the targeted municipalities. Most of the JP outputs are on track and are likely to be achieved on time. The overall programme objective is about whether or not waterless communities have improved access to safe drinking water; and whether or not the pilot model will be successfully replicated by a national institutional mechanism with appropriate capacity. The achievement of these objectives will define the success or failure of the JP.

The key findings of the MTE include; (1) The JP correctly identified the absence of a unitary water authority as the main institutional constraint in the governance of the water sector in the Philippines; (2) The programme design does not clearly define the meaning of “waterless communities”, and the specific parameters that will be addressed. Issues vary between communities, including inconsistent supply and quality of service. (3) The JP is implemented effectively and there are positive indications that it will be completed on schedule, in spite of the initial delays with the release of funds; (4) There is commendable

progress towards achievement of expected results at output level, which have potential to significantly impact quality and effectiveness of water service delivery; (5) Thee JP does not have a clearly defined strategy and plan for ensuring that LGUs have access to the funding necessary to build infrastructure; (6)The Government seconded its staff to the JP who continue to be based in the respective departments, which ensures that institutional capacity is developed and there is ownership of the process and results as well as sustainability of the JP; (7) While engagement of civil society and private sector needs to be strengthened, the JP has developed good practice in bottom-up participation processes for planning and implementation of water delivery at the community level. (8) Some of the output indicators do not sufficiently measure changes in results.

Based on the observations made and key findings, the MTE identified the following lessons to help strengthen performance and implementation of the JP:

- (1) Water governance issues, including the policy, operational and institutional dimensions need to be mainstreamed at all levels;
- (2) Sustainable water service delivery requires building broader partnership of stakeholders including donors, private sector and civil society.
- (3) Developing synergies between UN programmes can help to address the challenges of governance in the water sector holistically.

The evaluation also made six recommendations as follows:

**Recommendation 1:** The JP should develop initiatives to engage the Government and support policy reforms leading to establishment of a single authority for the water sector.

**Recommendation 2:** UN agencies should harmonise operational and reporting procedures to minimize delays.

**Recommendation 3:** The JP should fast track the activities for Outcome 2 that have lagged behind; particularly (a) completion of the baseline studies, and (b) role out of the communication plan at the local level.

**Recommendation 4:** The JP should strengthen the output indicators so that they can more efficiently measure performance and changes in the results.

**Recommendation 5:** The JP should develop a broad-based partnership to engage other stakeholders, particularly (a) donor organisations and the private sector to provide funding and investments in water delivery infrastructure, and (b) civil society to strengthen advocacy with government for resource allocations and accountability.

**Recommendation 6:** The JP should develop and strengthen linkages with other UN agency programmes that have an effect on water resources management such as environment, climate change, sanitation and pollution.

## B. CONTENTS

A.	Executive Summary	ii
B.	Contents	iv
C.	Acronyms	v
<b>1. Introduction</b>		
1.1.	Background	1
1.2.	Purpose of the Mid Term Evaluation	1
1.3.	Scope and Objectives of the Mid Term Evaluation	2
1.4.	Structure of the Report	2
<b>2. Project Description</b>		
2.1.	Joint Programme Objectives	3
2.2.	Programme Theory of Change	3
<b>3. Methodology</b>		
3.1.	Data Collection	5
3.2.	Limitations	5
<b>4. Evaluation Findings</b>		
4.1.	Relevance: Water is Life to Me	6
4.2.	Joint Programme Design	7
4.3.	Joint Programme Implementation	9
4.4.	Progress Towards Expected Results	11
4.5.	Management and Coordination	17
4.6.	Monitoring and Reporting	18
4.7.	Sustainability	19
5.	Summary of Key Findings and Lessons Learnt	21
6.	Recommendations	23
<b>ANNEXES:</b>		
Annex 1.	Documents reviewed	25
Annex 2.	Individuals Consulted	26
Annex 3.	MTE In-Country Schedule	27
Annex 4.	Status of Output Indicators	28
Annex 5.	Revised Results Framework and Indicators	30
Annex 6.	MTE Terms of Reference	34

## C. ACRONYMS

AWP	Annual Work Plan
BAWASA	Barangay Water Association
CSO(s)	Civil Society Organisation(s)
DILG	Department of Interior and Local Government
DOH	Department of Health
DPWH	Department of Public Works and Highways
GOP	Government of Philippines
GPS	Global Positioning System
INGO(s)	International Non-Governmental Organisation(s)
JP	Joint Programme
J-TWG	Joint Technical Working group
LGA	Local Government Academy
LGU(s)	Local Government Unit(s)
MDG(s)	Millennium Development Goal(s)
MDG-F	Millennium Development Goals Achievement Fund
MDTF	Multi Donor Trust Fund
MOA	Memorandum of Agreement
MTE	Mid Term Evaluation
MTPDP	Medium term Philippine Development Plan
NEDA	National Economic Development Authority
NGO(s)	Non-Governmental Organisation(s)
NSC	National Steering Committee
NWRB	National Water Resources Board
P3W	President's Priority Programme on Water
PMC	Project Management Committee
TWG	Technical Working Group
UN	United Nations
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Fund
UNRC	United Nations Resident Coordinator
WATSAN	Water and Sanitation (Councils)
WUA	Water User Association
WSP(s)	Water Service Provider(s)

## 1. INTRODUCTION

### 1.1. BACKGROUND

1. In December 2006, UNDP and the Government of Spain signed a major agreement of €528 million that provides, support to programmes oriented towards key MDGs and related development goals through the UN development system. The Millennium Development Achievement Fund (MDG-F) seeks to accelerate progress towards attainment of the MDGs in participating countries by supporting policies that promise high impact, scaling-up of successful models, and innovative development practices. The Fund operates through the UN Country Teams and actively strives to strengthen inter-agency coherence and effectiveness with regards to development interventions. The MDG-F uses joint programming as the main form of development intervention at the country level.

2. The Government of Philippines committed to providing water services to the country, with priority given to deprived communities as defined in the Medium Term Development Plan (MTPDP) 2004-2010. The MDG-F established a Joint Programme: ***“Enhancing access to and provision of water services with the active participation of the poor”*** in support of the Government’s priority. The Joint Programme (JP) complements existing infrastructure programs in potable water supply such as the President’s Priority Programme on Water (P3W). The JP intends to address two issues: (1) limited investments support to enable the poor to have greater access to quality potable water; and (2) lack of local capacities to develop, operate and manage water supply utilities. The JP has a total budget of US\$ 5,375 million; and is implemented over a three-year period from June 2009 to May 2012. The Implementing Partners are the Department of Interior and Local Government (DILG), National Economic Development Authority (NEDA), UNDP and UNICEF; with the National Water Resources Board (NWRB) as responsible party.

### 1.2. PURPOSE OF THE MID-TERM EVALUATION.

3. The purpose of the Mid Term Evaluation (MTE) is to generating knowledge, identify good practice and lessons learned so as to improve the implementation process of the JP in the second phase, and also to transfer lessons to other programmes and contribute to acceleration of achievements towards MDGs. The findings and recommendations from the MTE will therefore be directed to the Programme Management Committee (PMC), the National Steering Committee (NSC) and the MDG-F Secretariat.

### 1.3. SCOPE AND OBJECTIVES

4. The MTE includes six areas of assessment:
  - a) **Relevance:** To assess whether and how coherent the objectives of the JP are coherent with beneficiaries' problems, the needs of the country, and the priorities of other development partners and donors. The MTE will also assess the quality of the design and the internal coherence of the JP; its alignment to the UNDAF and National Development Strategies.
  - b) **Ownership:** To determine the extent to which stakeholders in the country were engaged in the design of the Joint Programme, and undertake effective leadership of the processes and results; and the extent of national ownership as defined by the Paris Declaration and Accra Agenda for Action.
  - c) **Efficiency:** To examine the extent to which resources/inputs (human, material and financial) have been transformed into outputs.
  - d) **Effectiveness:** To assess the extent of progress towards expected results of the JP and their contribution to outcomes. The MTE will also assess the effectiveness of implementation; the efficiency of the management system with regards to planning, coordination, and use of the designated resources; and whether the implementation has contributed to strengthening UN coordination in the context of Delivering as One; and the degree of effectiveness of results in terms of the target beneficiaries, as well as to the MDGs at the local and national level.
  - e) **Sustainability:** To explore the probability of continued long-term benefits, and the resilience to risk of the net benefit flows over time; and identify any barriers and counter-measures that may constrain sustainability of results.
  - f) **Replication:** to determine the extent to which the JP has in-built mechanisms to enable replication; and identify any good practices and lessons that can be applied and replicated in future programming and in other regions.

### 1.4. STRUCTURE OF THE REPORT

5. This report contains 6 chapters. Chapter 1 introduces the report, including background of the JP, purpose and scope of the MTE. Chapter 2 describes the JP including its specific objectives and the theory of change. Chapter 3 contains the methodology of the MTE; and Chapter 4 contains the main findings. Chapter 5 presents the summary of key findings and lessons learnt and recommendations respectively; followed by recommendations in Chapter 6.

## 2. PROJECT DESCRIPTION

### 2.1. JOINT PROGRAMME OBJECTIVES

6. The overall aim of the JP is to contribute to the provision of more accessible, efficient, affordable, and quality water supply to rural areas by complementing current Government efforts under the P3W. In particular, the JP aims to provide capacity building support to community-based initiatives to enhance the sustainable delivery of water to about 122,000 households in 36 depressed communities in 12 provinces in 5 regions in the Philippines.<sup>1</sup>

7. The expected results of the JP are directly linked to MDG 7, while also indirectly contributing to the other MDGs. The results of the JP are aligned to the Philippine United Nations Development Assistance Framework (UNDAF) Outcome # 2 as shown in Table 1 below.

**Table 1: Expected Outcomes**

<b>UNDAF Outcome 2:</b> By 2009, good governance reforms and practices are institutionalized by government, local government units (LGUs) civil society organisations (CSOs) and the private sector at all levels toward poverty reduction, protection of rights and sustainable human development.	
<b>JP Outcome 1:</b> Investment support mechanisms established for poor communities/municipalities to improve efficiency, access, affordability and quality potable water.	<b>JP Outcome 2:</b> Enhanced local capacities to develop, operate and manage (water) utilities.

