

THE PHILIPPINE SUSTAINABLE SANITATION KNOWLEDGE SERIES

# Guidebook for Monitoring and Evaluation



Department of Health





The Philippine Sustainable Sanitation Knowledge Series

## Guidebook for Monitoring and Evaluation

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### The Philippine Sustainable Sanitation Knowledge Series:

- Guidebook for a Sustainable Sanitation Baseline Study
- Guidebook for a Local Sustainable Sanitation Strategy
- Guidebook for a Local Sustainable Sanitation Promotion Program
- Guidebook for Community-Led Total Sanitation
- Guidebook for a Zero Open Defecation Program
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- The SuSEA LGU Experience: Dagupan, Guiuan, Polomolok, General Santos City, Alabel, Bauko
- Guidebook for a Disease Prevention and Control Program for Soil-transmitted Helminth Infections and Diarrheal Diseases
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[http://www.doh.gov.ph/contact\\_us.html](http://www.doh.gov.ph/contact_us.html).

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## FOREWORD

According to 2008 UN data, 2.6 billion people still do not have access to or have inadequate sanitation facilities.

Every 20 seconds, a child dies as a result of poor sanitation. That's 1.5 million preventable deaths each year.<sup>1</sup> In the Philippines, 23% of Filipinos or roughly 19 million still do not have access to sanitary toilets.

These realities necessitate tangible and concerted efforts that are owned by the people through the local government units (LGUs). The United Nations has already declared access to water and sanitation as a human right in its July 28, 2010 General Assembly. With the synergistic efforts of both the public and private sectors, the Philippines is also making significant gains in raising awareness and accelerating progress towards the Millennium Development Goal (MDG) on sanitation: to reduce by half the proportion of people without access to basic sanitation by 2015.

Through this Guidebook, we also emphasize that the National Government needs the support of its partners in order to achieve this goal. We need greater collaboration with our partners in the local government units. Likewise, we need to intensify our partnership with the private sector.

Attaining sustainable sanitation is a significant challenge. However, we believe that we have committed partners in the LGUs. Sustainable sanitation will happen because the LGUs are recognizing their roles and equipping themselves with the appropriate knowledge, tools, and skills.

This Guidebook is a simple road map that is targeted towards local government officials and program managers who are managing for results of sustainable sanitation projects and programs. Monitoring and evaluation (M&E) is a powerful public management tool that can be used to improve the way governments and organizations achieve results. Just like financial, human resource, and accountability systems, governments also need good performance feedback systems.

The M&E Toolkit described in this Guidebook will facilitate the determination of the impact of the project, focusing on the actual, intended results that will benefit the stakeholders.

To help the intended user of this Guidebook, actual performance monitoring and evaluation templates used in the Sustainable Sanitation in East Asia (SuSEA) pilot sites are shared in the Guidebook. The information provided here are all based on the SuSEA experience and can be used as a model for other sanitation projects.

This Guidebook is just one in a series of knowledge resource materials that we are developing towards one of our shared aspirations: ensuring health and wellness for all Filipinos through clean, safe, and life-giving water and sanitation facilities. This Guidebook is for the LGUs and the Filipino people. Use it well and then share it with other LGUs who may also find it useful in their pursuit of sustainable sanitation.



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Secretary Of Health

<sup>1</sup>Homepage of the International Year of Sanitation (<http://esa.un.org/iys/health.shtml>)

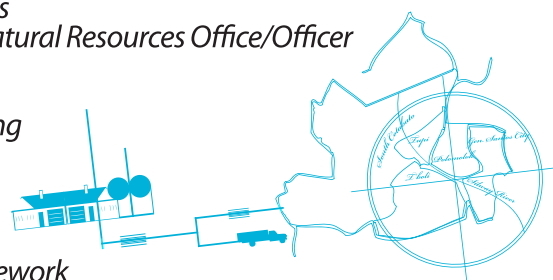


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## ACRONYMS AND ABBREVIATIONS