### 2.2. PROGRAMME THEORY OF CHANGE

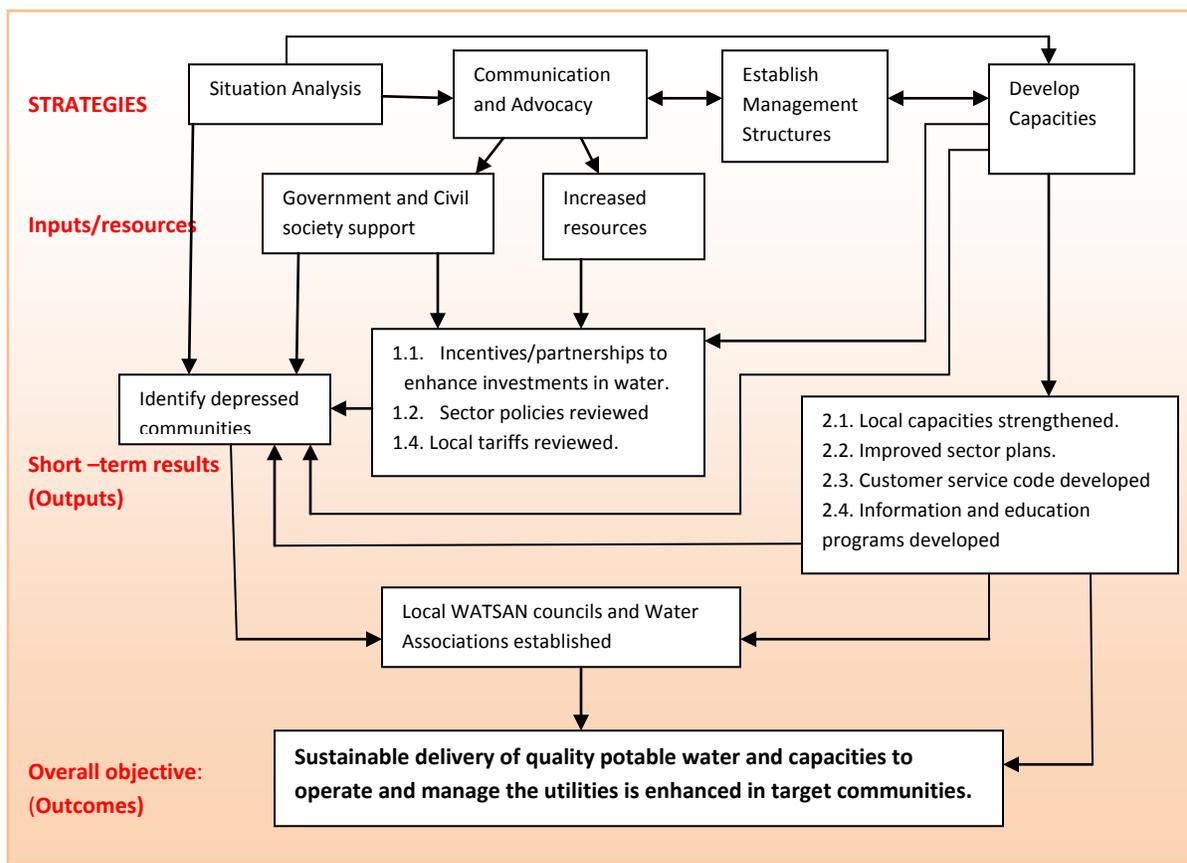
8. The National Economic Development Authority (NEDA) and the National Water Resources Board (NWRB) developed the Philippine Water Supply Sector Roadmap, which serves as the blueprint for addressing sustainable water supply services in rural and urban areas. The stakeholder consultations leading to the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

<sup>1</sup> Region 2 (Cagayan and Isabela); Region 5 (Camarines Norte and Camarines Sur); Region 9 (Zamboanga del Norte, Zamboanga del Sur and Zamboanga Sibuguey); Region 10 (Bukidnon, Lanao del Norte, Misamis Occidental and Misamis Oriental); Region 13 (Agusan del Sur).

and enabling policy environment; developing capacities for the actors in the sector; and building strategic alliances with various stakeholders – with the infrastructure component, to enhance water supply delivery.

9. The programme theory of change comprises three elements; (1) establishing the appropriate legal and policy environment, (2) developing capacities of LGUs at municipal and barangay levels, and (3) conducting an effective communication and advocacy campaign to raise awareness of community members. When all the three elements are in place, then there will be a balance between the supply-side and demand-side factors leading to effective and sustainable planning, implementation, operation and maintenance of an inclusive community-owned water service delivery system. The programme theory of change is illustrated in Figure 1 below.

**Figure 1: Programme Theory of Change**



### 3. METHODOLOGY

#### 3.1. DATA COLLECTION

10. The overall approach was based on initial review of official documents and reports; and participatory approaches including interviews with target beneficiaries, JP management (NSC, PMC, Project Coordinator, UN partner agencies) and stakeholders (Central/Local Government, Private Sector), focus group discussions (target beneficiaries) and site visits to a sample of project sites. The aim was to generate information that is verifiable through triangulation processes. The list of documents reviewed is at Annex 1; and the list of individuals consulted and the in-country mission schedule is at Annex 2 and Annex 3 respectively.

11. Data collection was based on the following:

- ☞ Individual interviews with (a) partner UN agency management and programme staff; (b) government officials in relevant line ministries and local government; (c) officials in relevant state institutions, including DILG, NEDA, NWRB, etc.; (e) members of the various JP governance and management committees; and (f) stakeholders, e.g. media, private sector, NGOs, etc.
- ☞ Group interviews of target beneficiaries at the sample site visits.
- ☞ Presentation of preliminary findings to the Reference Group to obtain their feedback, triangulate and validate data and information.

#### 3.2. LIMITATIONS

12. The time allocated for the evaluation mission in the country was very short and as a result, the MTE was only able to visit one region and two municipalities, which is not a representative sample given that the JP is targeting 36 municipalities. Furthermore, the criteria for the selection of the region and the two municipalities was driven more by convenience rather than a random selection, such that the ensuing conclusions may not be completely unbiased.

13. The evaluation mission was also unable to meet with some of the key personalities such as the Resident Coordinator and the Spanish Embassy for reasons beyond the evaluator's control. In addition, some of the focus group discussions and meetings were conducted in local languages and translation was provided by project staff, thereby increasing the risk of subjective interpretation based on their understanding of the issues. To ensure objectivity, it would have been ideal to provide services of a professional translator.

## 4. EVALUATION FINDINGS

### 4.1. RELEVANCE: WATER IS LIFE TO ME

*“Are the objectives consistent with the needs and interests of the people and the country, the MDGs and the policies of associates and donors?”*

14. The Philippines is endowed with abundant water resources, so much that without in-depth understanding of the issues and challenges around water governance and its accessibility, it appears strange that water could be considered among the top national priorities. However, the water that is available in the rivers, lakes and springs in the country is not easily accessible to all, and is not safe for drinking in its natural condition, which is where the value-added and relevance of water governance and management becomes critical.

15. Based on 2000 data, out of 1,500 cities and municipalities in the Philippines, only 47% were served by water districts, of the total 444 operational water districts, only 53 had more than 50% water service coverage.<sup>2</sup> Expressed in plain language, this means that approximately 16 million Filipinos did not have access to safe drinking water. In the Medium Term Philippine Development Plan (MTPDP) 2004-2010, the government gave high priority to water supply provision and also included it in the “10-point Agenda” of the then President Gloria Arroyo. The government further demonstrated its commitment to this priority by establishing the P3W, which targets the provision of water to waterless municipalities nationwide, including in Metro Manila.

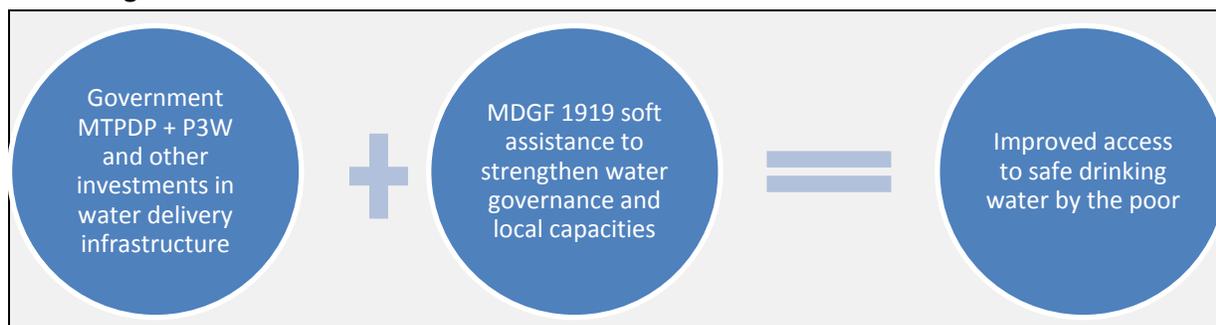
16. Recent studies undertaken by the JP have also indicated that water supply is among the top priorities of people at the household level. For example, in the Municipality of Titay, the study found that over 72% of households had average annual incomes below Ps 20,000 and could barely afford basic necessities, but they were still willing to pay for water services, which means that they considered safe water as a high priority. In addition, the evaluation also noted that water supply was ranked in the top 3 priorities from among 105 development priorities for the planning period 2009 -2011 in the Municipality of Dangcagan in Region 10.

17. The JP also directly contributes to Target 7c of MDG 7: reduce by half the proportion of people without sustainable access to safe drinking water and basic sanitation. As embodied in one of the JP’s communication slogans – *water is life to me* – water is a vital ingredient for food security and poverty reduction, sustenance of health and improvement in child and maternal

<sup>2</sup> MDGF 1919 Information brochure, from National Statistical Office 2000: Census of Population and Housing

mortality as well as reduction in water-borne diseases; the JP therefore also directly and indirectly contributes to all the other MDGs. The MTE found that the JP is very relevant and addresses a strategic issue of national priority in the Philippines, as aptly illustrated in the model in Figure 2 below.

**Figure 2: Relevance of MDGF 1919 to National Priorities and MDGs.**



Source: Adopted from Draft Baseline Survey report, Municipality of Titay.

## 4.2. JP Design

*“Does the JP design demonstrate internal coherence and alignment with the UNDAF and national priorities; and is there national ownership in the design?”*

18. The MTE found the JP design to be appropriate and consistent with the general principle that a country’s capacity resides at three levels: (1) the enabling environment, (2) the institutional framework, and (3) individual skills. The JP is designed to address all three levels, and therefore has great potential given effective implementation, to establish a sustainable model for water service delivery. At the level of enabling environment, Component 1 of the JP includes a review of the policy frameworks that impact on investments in the water sector and the quality of water service delivery especially for disadvantaged groups and poor communities. At national level, this includes review of policies and establishment of new criteria in (1) the incentive mechanisms and partnership modalities in the water sector; (2) cost-sharing between central and local governments; and (3) harmonisation of the regulatory framework, tariff methodology and structures. At local level, the JP is designed to assist local governments to develop appropriate policies to attract more investments in water service delivery and to mentor local water service providers to develop suitable customer service codes and tariff setting guidelines.

19. The JP targets institutional capacity development by strengthening the capacities of Local Government Units (LGUs) to plan and manage water service delivery systems at the

Municipality and Barangay levels through capacity building of Water and Sanitation (WATSAN) Councils and Barangay Water and Sanitation Associations (BAWASA). The MTE noted that the JP correctly identified a key aspect of the institutional constraints facing the water sector in the Philippines as the absence of a unitary water authority, which manifests in fragmented and uncoordinated implementation of government policies and strategies by multiple agencies. The JP however does not address this issue directly, but instead concedes that the issue is too big a challenge that cannot be addressed within the programme timeframe of three years. While the MTE acknowledges the urgency of providing water and that this should not have to wait for government reforms to be completed at national level, that should not justify the absence of specific and targeted interventions to influence necessary governance reforms, which could also affect the programmes results.<sup>3</sup> The critical importance of this issue is reflected in some of the issues raised in the Municipalities visited in the course of the evaluation. For example, in Don Carlos, the Municipal authorities noted that the National Water Resources Board (NWRB) which was not decentralized had issued water permits to a private company to establish deep wells for irrigating their banana plantations without consulting with the Municipality, which affected some of the Municipality's ground water reservoirs and its capacity to provide water services to some of the communities from sources in the vicinity of those deep wells.

20. Moreover, the JP was conceived in the context of UNDAF Outcome 2: By 2009, good governance reforms and practices are institutionalized by government, LGUs, civil society and the private sector at all levels..." In the light of this expected outcome therefore, the JP had justifiable grounds to include interventions on institutional reforms, particularly with respect to establishment of a unitary water authority.

21. At individual level, the JP provides skills training to LGU personnel. Skill training is targeted at WATSAN council and BAWASA members to research and plan, organise, develop and implement water projects in their jurisdictions. The JP also encourages communities to take collective action to improve access to safe and clean water in their communities. With respect to national ownership, the MTE mission was impressed by the level of awareness and engagement at all levels. At national level, the key government partners – Department of Interior and Local Government (DILG) and National Economic Development Authority (NEDA) have seconded staff to work for the JP on a full time basis while continuing to be housed in their respective offices. The JP outputs are also routinely submitted for endorsement and approval by formal government mechanisms such as the Sub Committee on Water Resources and the Committee on Infrastructure. This ensures that the outputs are nationally owned and

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<sup>3</sup> The JP management responded that the Executive-Legislative Dialogue conducted in the run up to the World Water Day culminated in a Declaration of Commitment to Policy Action, including among other issues, reviewing the issue of establishing a Water Authority.

once approved, are included for implementation as part of the government programme on water service delivery. At the local level, the municipal and barangay LGUs that were visited were very much engaged and fully conversant with the outputs and processes of the JP. In both Dangcagan and Don Carlos municipalities, the full LGU administration, including the Mayors, were assembled for the MTE process and also accompanied the mission to visit the barangays.

22. The MTE noted however that the JP did not address water as an integrated sector, and is not linked to other UN agency programmes in order to clearly demonstrate the linkages and build synergies between water supply and related issues such as sanitation, pollution and environment. One of the MTE interviewees observed that *'water is not merely a convenience, but should be linked to the wider development issues such as poverty reduction and health'*. While there are perfunctory references to sanitation in various documents, there are no specific and targeted interventions built into the design to ensure that this is integral to the JP components.

### 4.3. JP Implementation

*"How effective is the implementation of the JP strategies and activities?"*

23. The JP has been implemented effectively and the indications are that delivery of the budget will be completed within the programme timeframe. Initial delays were encountered in the administrative requirements for the release of funds from UN partner agencies; and for the procurement and hiring of expert consultants to undertake the project activities. Part of the initial delays were a result of the differences between the national planning cycles which runs from July to June and the UN year which is based on the calendar year. As a result of this, the JP initially submits its Annual Work Plan (AWP) based on the national fiscal year, which triggers the transfer of funds from the Multi Donor Trust Fund (MDTF) office to the UN partner agencies. However, the JP also prepares and submits a calendar-year based AWP in order for the UN agencies to release the funds to the JP. Nevertheless, a revised work plan formulated in October 2009 showed that the JP could still be completed within the 3-year implementation period.

24. Table 2 below shows the state of the budget expenditure as at the end of December 2010.

**Table 2: JP Financial Report as of 31 December 2010.**

	UNDP (\$)	UNICEF (\$)	Total (\$)
Total approved JP budget	3,813,266	1,561,734	<b>5,375,000</b>
Total funds transferred to date	3,143,939	1,362,859	<b>4,506,798</b>
Total funds committed to date	2,222,416	902,805	<b>3,125,221</b>
Total disbursements to date	1,744,850	584,517	<b>2,329,367</b>
Commitment rate (% of budget committed)	58.3%	57.8%	<b>58.1%</b>
Disbursement rate (% of transferred funds)	55.4%	42.8%	<b>51%</b>

Source: JP Management Team.

25. Based on the data in Table 2 above, 58% of the total budget had been committed by the end of December 2010, representing 69% of the total funds transferred. Of the total \$4.5 million transferred as of the end of December 2010, over half (51%) had already been disbursed. In the opinion of the evaluator, if these delivery rates are maintained through the remainder of the JP implementation to March 2012, there is a high likelihood that the programme budget will be delivered within the planned timeframe. The evaluator did not foresee any possibility that there may be need for a no-cost extension.

26. According to the implementation plan, baseline data would be collected to establish the status of water service delivery at the beginning in order to inform the interventions that would be undertaken for both Components 1 and 2 of the programme. There were delays in the procurement of consultant experts to undertake the baseline surveys; and at the time of the MTE, the baselines surveys had still not been completed. However, some of the interventions had already been started even without the baseline data. For example, the localised customer service codes had been completed and were scheduled to be unveiled at the World Water Day on 22 March 2011; and some training had already been undertaken in some municipalities for the WATSAN councils and BAWASA. The decision was driven by a desire not to further delay implementation of the programme, which in some ways is a good decision but in other ways also increases the risk that those activities implemented before full baseline data is available may not be very effective. For example, during visits to some of the barangays where the localised customer service code had already been rolled out, senior citizens had concerns that they were not given any special consideration in the tariff structure. In one of the municipalities, it emerged that the water coverage was already higher than 80%, but the main challenges were around the frequency of delivery and the quality of the water. If such issues are not defined in the baseline data, then the ensuing interventions are likely to be off the mark in terms of addressing relevant issues customized for individual communities.

27. In addition to this, the implementation plan does not clearly articulate how the JP will address the differences in the service levels between the barangays. As noted in the limitations, the MTE did not visit a sufficiently representative sample to make generalizations. However, there were indications that the specific issues varied from one barangay to another. For example, in one barangay, the predominant issue was the rationing system in which water delivery to households was staggered according to the delivery system; in another barangay, the issue was more about households that were paying for Level 2 service but were not getting that level of service for one reason or another. In yet another barangay, the main issue was on the quality of water, which the beneficiaries complained was dirty especially during the rainy season, and caused stomach problems.

28. The MTE also noted that there was no clearly defined plan about how the infrastructure was going to be made available to the 36 pilot municipalities. The JP management noted that a Memorandum of Agreement (MOA) had recently been entered into between the DILG, Department of Health (DOH) and the National Anti-Poverty Commission (NAPC), to ensure that the participating municipalities would be given priority in the allocation of the P3W funds for water infrastructure. However, the two municipalities that were visited did not seem to be aware of this plan; and in one of them, the Mayor was not even aware of the MOA. The MTE also noted that the Committee on Infrastructure, which was the final authority for approving infrastructure projects had not been meeting regularly to consider and approve the JP's outputs. For example, the draft report on the review of the P3W fund was endorsed by the Sub Committee on Water Resources in September 2010 but was still pending approval of the Committee on Infrastructure at the time of the MTE six months later.

#### 4.4. PROGRESS TOWARDS EXPECTED RESULTS

*“Are interventions contributing to expected results and outputs of desired quality?”*

29. Commendable progress has been made towards expected results, and the evaluator is of the opinion that overall, the JP has the potential to significantly impact on the quality and effectiveness of water service delivery in the Philippines. The MTE considered first, the JP's progress at the output level, and secondly, progress at the overall programme level. The matrix of indicators is shown at Annex 4 to this report.

**4.4.1. Outcome One: Investment support mechanisms established for poor communities and municipalities to improve efficiency, access, affordability and quality of potable water.**

30. Although many of the outputs had already been completed or nearing completion, it was too early to establish the extent to which the outputs would effectively contribute towards the achievement of the overall objective to improve access to water, in particular as this also depends on funding for infrastructure. By their very nature, the poor communities represent those barangays that are on the fringes of development and consequently do not offer much in terms of attracting investments. Many of these communities comprise very small numbers of households with low disposable incomes and may also be very widely dispersed, making private investment unviable. These communities, for several reasons, do not have any non-governmental organisations (NGOs); nor do they have active civil society organisations (CSOs). These two factors combined, appear to have limited the options available for the realization of this outcome.

31. The alternatives that appear to offer more realistic opportunities for attracting capital to these communities are therefore public investments through either loans or grants; or partnerships with international non-governmental organisations (INGOs) and bilateral development partners. The JP appears to place more emphasis on the former, and there was not much being done in terms of identifying and developing partnerships with bilateral development partners. In the opinion of the evaluator, excessive dependence on the public investment programme may be too risky as it can be unpredictably influenced by political decisions and changing priorities over time. It therefore remains to be seen whether the LGUs will successfully develop localised strategies to attract alternative financing for infrastructure.

32. There has been commendable and remarkable progress made at the output level, although as stated earlier, it remains to be seen to what extent these outputs will actually contribute towards the JP outcomes. The draft final report for Output 1.1 on incentive mechanisms and partnership modalities was submitted for consideration to the Joint Technical Working Group (J-TWG) in January 2011. After review of the draft by the JTWG, it will then be submitted to the Sub Committee on Water Resources for endorsement and to the Committee on Infrastructure for approval. The main incentive mechanism proposed is an output-based system in which WSPs advance the cost of connection to poor communities and get reimbursed by government at a later date. While on the face of it this would probably expedite water supply to poor communities, there is an inherent risk relating to the interest premium that Water Service Providers (WSPs) will charge for providing credit, which ultimately increases the cost of connection to poor communities. In addition, government efficiency in providing

reimbursement will determine the long-term viability of the system. If in the first rounds there is a perception of difficulty or lengthy delays in getting reimbursements, there will be widespread reluctance by WSPs to provide advance connection, and for those that will be willing to take the risk, they will charge a high premium.

33. The two draft reports for Output 1.2 were completed and endorsed by the Sub Committee on Water Resources and are now pending final approval by the Committee on infrastructure. As noted earlier, the endorsement and approval process by formal government structures is important for national ownership, but this has also slowed down progress of the JP. For example, the draft report for Output 1.2.2 on the review of the policies of the P3W was completed and endorsed by the Sub Committee on Water Resources in September 2010, but has been pending approval by the Committee on infrastructure since. Earlier in the discussion on design, it was noted that the JP did not address the issue of establishing a unitary water authority, which was considered to be a design flaw for the JP. The MTE noted that the administration of the P3W was moved from the Department of Public Works and Highways (DPWH) to the Department of Health (DOH). While this is a government decision for which the JP cannot be held accountable, it does appear strange that the DOH can be the lead ministry in the water sector; and this further demonstrates some of the effects of the JP's failure to engage and target the issue.

34. Progress on Output 1.3 was initially affected by delays in the procurement of consultants to undertake the baselines surveys. Delivery for this output was divided into two phases. The first phase involved developing the data collection methodology and framework, which was undertaken from November 2009 and completed in March 2010. The second phase, which involved the actual collection of baseline data was initially targeted to be completed by 2009, but was affected by the contractual procedures of the UN system. The project management had initially wanted to contract a single consulting firm to do the studies, but this was considered too risky and eventually a decision was made to contract several individual consultants to conduct the studies in the 36 municipalities. However this approach was also delayed because of UN procurement regulations that require regional approval for procurement of amounts exceeding \$30,000. The procurement process was eventually approved in September 2010, after a six-month delay. At the time of the MTE, data collection was reportedly completed and the consultants were compiling their draft reports, expected to be completed by April 2011.