AO	Administrative Order
CHO/MHO	City/Municipal Health Office/r
CLTS	Community-led Total Sanitation
CPDO/MPDO	City/Municipal Planning and Development Office/r
DENR	Department of Environment and Natural Resources
DOH	Department of Health
DPCP	Disease Prevention and Control Program
DWPP	Drinking Water Protection Program
EcoGov	Philippine Environmental Governance Project
EMB	Environmental Management Bureau
EO	Executive Order
FGD	Focus group discussion
GenSan	General Santos City
HIV/AIDS	Human Immunodeficiency Virus/Acquired Immune Deficiency Syndrome
HH	Household/s
ICBC	Institutional Capacity Building Continuum
IEC	information, education, and communication
LCE	Local Chief Executive
LGU	Local Government Unit
LSSP	Local Sustainable Sanitation Plan
LSSPP	Local Sustainable Sanitation Promotion Program
LSSS	Local Sustainable Sanitation Strategy
M	Million
M&E	Monitoring and Evaluation
MDG	Millennium Development Goals
MENRO	Municipal Environment and Natural Resources Office/Officer
MDR	Midterm Review
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
NGO	Nongovernment organization
OD	open defecation
OVI	Objectively verifiable indicator
PHP	Philippine peso
PMF	Performance Monitoring Framework
QAI	Quality at Implementation
SB	Sangguniang Bayan
SIDA	Swedish International Development Cooperation Agency
SMP	Septage Management Plan
SP	Sangguniang Panlalawigan
STF	Septage Treatment Facility
STH	Soil-transmitted helminth (infection)/Soil-transmitted helminthiasis
SuSEA	Sustainable Sanitation in East Asia – Philippines
TA	Technical Assistance
TAMS	Technical Assistance Management Service (SuSEA)
TF	Task Force
TWG	Technical Working Group
WSP	Water and Sanitation Program
WQMA	Water Quality Management Area
ZOD	Zero Open Defecation
ZODP	Zero Open Defecation Program



## The SuSEA Program

The Sustainable Sanitation in East Asia Program-Philippine Component (SuSEA) supported by the Water and Sanitation Program (WSP) of the World Bank and the Swedish International Development Cooperation Agency (SIDA), and implemented through the leadership of the Departments of Health (DOH) and Environment and Natural Resources (DENR), is geared towards increasing access by poor Filipinos, primarily low-income households, to sustainable sanitation services by addressing key demand and supply constraints. Aside from this, the program hopes to learn from local implementation of sanitation programs as basis for national policy and operational guidance.

SuSEA Philippines commenced in July 23, 2007 as a learning program to support the Government of the Philippines (GoP) update its approaches and interventions in sanitation and needs that were not present or not addressed in traditional sanitation programs that focused on two extremes: 1) toilet-bowl distribution and hygiene education and 2) centralized sewerage systems. The most important of these emerging needs are:

- Complementing interventions related to the reduction of risks of sanitation- and poverty-related diseases such as soil transmitted helminthiasis and acute gastroenteritis
- Linking sanitation interventions with environmental objectives, such as the improvement of water quality and water resources
- Sanitation in rapidly urbanizing towns and cities, including the occurrence of disease episodes

that aggravate impacts of poor sanitation (such as flooding) on the economy and quality of life of city populations

- Reaching pockets of communities that comprise the remaining 20% of those without access to basic sanitation, particularly in the rural areas (among whom include indigenous peoples/cultural minorities) and urban slum communities.