35. The draft final report for Output 1.4 on review of the tariff-setting methodology was completed and submitted to the J-TWG in January 2011 and is now pending review and endorsement by the Sub Committee on Water Resources before submission for approval by the

Committee on Infrastructure. Overall therefore, the outputs under Outcome 1 are on track. Given approval by the Committee on Infrastructure, there is still enough time to implement the recommendations contained in the various reports and hopefully contribute towards the expected outcome.

#### **4.4.2. Outcome Two: Enhanced capacities of LGUs and WSPs to develop, operate and manage potable water services.**

36. The focus of Outcome 2 to develop local level capacities in planning, implementing and maintenance of water services is very logical because basic services are delivered at the local level. In addition, the outcome also places appropriate emphasis on developing capacities and awareness of the communities as users and consumers of the service, which is also in line with human rights-based approaches. The MTE commends the approach for strengthening local capacities.

37. The MTE found that most of the outputs under Outcome 2 had progressed rather slowly compared to the pace of progress in Outcome 1. With regards to Output 2.1, the capacity assessment to establish the capacity gaps at the local level had just been completed but the draft report was still to be reviewed and approved. Capacity assessments were done in 21 municipalities. In one of the municipalities (Don Carlos) visited by the MTE, the LGU had received one GPS unit (Global Positioning System) from the project and had used it to compile an inventory of existing water and sanitation facilities in the municipalities including its constituent barangays. The municipality had also conducted household surveys in its 29 barangays based on the procedures provided to the WATSAN council during the Orientation/Planning workshops. While all the reports were not yet completely compiled and baseline data from some of the municipalities was still to be encoded, the MTE was satisfied that progress on output 2.1 was on track.

38. The mentoring modules for Output 2.1.1 had been developed but pending peer review and approval. However, the enhancement of the WATSAN tool box (Output 2.1.2) was still to be started. While the old tool box is in existence, and is the basis for the enhancement that is stated in Output 2.1.2, the LGU staff members at the two municipalities visited were not aware of the old tool boxes. It seems that when there are changes in administration, incumbent LGU staff did not effectively hand over all relevant information to the new administration; and this is one of the risks that the JP should find ways of addressing in order to ensure sustainability of its results through changing local administrations in the future.

39. There was no evidence obtained to indicate that there had been any improvement in water sector plans formulated at the local level. Based on observations from the two municipalities that were visited, the LGUs do not have separate water sector plans. Instead, both municipalities had integrated Municipal Development Plans, which are basically budgets of planned activities including in both cases, upgrading of water service infrastructure such as increasing capacity of the water pump that pumps water from the source to distribution point. The MTE did not therefore find any progress to have been made on Output 2.2.

40. With regards to Output 2.3 on localised customer service codes, the MTE established that 10 had been completed and were due to be rolled out at the World Water day on 22 March 2011. The MTE also noted that the customer service codes had been rolled out in some of the LGUs; including for example, in barangay San Vicente, Danggagan Municipality. The community members were well aware of the customer service code, although in this particular barangay, it was difficult to establish with certainty if there had been sufficient consultation in the development of the service code. During the group discussions with the water users and beneficiaries in San Vicente, it emerged that they were not happy with the tariff structure proposed in the service code, partly because the incumbent LGU administration had promised to abolish water tariffs as part of their campaign for office; secondly, senior citizens felt that they needed some favourable concessions with the tariffs.

41. The communications and advocacy plan as stated in Output 2.4 was yet to be rolled out at the local level. Many of the outputs that had been completed were at national level, including the postcard campaign, which would culminate at the World Water day celebrations, the photo contest, and the water stories DVD campaign. Some activities to provide LGUs with requisite capacities to plan and implement their own communications plans had been completed; for example, two regions had completed training in desktop publishing to enable them to develop their own localised communications materials; and two workshops on communications for development had been conducted in August and October 2010, with participants from all the participating municipalities.

#### **4.4.3. Programme Level**

42. There has been mixed progress at the output level, with most of the outputs associated with Outcome 1 all completed and only pending final approval; while some of the outputs linked to Outcome 2 were still to be started. This notwithstanding, the MTE also observed indications suggesting that the overall programme objective may not be achieved in spite of achievement of all the outputs because the programme concept is based on some fundamental

assumptions, which may or may not hold true over the long run, as well as lack of an effective plan for managing some of the potential risks.

43. Based on the programme theory of change, there are three key programme-level success factors: (1) at the very least, the 36 pilot municipalities should improve access and provision of water services for the poor; (2) the water delivery system, operation, management and maintenance should be documented and be easily replicable; and (3) a national mechanism should be established and be capable to upscale the pilot model and improve access and provision of water services to the remaining waterless municipalities. While the MTE noted that there is a strong sense of ownership at all levels, this also means that there are high expectations of improved water service delivery. If these three outcomes are not achieved therefore, then the programme will not be perceived to have been successful.

44. The MTE observed several risks that may affect the achievement of these outcomes. First, there is no common definition or benchmarks across all municipalities and barangays that clearly defines 'waterless' municipalities and specific indicators of success. For example, according to the baseline surveys undertaken by the municipality of Dangcagan, the municipality already has 83% water coverage. In addition, the specific needs are different between barangays; some barangays have 100% access but supply is not consistent and has to be rationed according to the water source and level of delivery; in some barangays, the challenge is on beneficiaries who are paying for Level 2 supply but do not get it because of weak pressure or pumping capacity; and in some barangays, the challenge is on the quality of water, which is sometimes brown in the rainy season. Secondly, there is no clear plan on sources of funding for infrastructure. There is expectation that either the P3W will provide funds for infrastructure or the municipalities will be able to access loans to develop the necessary infrastructure. However, the MTE was informed that in 2010, the government did not allocate the budgeted funds under the P3W, and also there is no specific commitment that the 36 pilot municipalities will be prioritised in the allocation for these funds even if they were to be available. In some of the municipalities visited, the MTE noted that the P3W had made investments in some of the barangays, but the municipality was not aware what criteria had been used for their selection. The MTE is aware that there is now a MOA signed between the DOH as the fund administrator and DILG, which is a positive step to ensure that the funding methodology is streamlined, but this needs to be specifically documented.

45. Thirdly, the programme is largely focused on LGUs as the main water service providers, which is understandable given the nature of the waterless communities. However, LGUs also rely on the fiscal budget, which is subject to changing priorities. Furthermore, the programme also expects that the Local Government Academy (LGA) will be the main venue for replication

of the model to the remaining waterless municipalities; but although the LGA has the mandate, it also depends on the fiscal budget to be able to undertake its programmes, which is also a risk for which there is no specific plan for mitigation if there is insufficient budget allocations.

#### 4.5. MANAGEMENT AND COORDINATION

*How effective is management and coordination between UN agencies and between the UN and national counterparts?*

46. The JP document was signed by the United Nations Resident Coordinator (UNRC) together with UNDP and UNICEF representing the UN partners, and DILG and NEDA representing government counterparts. The two programme governance committees - National Steering Committee and Programme Management Committee – were established with appropriate representation and membership. The committees were also meeting regularly to conduct business and make decisions in accordance with their respective mandates. Collaborative work among all four partners around various issues was noted by the evaluation mission. Relevant Programme Units in UNDP and UNICEF also review and approve the JP's AWP, ensuring that programming principles such as HRBA and gender equality are integrated. Most notably, the government counterparts have seconded staff to the project on a full time basis, which strengthens government ownership of the processes and results as well as establishing capacity within those departments to ensure sustainability when UN support ends after the three-year period. The MTE also noted that project outputs are routinely endorsed and approved by relevant government departments as part of the process for ensuring national ownership, which is a good example of UN-government collaboration.

47. With regards to coordination between UN agencies, the MTE observed that there is need to harmonise procedures, especially those pertaining to procurement, financial management and reporting. The UN system has some inbuilt constraints that prevent flexibility. There have been delays in fund release that have delayed project activities This may result from the different development budgeting cycles and reporting periods between the UN and the Government. One particular issue that has continuously caused delays in the transfer of funds and consequently, implementation of activities is around differences in the funding process. In the first instance, the JP has to prepare and submit a joint Annual Work Plan (AWP) which is based on the national fiscal year which runs from June to May. This AWP is approved by the MDG-F Secretariat and triggers the release of funds from the MDTF office to the UN agency accounts. In 2010, the joint AWP was approved in September, which caused delays in implementation of some activities. Following on this joint AWP, UNDP further requires a separate AWP based on the calendar year to be submitted in order to release funds to the JP;

while UNICEF does not require an additional AWP. This requirement by UNDP further extends the time by which funds are finally released to the JP. The MTE observed that the AWP to UNDP was submitted in February 2011, and at the time of the evaluation, the funds for the first quarter of 2011 had still not been released to the JP. As a result, some activities that were scheduled to be undertaken by the NWRB starting in January had been on hold due to lack of funding.

48. The MTE also noted that UNDP conducts annual audits while UNICEF only conducts periodic and random spot checks. This is another area that needs to be harmonised in order to ensure that there is full and uniform accountability for the funds by all UN agencies. A spot check of the JP was conducted by UNDP in July 2010, which observed a few management issues that needed strengthening but overall, concluded that the JP was effectively managed. UNDP conducted an audit in July 2010, which concluded that administration, procurement and financial management were in line with UNDP operational guidelines, rules and regulations. The audit had no negative observations on substantive work and reporting. The MTE further noted that the JP management was very responsive and had effectively addressed the minor observations raised in the audit, such as the levels of the Administrative and Financial Assistants.

#### 4.6. MONITORING AND REPORTING

Does the M&E Plan enable effective monitoring and reporting of progress and results?

49. The Spot check conducted by UNDP in July 2010 reported that financial reports were prepared and submitted timely. The evaluation also noted that the JP provides quarterly liquidation reports for all advances, which are also linked to the requests for cash advances and the AWP. The spot check however noted that there was no specific individual performance instrument used to evaluate the performance of individuals; and recommended that the JP should adopt the standard performance evaluation used by UNDP for Service Contract holders. The evaluation was unable to establish whether or not this had been implemented.

50. The evaluation observed that there was a general weakness in the formulation of output indicators. Some of the indicators lack baseline data, and there was a general tendency towards quantitative indicators, even when qualitative indicators would have been more appropriate (See Annex 4). Most of the outputs under Outcome 2 that could be best assessed by qualitative indicators have quantitative indicators, which fall short of measuring actual changes in results. For example, Output 2.1.1 which states: ***“Mentoring mechanisms institutionalized for skills and knowledge transfer”*** has a quantitative indicator – ***“Number of modules for mentoring”***.

There is a clear disconnect between the expected result and the indicator of performance. In this case, the expected result is about ‘institutionalising mentoring mechanisms’ which should be measured by qualitative indicator that measure the number of institutions that effectively use the mentoring mechanisms; and the resultant change in the improvement in service delivery.

51. The evaluation is aware that the JP undertook a two-day workshop in November 2010 to review the Results and M&E Framework. The new Results Framework and Indicators are shown at Annex 5. This is an improvement which should be strengthened through active participation of the M&E Specialists from the partner UN agencies to ensure that the M&E Framework reflects the UN programming principles including, results-based management (RBM), human-rights-based approaches (HRBA), capacity development, national ownership and gender equality.

#### 4.7. SUSTAINABILITY

*What is the probability of continued benefits and resilience to risk of the net benefit flows over time?*

52. With regards to sustainability, an important indicator of sustainability is how well government adopts UN supported initiatives into its regular programmes as well as the extent to which UN interventions develop national capacities at all levels. The MTE was impressed by the system whereby JP outputs are integrated into government processes, both in DILG and NEDA through direct engagement of established government decision-making mechanisms.

53. The JP has developed good examples of bottom-up participation processes planning for water service delivery. The social mobilization strategy aims to ensure that socially excluded and economically marginalized groups are aware of the resources, and the need for them to participate in the planning and management of water services. Capacity building is an on-going process and requires sustained implementation support to reach the most vulnerable and disadvantaged groups in remote areas, and the JP has adopted an approach whereby individual municipalities will develop their own communications plans. If implemented effectively, this has potential to ensure that the most remote areas and disadvantaged communities are included in the programme. However, this is also one of the areas where engagement of civil society organizations to mobilize communities for advocacy and increased participation could increase awareness of the need to demand better public services as a human right. The introduction and use of tools such as the Localised Customer Service Code have great potential of facilitating access to basic services by marginalized communities. While bottom-up approaches have contributed to strengthening community participation and capacity, political

interference can prevent the achievement of sustainable results – as for example when one barangay administration campaigned for office by promising the abolition of water tariffs – which is why engagement of civil society and NGOs is critical in empowering and monitoring the accountability of local authorities.

54. However, one particular area which lacks clearly defined plan of action is on developing partnership with NGOs, development partners and other water service providers such as the private sector and cooperatives. The involvement of NGOs and civil society in particular, is very important to ensure that the interests of the disadvantaged and marginalised groups such as indigenous peoples, the elderly and disabled are taken into account in the planning, implementation and monitoring of water services. In barangay San Vicente for instance, the MTE noted that the elderly had concerns which were not effectively addressed in the Localised Customer Service Code. While policy commitments are there in principle, resources and technical capacity is a serious constraint. The JP has not developed clear outreach strategies to engage with donors so that they can align their strategies and approaches with those of the JP and leverage some of the resources available within the broader development community.

## 5. SUMMARY OF KEY FINDINGS AND LESSONS LEARNT

55. Based on observations from the two Municipalities that were visited by the evaluation mission, there are high expectations among the beneficiaries about the results of the JP. While LGU staff and management are quite aware of the limited outputs expected from the “soft assistance” interventions of the JP and how these outputs would contribute and impact on water service delivery, ordinary community members appeared to have greater expectations that the JP would directly provide water services to their communities. The key findings from the evaluation mission are summarised in Figure 3 below.

**Figure 3: Summary of Key Findings**

1. The JP correctly identified the absence of a unitary water authority as the main institutional constraint in the governance of the water sector in the Philippines.
2. The JP is implemented effectively and there are positive indications that the budget will be delivered within the programme timeframe, in spite of the initial delays with the release of funds.
3. The programme design does not clearly define ‘waterless communities’, and the issues that would be addressed. The issues vary between communities ranging from inconsistent supply to poor water quality.
4. There is commendable progress towards achievement of expected results at output level, which have potential to significantly impact quality and effectiveness of water service delivery.
5. The JP does not have a clearly defined strategy and plan for ensuring that LGUs will access the funding necessary to build infrastructure.
6. The Government seconded its staff to the JP who continue to be based in the respective departments, which ensures that institutional capacity is developed and there is ownership of the process and results as well as sustainability of the JP.
7. While engagement of civil society and private sector needs to be strengthened, the JP has developed good practice in bottom-up participation processes for planning and implementation of water delivery at the community level.
8. Some of the output indicators do not sufficiently measure changes in results

56. The following lessons are drawn from the observations and key findings of the MTE:

***Lesson # 1: Water governance issues, including the policy, operational and institutional dimensions need to be mainstreamed at all levels.***

57. Due to the fact that water is an essential basic necessity and a priority for people across all social strata, there may be a tendency towards populist approaches aimed at gaining

political support by the LGUs as the main service providers. This not only raises unrealistic expectations among the populace, but also leads to unsustainable water service delivery as demonstrated by the example of barangay San Vicente where the LGU campaigned on a ticket that they would abolish water tariffs if elected. To avoid misleading the population with unrealistic expectations, it is important that water governance issues, including the policy, operational and institutional dimensions are mainstreamed at all levels. This will help to ensure that beneficiaries become aware that although they have a right to access safe drinking water, the provision of the service comes at a cost for which they are responsible as consumers.

***Lesson # 2: Sustainable water service delivery requires building broader partnership of stakeholders including donors, private sector and civil society.***

58. The ultimate impact of the programme will be assessed on whether or not access to, and provision of safe water has been enhanced to the waterless communities, especially to the most vulnerable (those most prone to droughts) and disadvantaged (poverty stricken) communities. By their very nature, these are communities to which service delivery is the most difficult due to several factors, including social, economic and environmental. Effective and sustainable basic service delivery therefore requires development of a broad partnership and coordinated approach by all development actors including government, donor organisations, private sector and civil society.

***Lesson # 3: Developing synergies between UN programmes can help to address the challenges of governance in the water sector holistically.***

59. Access to water is more than just a convenience, but also affects other essential human development issues such as prevention of diseases, maternal and child health. In a broader sense, access to safe water also involves the management of water resources in the wider context of environment and natural resources, which also has a direct effect on food security, nutrition and other environment issues. Ensuring sustainable access to safe drinking water therefore requires a multi-sectoral approach which provides linkages and synergies with other programmes such as health, sanitation, climate change and natural resources management.

## 6. RECOMMENDATIONS

60. Based on analysis of the key findings and lessons learnt, the MTE makes the following recommendations:

### Strengthen governance and policy issues.

61. **Recommendation 1.** The JP should develop initiatives to engage the Government and support policy reforms leading to establishment of a single authority for the water sector.

**Key issues from findings:** The major institutional constraints facing the water sector in the Philippines is the absence of a unitary water authority, which manifests in fragmented and uncoordinated implementation of government policies and strategies by multiple agencies. The JP does not address this issue directly, because it is considered too big a challenge to be addressed within the programme timeframe. However, this is central to addressing water governance and as such should be integral to the programme. The JP should consider the following approaches:

- (1) Establish linkages with other UN agency programmes that target Public Sector Reform.
- (2) Strengthen capacity of the Association of Local Government Authorities for advocacy in legislative reforms that affect the Local Government Act.

### Strengthen programme implementation.

62. **Recommendation 2.** UN agencies should harmonise operational and reporting procedures to minimize delays.

**Key issues from findings:** The JP develops its overall AWP based on the government's fiscal year, which runs from July to June. UNDP requires a separate AWP based on the calendar year to be submitted before release of funds to the JP. UN agencies do not have a harmonised oversight system - UNDP conducts annual audits while UNICEF only conducts periodic and random spot checks. The partner UN agencies should agree common operations and oversight procedures; possibly based on UNDP system as the Administrative Agency.

63. **Recommendation 3.** The JP should fast track the activities for Outcome 2 that have lagged behind; particularly (a) completion of the baseline studies, and (b) role out of the communication plan at the local level.

**Key issues from findings:** Some interventions were started before completion of baseline data, thereby increasing risk that interventions may be off the mark. In addition, roll-out of the IEC plan at local level was delayed, resulting in some communities developing unrealistic expectations for the JP results.

64. **Recommendation 4.** The JP should strengthen the output indicators so that they can more efficiently measure performance and changes in the results.

**Key issues from findings:** There is a general tendency towards quantitative indicators, even when qualitative indicators would be more appropriate. UN agencies should consider establishing a Working Group of M&E officers to review and develop appropriate indicators.

**Develop partnerships and linkages with other UN programmes.**

65. **Recommendation 5.** The JP should develop a broad-based partnership to engage other stakeholders, particularly (a) donor organisations and the private sector to provide funding and investments in water delivery infrastructure, and (b) civil society to strengthen advocacy with government for resource allocations and accountability.

**Key issues from findings:** Improved access to safe drinking water cannot be achieved by ‘soft’ assistance alone without providing the necessary infrastructure. LGU funding relies heavily on the national budget, which is subject to changing priorities. Targeted initiatives for sourcing alternative financing are therefore central to the success of the JP.

66. **Recommendation 6.** The JP should develop and strengthen linkages with other UN agency programmes that have an effect on water resources management such as environment, climate change, sanitation and pollution.

**Key issues from findings:** Access to water affects other essential human development issues such as prevention of diseases, maternal and child health; and therefore requires a multi-sectoral approach which provides linkages and synergies with other UN agency programmes such as health, sanitation, climate change and natural resources management

## Annex 1: Documents Reviewed

DILG (2010), Capacity Assessment Report  
DILG (2010), Memorandum of Agreement  
GOP (2010), Philippine Water Sector Road Map  
GOP (2008) Presidential Priority Programme on Water: Evaluation Study  
MDGF 1919 (2011), NG-LGU Cost-Sharing Policy for Water Supply and Sanitation: Draft Report  
MDGF 1919 (2011), Incentive Mechanisms and Partnership Modalities: Draft Report  
MDGF 1919 (2011), Draft Baseline Survey Report: Municipality of Titay  
MDGF 1919 (2011), Final Report and Final Mentoring Module for On-site Skills and Knowledge Sharing  
MDGF 1919 (2010), Localised Customer Service Code of Marapange Barangay  
MDGF 1919 (2010), Localised Customer Service Code for Barangay Itok Water System Association  
MDGF 1919 (2010), Localised Customer Service Code for Barangay New Nongnongan Water System Association  
MDGF 1919 (2010), Strategic Communications Plan  
MDGF 1919; Towards an Efficient and Equitable Programme to Provide Water Access to Waterless Municipalities in the Philippines  
MDGF 1919 (2010), Assessment Report on Effective Mentoring Practices  
UNDP (2010), Spot Check report for MDGF 1919; 4 October 2010  
MDGF (2009); Project Document for MDGF 1919

## Annex 2: INDIVIDUALS CONSULTED

1. Andallaza, T.D.	Kagawad	Barangay New Nongnongan
2. Andoy, L.	Municipal Engineer	Dangcagan Municipality
3. Ariques, M.	Chairperson	Barangay San Vicente
4. Ayuban, E.F.	Mayor	Dangcagan Municipality
5. Banluta, F.	Outcome Officer (Outcome 2)	DILG
6. Borbe, D.	Outcome Officer (Outcome 1)	NEDA
7. Canlas, F.C.	Communications Specialist	MDGF 1919
8. Dandasan, F.A.	Vice Mayor	Dangcagan Municipality
9. Daug, L.	Treasurer	Barangay San Vicente
10. Delfin, T.	Reference Group	DILG
11. Gaid, P.S.	WATSAN Council Member	Municipality of Don Carlos
12. Gascon, J.	Project Focal Person	DILG
13. Grieve, T.	Chief, WASH	UNICEF
14. Guiwanon, P.	Committee on Infrastructure	Barangay San Vicente
15. Juarez, B.		NWRB
16. Labrador, F.	WATSAN Member	Dangcagan Municipality
17. Lacorte, J.A.	Barangay Captain	Barangay New Nongnongan
18. Lorenzo, R.	Project Focal Person	NEDA
19. Mangune, K.	Project Manager	NEDA
20. Masood, H.	Planning, M&E Specialist	UNICEF
21. Meyer, R.	Country Director	UNDP
22. Molde, S.	Kagawad	Barangay New Nongnongan
23. Morica, F.	WATSAN Council Member	Dangcagan
	Municipality	
24. Nocum, M.	Reference Group	DILG
25. Ontanillas-Pizarro, V.	Mayor	Municipality of Don Carlos
26. Pacampara, M.	Planning and Development Officer	Dangcagan Municipality
27. Panadero, A.	Under Secretary	Local Government Academy
28. Planta, R.	Programme Coordinator	NEDA
29. Ramos, J.	Jr. Project Officer	DILG
30. Reyes, P.	Reference Group	NEDA
31. Rodriguez, A.	Social Policy Specialist	UNICEF
32. Santos, N.	Deputy Executive Director	NWRB
33. Saron, A.	Kagawad	Barangay New Nongnongan
34. Sarte, T.	President Senior Citizens	Barangay San Vicente
35. Tamboy, M.	Youth Chairperson	Barangay San Vicente

**ANNEX 3: MTE IN-COUNTRY SCHEDULE**

<b>TUESDAY: 01 MARCH 2011</b>	
11.00 am	Arrival in Manila
13.00 – 14.00	Preliminary briefing and discussion with Programme Coordinator
14.00 – 16.00	Kick-off meeting with Reference Group
<b>WEDNESDAY: 02 MARCH 2011</b>	
10.00 – 12.00	Meeting with UNICEF Programme Staff and Project Focal Persons
14.00 – 16.00	Focus Group Discussions with Focal persons from Government Counterparts
<b>THURSDAY: 03 MARCH 2011</b>	
10.00 – 11.00	Meeting with Officials of NWRB
13.00 – 16.00	Focus group Discussions with Focal Persons from DILG
<b>FRIDAY: 04 MARCH 2011</b>	
10.00 – 12.00	Focus Group Discussions with Project Focal Persons in NEDA
14.00 – 15.00	Meeting with Project Operations and Finance team (NEDA/DILG)
15.00 – 16.00	Meeting with Communications Specialist
<b>SUNDAY: 06 MARCH 2011</b>	
	Travel to Region 10 – Bukidnon
<b>MONDAY: 07 MARCH 2011</b>	
09.00 – 12.00	Meeting with Municipal Official (Don Carlos Municipality)
14.00 – 17.00	FGD with Barangay officials and Beneficiaries (New Nongnongan)
<b>TUESDAY 08 MARCH 2011</b>	
09.00 – 12.00	Meeting with Municipal Official (Don Cargan Municipality)
14.00 – 17.00	FGD with Barangay officials and Beneficiaries (San Vincente)
<b>WEDNESDAY 09 MARCH 2011</b>	
08.00 – 10.00	Travel back to Manila
13.30 – 14.30	Meeting with Under Secretary LGA
15.00 – 16.00	Meeting with UNDP Country Director
<b>THURSDAY 10 MARCH 2011</b>	
	Spare
<b>FRIDAY 11 MARCH 2011</b>	
11.00 – 12.30	Debrief Reference Group on Preliminary Findings
<b>SATURDAY 12 MARCH 2011</b>	
	End of Mission

## ANNEX 4: Status of Output Indicators

<b>Outcome 1:</b> Investment support mechanisms established for poor communities/municipalities to improve efficiency, access, affordability and quality of potable water		
<b>Indicator</b>	<b>Baseline</b>	<b>Current status of indicators</b>
# of executive policy issuances		
% increase over baseline in investments in poor communities/municipalities in the provision/improvement of water supply services	Data to be determined at start up  Baseline data not established.	No investments have been made to date
<b>Output 1.1.</b> Incentives mechanisms and partnership modalities developed and enhanced for investments in waterless and poor communities.		
# of policy issuance(s) for use of the schemes	To be determined at start up  Baseline data not established.	Final draft report submitted in January 2011. J-TWG to endorse and make recommendations to Committee on Infrastructure.
<b>Output 1.2.1.</b> National Government-Local Units cost sharing arrangement for water and sanitation provision for poor municipalities reformulated and adopted.		
# of executive issuances for cost sharing arrangement adopted	Current cost sharing arrangement based on LGU income class only	Final draft report endorsed by Sub Committee on Water Resources in February 2011
<b>Output 1.2.2.</b> Programming policies of the P3W reviewed and amended and adopted		
# of guidelines for programming and implementation	Current implementing guidelines available	Final draft report endorsed by Sub Committee on Water Resources in February 2011
<b>Output 1.3.</b> WATSAN councils and water user associations formed/organised with increased partnership and membership especially among women		
# of water user associations organised	To be determined at start up Baseline survey ongoing	Ongoing on track
<b>Output 1.4.</b> Tariff-setting methodology adjusted for small scale water service providers		
# of tariff-setting methodology revised	Current methodology available	Final draft report reviewed by the J-TWG. Pending review by Sub Committee on Water Resources
<b>OUTCOME 2:</b> Enhanced capacities of LGUs and WSPs to develop, operate and manage potable water services		
<b>Indicator</b>	<b>Baseline</b>	<b>Current state of indicator</b>
% increase over baseline in the level of competency of LGUs and WSPs to develop, operate and manage water services	To be determined at start up  Baseline data collection ongoing.	Baseline data collection ongoing.  Not clear if the baseline will specifically assess competency.
<b>Output 2.1.1.</b> Mentoring mechanisms institutionalised for skills and knowledge transfer/sharing		
# of modules for mentoring	No available guidelines	Draft guideline submitted in

		March 2011. Requires a qualitative indicator.
<b>Output 2.1.2.</b> WATSAN toolbox implemented		
# of LGUs trained		Indicator should measure number of LGUs effectively implementing the toolbox
# of user associations trained		As above
% increase in competences of LGUs and user associations with implementation of toolbox	Baseline not established	Not clear what criteria will be used to assess competency of LGUs and associations
<b>Output 2.2.</b> Improved sector plans formulated and monitoring mechanisms established		
# of MW4SPs formulated	No MW4SPs	No evidence obtained of and specific water plans in the Municipalities visited. Should also measure quality of plans.
# of monitoring systems established		Not yet implemented.
<b>Output 2.3.</b> Localised Customer service Code(s) based on the framework for service delivery developed and adopted		
% increase over baseline in the level of satisfaction of customers	Baseline not established	Not clear how the level of satisfaction will be measured.
# of customer service code formulated		Localised customer service codes were developed to be launched on World Water Day
<b>Output 2.4.</b> Advocacy and awareness raised of LGUs and WSPs and communities on (a) WSP responsibilities, (b) customer service code, (c) KPIs and standards, (d) tariff setting and regulation, (e) management and operations options/alternatives, and (f) sanitation		
% increase over baseline of target clientele (LGUs WSP, communities)	To be determined at start up  Baseline surveys ongoing	The indicator is not very clear.  Communication plan implemented at national level.  Communication plan not rolled out at local level

## ANNEX 5: REVISED FRAMEWORK AND INDICATORS

<b><i>Narrative Summary</i></b>	<b><i>Baseline</i></b>	<b><i>Objectively Verifiable Indicators (OVIs)</i></b>	<b><i>Current Status</i></b>
<p><u>Impact</u></p> <p>Increased in the number of households with access to quality potable water</p>	<p>Based on initial findings of the baseline survey, 63% HH of the target 36 municipalities remain unserved/or do not have access to water, and resort to open sources which are not guaranteed to be safe</p>	<p>By 2015, there will be an:</p> <ol style="list-style-type: none"> <li>1. Increase in the number of households with access to safe drinking water in the 36 waterless municipalities</li> <li>2. Increase in ratio or percentage of households with access to safe drinking water in the 36 waterless municipalities</li> </ol>	<p>No measurable results yet</p>
<p><u>Outcome</u></p> <p>Increased capacities of LGUs and WSPs to develop, operate and manage potable water services</p>	<p>Existing capacities of LGUs, WSPs and user associations in the management and operations of water services are low</p>	<ol style="list-style-type: none"> <li>1. Increase investments (PhP) and in number of water projects in the 36 waterless municipalities by 2012</li> <li>2. WSPs meet the standard for quality of drinking water</li> <li>3. Increase customer satisfaction on services by WSPs</li> <li>4. Increase in the number of WSPs generate net income</li> </ol>	<p>Memorandum of Agreement (MOA) between DILG, DOH and NAPC signed for the prioritization of the 36 LGUs. The ICRC is also considering additional investments in the conflict-affected LGUs among the 36. Exact amount of investment will depend on the project preparation to be undertaken under the capacity building rollout and MW4SP formulation.</p> <p>Capacity building rollout not yet started.</p> <p>Capacity building rollout not started.</p> <p>Capacity building rollout not started.</p>
<p><u>Intermediate Results</u></p> <p>Increased in the</p>	<p>Initial findings of the</p>	<ol style="list-style-type: none"> <li>1. Percentage increase in</li> </ol>	<p>Capacity building rollout not</p>

<p>competency of LGUs, WSPs, water user associations and communities on the operations and management of water supply services</p>	<p>baseline survey confirm that LGUs and WSPs and communities' capacities are low based on performance ratings on organization, leadership, management functions and processes, resource management, among others</p>	<p>capacities of LGUs and WSPs, water user associations and community on the operations and management of water supply services.</p> <p>2. Number of LGUs, WSPs, Water User Associations and communities trained based on capacity assessment</p> <p>3. Number and types of training programs provided to WSPs and barangay-level LGUs by the LGU-WATSAN</p>	<p>started.</p> <p>Capacity building rollout not started</p> <p>Capacity building rollout not started.</p>
<p><u>Output 1</u> Established investment support mechanisms</p> <p><b>1.1</b> Incentives mechanisms and partnership modalities developed</p> <p><b>1.2</b> Financing and programming policies developed</p> <p><b>1.2.1.</b> National Government and Local Government Unit (NGLGU) Cost Sharing</p> <p><b>1.2.2.</b> P3W Guidelines</p>	<ul style="list-style-type: none"> <li>- No existing consolidation of incentives and partnerships]</li> <li>- Existing partnership modalities focused on big water service providers</li> <li>- 1 existing NG-LGU cost-sharing based on LGU income classification</li> <li>- 1 existing set of guidelines</li> <li>- No existing WATSAN Councils and water user</li> </ul>	<p><b>1.1.a.</b> # of compendium on incentives and partnerships</p> <p><b>1.1.b.</b> # of report on design schemes and modalities</p> <p><b>1.1.c.</b> # of executive issuance and/or resolutions from approving bodies</p> <p><b>1.2.1.a.</b> # of national scheme for cost sharing</p> <p><b>1.2.1.b.</b> # of executive issuance and/or resolutions from approving bodies</p> <p><b>1.2.2.a.</b> # of assessment report</p> <p><b>1.2.2.b.</b> # of revised guidelines</p> <p><b>1.3.a</b> # WATSAN councils</p>	<p>Compendium of incentives and partnerships modalities available, and waiting final approval by the INFRACOM before incorporation into the MW4SPs.</p> <p>Scheme available and awaiting final approval by INFRACOM and other approving bodies.</p> <p>Guidelines available and awaiting final approval by INFRACOM for adoption by implementing agencies.</p>

<p><b>1.3</b> WATSAN councils and water user associations formed with increased participation and membership among women</p> <p><b>1.4</b> Tariff setting methodology adjusted</p>	<p>associations organized in the 36 municipalities</p> <ul style="list-style-type: none"> <li>- Existing 5-year tariff setting methodology for bigger water service providers</li> </ul>	<p>organized</p> <p><b>1.3.b</b> # users associations organized in 36 municipalities by 2011</p> <p><b>1.3.c.</b> # of baseline data report</p> <p><b>1.4.a.</b> # of tariff setting methodology by 2011</p>	<p>36 WATSAN Councils organized.</p> <p>Methodology available and awaiting final approval by INFRACOM and NWRB.</p>
<p><u>Output 2</u> Enhanced local capacities to develop, operate and manage utilities</p> <p><b>2.1</b> Capacities at the local level strengthened</p> <p><b>2.1.1</b> Mentoring</p> <p><b>2.1.2</b> WATSAN toolbox implemented</p>	<ul style="list-style-type: none"> <li>- Undocumented mentoring practices among water service providers</li> <li>- No existing information on the specific needs and requirements of LGUs, user associations, and WSPs for capacity development assistance on water and sanitation</li> <li>- No existing mentoring module based on capacity needs and requirements by LGUs, WSPs, and user associations on watsan</li> <li>- Available WATSAN toolbox is not responsive to the specific needs and requirements of LGUs, WSPs, and user</li> </ul>	<p><b>2.1.1.a.</b> # of assessment report on effective mentoring practices and practitioners</p> <p><b>2.1.1.b.</b> # of assessment reports</p> <p><b>2.1.1.c.</b> # of mentoring module</p> <p><b>2.1.2.a</b> # of LGUs and WSPs trained</p> <p><b>2.1.2.b.</b> # of user associations</p>	<p>Assessment of mentoring effective mentoring practices and practitioners completed. Godparent scheme recommended for adoption. Needs assessment for 36 municipalities undertaken.</p> <p>Capacity building rollout not started.</p>

<p><b>2.2</b> Improved sector plans formulated and monitoring mechanisms established</p> <p><b>2.3</b> Localized customer service code based on the service code delivery developed and adopted</p> <p><b>2.4</b> Advocacy and awareness raised of LGUs, WSPs, and community on a) WSP responsibilities; b) customer service code; c) KPIs and standards; d) tariff setting and regulation; e) management and operations options/ alternatives; and f) sanitation</p>	<p>associations</p> <ul style="list-style-type: none"> <li>- No existing local (municipal) plans to develop, implement and harmonize efforts on water and sanitation at the LGU level</li> <li>- Monitoring systems on water and sanitation remain project specific and data collection is periodic and largely limited to no. of WATSAN facilities</li> <li>- No existing customer service code for areas outside of Metro Manila</li> <li>- No available localized and unified communication plan/program to promote and advocate water and sanitation issues and concerns</li> </ul>	<p>trained</p> <p><b>2.1.2.c.</b> # of modules developed</p> <p><b>2.2.a.</b> # of MW4SPS formulated</p> <p><b>2.2.b.</b> # of monitoring systems established</p> <p><b>2.3.</b> # of Localised Customer Service Codes developed and adopted</p> <p><b>2.4.a.</b> # of IEC plan formulated</p> <p><b>2.4.b.</b> # of stakeholders informed on critical issues of water service provision</p> <p><b>2.4.c.</b> # of stakeholders informed on sanitary practices (zero open defecation and hand washing)</p>	<p>MW4SP formulation not started.</p> <p>10 LCSC developed</p> <p>1 National Information, Education and communication (IEC) Plan formulated. 36 Local IEC plans developed. National IEC activities raised public awareness on the struggles of people without access to potable water. Media engaged to drum up noise.</p>
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## **ANNEX 6: TERMS OF REFERENCE**

### **GENERAL TERMS OF REFERENCE FOR MDG-F MID-TERM EVALUATIONS**

#### **Background and Context: The MDG-F XX XXXX XXXX Window**

In December 2006, UNDP and the Government of Spain signed a major agreement of €528 million that will provide, through the UN development system, support to programmes oriented towards key MDG and related development goals. In addition, Spain committed \$90 million directed to launch a new window on Children and Nutrition. The Millennium Development Achievement Fund (MDG-F) seeks to accelerate progress towards attainment of the MDGs in participating countries by supporting policies that promise high impact, scaling-up of successful models, and innovative development practices.

The Fund operates through the UN Country Teams and actively strives to strengthen inter-agency coherence and effectiveness with regards to development interventions. The MDG-F uses joint programming as the main form of development intervention in the field. Currently, 128 joint programmes in 50 countries on 8 different thematic windows that contribute to progress on the attainment of the MDGs.

#### **Description of the Window**

##### **Description of beneficiaries targeted by the window**

**The following section should be provided by the reference group of the evaluation (Programme Management Committee)**

- The description of the joint programme that is being evaluated by providing its name, its purpose and objectives, its duration and how it was initiated, who it is intended to benefit, what outcomes or outputs it is intended to achieve, its contribution to MDGs at local and national level, the duration of the intervention and its implementation status within that time frame.
- The description of the scale and complexity of the intervention, including, for example, the number of the Programme components, if more than one, and a description of the beneficiaries each component is intended to reach, both directly and indirectly. The geographic context and boundaries, such as the region, country, landscape and challenges must also be indicated where relevant.
- The total of resources required for the intervention, from human resources to budget estimation of funds coming from UNDP, donors and other contributions. Key partners involved in the intervention, including the implementing agencies and partners (UN, National and Local Governments, other key stakeholders) as well as their interest concerns and the relevance for the evaluation.

- The changes observed since the beginning of implementation and their contributing factors. How the programme fits into the partner government's strategies and priorities; international, regional or country development goals.

## 2. EVALUATION PURPOSE

As one of the Secretariat functions the MDG-F has developed a Monitoring and Evaluation strategy for the Fund: the MGD-F Programme Implementation Guidelines and the Monitoring and Evaluation Strategy "Learning to Improve". Both documents prescribe mid-term evaluations for all joint programmes lasting more than 2 years.

Mid-term evaluations are formative by nature and seek to improve the implementation process of joint programmes in their second phase. They also generate knowledge, identify good practice and lessons learned that can be transferred to other programmes and contribute to a higher level of information in the M&E system. Therefore, findings and recommendations from these evaluations are specifically directed to the Programme Management Committee, the National Steering Committee and the MDG-F Secretariat.

## 3. EVALUATION SCOPE AND SPECIFIC OBJECTIVES

**The usual rapid mid-term evaluation** will consist of a systematic and swift analysis of the merit of a joint program based on the scope and criteria enclosed in this TOR through a reliable evidence-based yet abbreviated and light process. This will enable to obtain conclusions and recommendations in a period of approximately 3 months.

**The unit of analysis** of this mid-term evaluation is **the joint programme** defined as the group of its various components, outcomes, outputs and activities as reflected in the joint programme document as well as subsequent modification and alterations occurred during its implementation.

This mid-term evaluation has the following specific objectives:

1. To know about the quality of the design and the internal coherence of the joint programme (the needs it seeks to fulfil and the problems that it intends to solve), the external coherence to the UNDAF and National development Strategies and up to what extent national ownership is present in the implementation of joint programmes according to the terms defined by the Paris Declaration and Accra Action Agenda.
2. To know about the implementation of the joint programme, the efficiency of the management system with regards to planning, coordination, and use of the designated resources for its implementation. The evaluator should start by analyzing the processes and institutional mechanisms that allow identifying success factors and limitations of inter-agency work within the frame of One UN.
3. To know about the degree of effectiveness of the programme in terms of; beneficiaries, contribution to the thematic window as well as to the Millennium Development Objectives at local level and/or in the country.

4. Preliminary assessment of the sustainability context including the JP outcomes as well as barriers and counter-measures in order to ensure sustainability

## 5. EVALUATION QUESTIONS, EVALUATION CRITERIA AND LEVELS OR INFORMATION

The main users of the evaluation and specifically the management team and the management programme committee are responsible for contributing to this section. It is possible to add new criteria and evaluation questions within a reasonable extend, taking into account the feasibility and constraints (resources, time, etc) of a rapid and swift evaluation exercise.

The evaluation questions define the information that the evaluation will generate. These questions are grouped under the different criteria the evaluator will use to respond to them (relevance, efficiency, effectiveness, ownership, sustainability, etc). Consequently, these criteria are grouped into the 3 level of the joint programme (design, implementation and results)

### **Design:**

- **Relevance:** The extent to how coherent the objectives of the development intervention are with regards to the beneficiaries' problems, the needs of the country, the global priorities and the other partners and donors.
  - a) Were problems and their causes (environmental and human) clearly defined?
  - b) Is the joint programme the best answer to solve the most relevant environmental problems and socioeconomic needs of the targeted population? Does it cover and reach intended beneficiaries?
  - c) Is the intervention strategy well adapted to the socio-cultural context where it's being implemented?
  - d) To what extent has the MDG-F Secretariat contributed to a better formulation of programmes
- **Ownership:** Social stakeholders in the country undertake effective leadership over development interventions
  - a) To what extent the objectives and intervention strategies of the joint programme are aligned to the National, Regional or local development strategies?
  - b) To what extent has the opinion and interests of national, local authorities, citizens and other stakeholders been taken into account in designing the development intervention?

### **Process**

- **Efficiency:** The extent to what resources/inputs (financial, human, etc) have been transformed in outputs
  - a) To what extent does the management structure of the joint programme (organizational structure, information flows, decision making, etc) contribute to generate planned outputs and outcomes?

- b) To what extent are participating agencies coordinating among them and with the national counterparts (government and civil society).
  - c) Are there effective and efficient coordination mechanisms in place to avoid overlaps and work overloads of partners and participants?
  - d) Are different implementation paces in the joint programmes a problem for delivering results?
  - e) Are different working methodologies, financial instruments, etc shared among United Nations agencies and joint programmes?
  - f) According to the context: Have the effective and best measures been adopted to solve the social/environmental problem?
  - **Ownership:** Social stakeholders in the country undertake effective leadership on development interventions.
- 
- a) To what extent the targeted population and participants have taken ownership of the joint programme by playing a leadership role?
  - b) To what extent national and counterpart resources (public and private) have been mobilized to contribute to the objective of generating results and impacts?

## Results

- **Effectiveness:** the extent to what planned objectives of the development intervention have been achieved
- 
- a) Is the programme progressing towards the attainment of the established outcomes?
    - a. To what extent and in what ways is the joint programme contributing to the Millennium Development Objectives at local a national level?
    - b. To what extent and in what ways is the joint programme contributing to the objectives established in the Environment and Climate Change Window?
  - b) Is the programme on track according to the calendars of delivery?
  - c) Are outputs of the needed quality?
  - d) Is the joint programme covering the number of beneficiaries planned?
  - e) What are the elements that contribute to progress or delay in the implementation process and the attainment of results?
  - f) To what extent has the programme contributed by innovative solutions to solve problems?
  - g) Have good practices or lessons learn been identified?
  - h) To what extent have behaviours and/or root causes of the environmental problems been changed?
  - i) To what extent has the joint programme contributed to provide visibility and prioritized in the public policy of the country?
  - j) To what extent and what type of effects is the joint programme producing in men, women and other differential categories of beneficiaries? (Rural versus urban population, etc)

**Sustainability:** The probability of continued long-term benefits. The resilience to risk of the net benefit flows over time.

Are conditions and premises for sustainability of the joint programme taking place?

**Country**

- a) What good practices and lessons learned would be useful for other joint programmes or other countries?
- b) To what extent and in what ways are the joint programmes contributing to progress in United Nations reform?
- c) How are Aid Effectiveness principles (ownership, alignment, management for development results and mutual responsibility) taken into account in the joint programme?

## 5. METHODOLOGY

The Mid-term evaluations will use the appropriate methodologies to meet specific requirements on the information, the evaluation questions defined in TOR, the availability of resources and the priorities decided in the reference group of the evaluation. In any case, consultants are required to analyze all relevant sources of information such as annual reports, programme documents, internal reports and summaries, programme archives, national development documents and whatever documents that can outline evidence to assess the worth of the different dimension of analysis. It is expected that consultants will also use interviews as a form of relevant data collection for the evaluation.

The methodology of the evaluation will be described in detail in the inception report and the final report of the evaluation. At a minimum, this will include information in the instruments and tools used to collect information and analyze data (documents, interviews, field visits, questionnaires, participatory techniques, etc)

## 6. EVALUATION PRODUCTS

The consultant is responsible to deliver the following products to the MDG-F Secretariat:

**Inception report** (it will be delivered 7 days after the Secretariat hands in to the consultant all documents related to the programme)

The consultants will deliver the inception reports (with a minimum of 5 to maximum of 10 pages) based on desk reviews of documents and archive data. The report will include a calendar of activities and delivery of products. The inception report will propose an initial draft of the Theory of Change of the programmes as a benchmark for comparison during the evaluation and as common start point of agreement between the consultant and the managers of the evaluation.

**Draft of the Final Report** (it will be delivered 10 days after the consultant finalizes the field visit)

The consultant will deliver a draft of the final evaluation report with the same sections as the final report (below). This draft report will include a minimum of 20 to a maximum of 30 pages and an executive summary of 5 pages with the same sections of the final report. This report will be shared with the reference group of the evaluation for questions, suggestions, and further contributions, etc.

**Final Evaluation Report** (it will be delivered 7 days after the consultant receives the draft report with suggestions and comments from the reference group and the MDG-F Secretariat)

The consultant will deliver a draft of the final evaluation report with the same sections as the final report (with a minimum of 20 to a maximum of 30 pages). This report will be shared with the reference group of the evaluation for communication and dissemination and advisory purposes. The report will comprise the following sections:

1. Cover
2. Introduction
  - a. Premises, Context, objectives and methodology
  - b. Objective of the evaluation
  - c. Methodology applied
  - d. Limitations and caveats of the evaluation
3. Description of the development intervention
  - a. Initial conditions of the intervention
  - b. Detailed description of the Theory of Change of the programme
4. Level of analysis: Evaluation Criteria and Evaluation Questions
5. Findings, remarks and lessons learnt (in a prioritized, structured and clear fashion)
6. Recommendations
7. Annexes

## 7. CONSULTANT REQUIREMENTS

The consultant is hired by the MDG-F Secretariat from a selected group of consultants that applied to the MDG-F roster for evaluation consultants. At a minimum they will comply with the following requirements.

### **Education:**

- A master degree on international development, public policy, social science, engineering or related field. Further education or a concentration in evaluation would be an asset.

### **Experience:**

- At least 7 years of recognize expertise in conducting, project, programme, and thematic or country evaluations.

### **Required Skills**

- Conceptual thinking and analytical skills

### **Language skills:**

- Proficiency in English (written and spoken) is essential. Spanish and French will be a requirement depending on the countries where the assignments will take place.

**Knowledge on:**

- MDGs, Development Effectiveness (Paris Declaration, Accra Agenda for Action) United Nations and other Multilateral Development Actors as well as bilateral donor processes and interventions.
- Evaluation experiences and knowledge within United Nations system will be considered an asset;
- Evaluation experiences and knowledge on countries where MDG-F operates will be considered an asset providing that the independence of the evaluator is not compromised
- Excellent communication skills
- Computer proficiency;
- One of the MDG-F thematic windows

**Corporate Competencies**

- Demonstrates integrity by modelling the UN's values and ethical standards.
- Promotes the vision, mission, and strategic goals of UNDP.
- Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability.

## **8. PRINCIPLES AND ETHICAL PREMISES FOR THE EVALUATION**

The mid-term evaluation will be carried out in accordance to the principles and ethic standars set forth by the United Nations Evaluation Group

## **9. EVALUATION ACTORS: ROLES AND RESPONSABILITIES**

The main actors in a mid-term evaluation process are the MDG-F Secretariat as commissioner and evaluation manager, the joint programme management team and the Programme Management Committee that will function as the reference group for the evaluation.

- The reference group of the evaluation will have the following functions:
- Facilitate the participation among the various stakeholders during the design phase of the evaluation
- Identify the information needs, the definition of objectives and the scope of the evaluation.
- Express an opinion on the evaluation planning documents ( working plan, agenda of the field visit, communication plan, etc)
- Contribute by inputs for the drafting of the evaluation TOR
- Grant the evaluation team access to all relevant information and documents from the intervention as well as to key informants to interview; participate in a focus group or any other collection method of data and information.
- Review the quality of the evaluation process as well as the products to enrich, to contribute, as well as to ensure that their information needs on the development intervention are met.

- Disseminate evaluation findings and recommendations especially among the organization with the same interests.

As stated in its mandate The MDG-F Secretariat commissions and manages mid-term evaluation by promoting and financing its execution. As evaluation manager the Secretariat ensures a timely and high quality exercise by leading the design of TOR, coordinating and overseeing progress of the evaluation work plan and assessing the quality of the process and products. The Secretariat is also responsible for communicating and disseminating findings and recommendation to evaluation stakeholders.

## **10. CALENDAR FOR THE MID-TERM EVALUATION**

### **A. Design Phase (Duration: 10 days)**

The portfolio managers of the Secretariat will send to the Evaluation focal point in the country (manager of the joint programme, coordination officer, etc) a template of a generic TOR for the specific window the joint programme is being financed. The reference group of the evaluation will adapt the TOR to their specific information needs and context of the programme and the country. All MDG-F joint programmes mid-term evaluations will share a set of the same questions in order to aggregate and contribute to show evidence for higher levels of information of the Fund.

The Secretariat and the reference group of the evaluation will start a dialogue to complete the dimensions of study and the evaluation questions that not addressed in the generic TOR, either are insufficient or irrelevant to the specific joint programme.

1. TOR is finished and the Secretariat hires a consultant selected from the MDG-F roster.
2. Each portfolio manager is in charge of managing the evaluation with 2 main functions:

Facilitate the work of the consultant by acting as a main communication channel among the evaluation stakeholders (reference group, stakeholders in the country, etc); review and ensure of the quality of the evaluation products (reports and documents)

### **B. Implementation phase (duration 53-55 days)**

#### **Inception report (Duration: 15 days)**

1. Briefing with the consultant (**1 day**). The Secretariat hand the consultant a check list of activities and documents to review. The evaluation process is explained and all questions sorted out.
2. The consultant reviews the documents as listed in the annex and the check list (financial documents, programme document, monitoring reports, etc)
3. The consultant delivers a brief inception report with preliminary conclusions, on the programme's theory of change based on the desk reviewed performed. This document will

also include a detailed work plan (per activity) to carry out the evaluation. (7 days after the Secretariat hands in to the consultant all document related to the programme)

4. The portfolio manager of the Secretariat prepares an agenda for a field visit jointly with the evaluation focal point in the country (interviews, focus groups, document review, visit UN agencies) **(7 days after the Secretariat receives the inception report)**

#### **Field Visit (Duration 5-7 days)**

1. The consultant travels to the country to observe and contrast the preliminary conclusions stated in the inception report. The agenda establishes the visit in the country and the Secretariat facilitates the consultant's visit through e-mails, telephonic calls and coordination arrangements and the evaluation focal point in the country.
2. The consultant will have a debriefing session with the main stakeholders with whom he has interacted.

#### **Final report (Duration 31 days)**

1. The consultant delivers a draft of the final report to the Secretariat that is shared with the reference group of the evaluation (10 days from the day the field visit finalizes).
2. The reference group of the evaluation could suggest changes in data or facts that do not reflect the reality or are incorrect based on evidence that can be contrasted. The evaluator fully exercises its independence; she/he will be the only responsible for the changes in the text of the report. The Secretariat is also entitled to suggest changes to the report in order to ensure quality and reliability of the evaluation exercise **(7 days from the delivery of the final report)**

The reference group of the evaluation can also express its opinion on the different evaluation judgments but these opinions cannot affect the independent judgement of the evaluator to express his/her evidence-based appreciations, findings and recommendations on the programme.

3. The portfolio managers assess the quality of the evaluation report by applying the criteria established in this TOR (included as annex)
4. Once the reference group of the evaluation finishes its contribution and suggestions to the report. The consultant decides which ones will integrate the report and discard the rest by explaining why. The portfolio manager reviews the final copy of the evaluation report that officially sends it to the evaluation reference group, relevant stakeholders and published online. **(7 days from the day the reference group sends their comments on the report)**

#### **C. Management response and improvement plan: (7 days after the report is delivered to the reference group)**

1. The portfolio manager of the Secretariat initiates a dialogue with the joint programme management to establish an improvement plan that incorporates the recommendations from the mid-term evaluation.

2. The portfolio manager also agrees to a simple dissemination and communication plan in order to spread findings and recommendations to different stakeholders.

## **11. BUDGET**

The consultant will receive 10% of the total allowances plus the travel expenses and DSA based on UN regulations, when the inception report is delivered and approved by the Secretariat. The Secretariat will disburse 40% of the total allowances once the draft evaluation report is delivered and approved by the Secretariat. The remaining amount 50% will be paid at delivery and approval by the Secretariat of the final evaluation report.

## **12. ANNEXES**

- Joint Programme document, results framework, M&E framework
- Annual Plan
- Monitoring reports
- Annual reports