SuSEA-Philippines was designed using four different models as the platform for developing specific interventions (according to themes below). The learning gained and the tools developed from these models served to assist other local government units (LGUs), as well as informing national sanitation policy and programs for GoP-led expansion and scaling up. The four models are:

**Model 1** Disease Prevention and Control – Sanitation interventions for the eradication/ reduction of disease

**Model 2** Water Quality Management – Sanitation interventions for the improvement of water quality within a water quality management area

**Model 3** Liveable Cities – Sanitation interventions for the improvement of quality of life in cities and low-income urban poor communities

**Model 4** Sustainable Rural Livelihoods – Sanitation interventions to support sustained livelihoods in rural areas

Six sites participated in the main program sub-component of SuSEA. These are: Bauko Municipality in the Mt. Province, Dagupan City in Pangasinan Province, Guiuan Municipality in Eastern Samar Province, Gene-

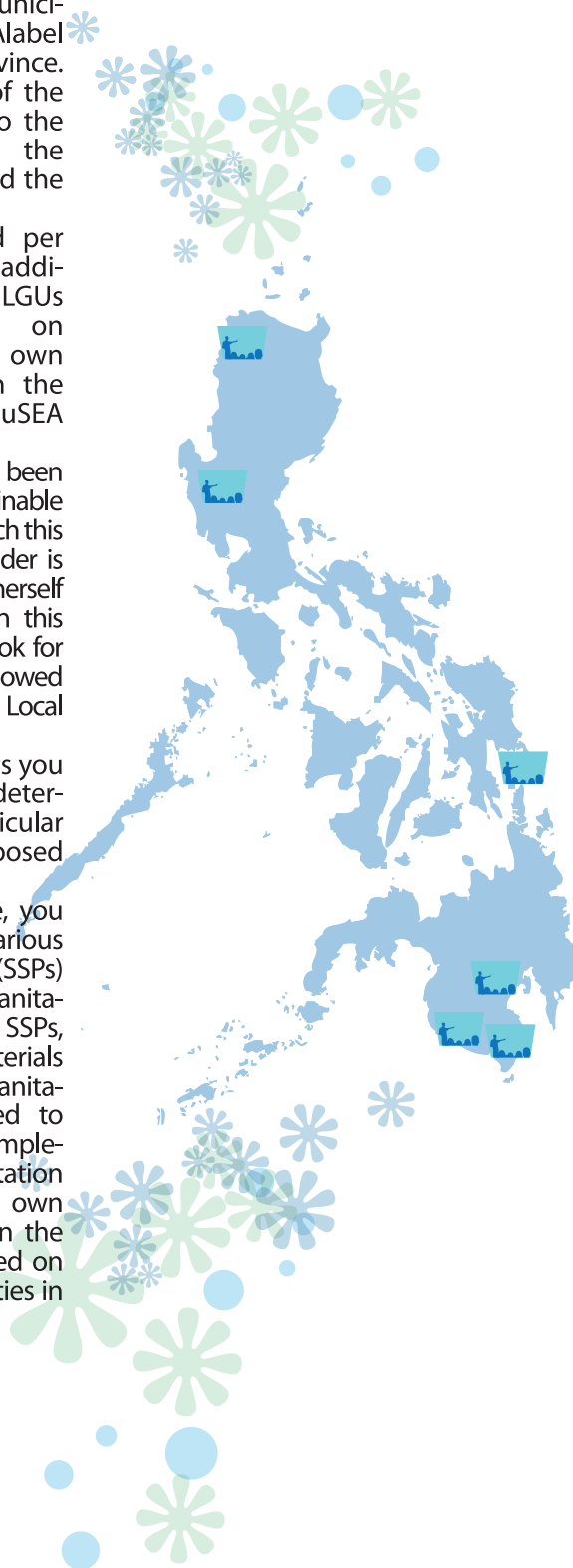
ral Santos City and Polomolok Municipality in South Cotabato, and Alabel Municipality in Sarangani Province. The desired outcome in each of the project sites varied according to the model and agreements by the Program Steering Committee and the local government.

While outcomes varied per site, each of the projects were additionally intended to provide the LGUs with a fount of information on developing and running their own sanitation programs based on the on-field experiences of the SuSEA team and their partners.

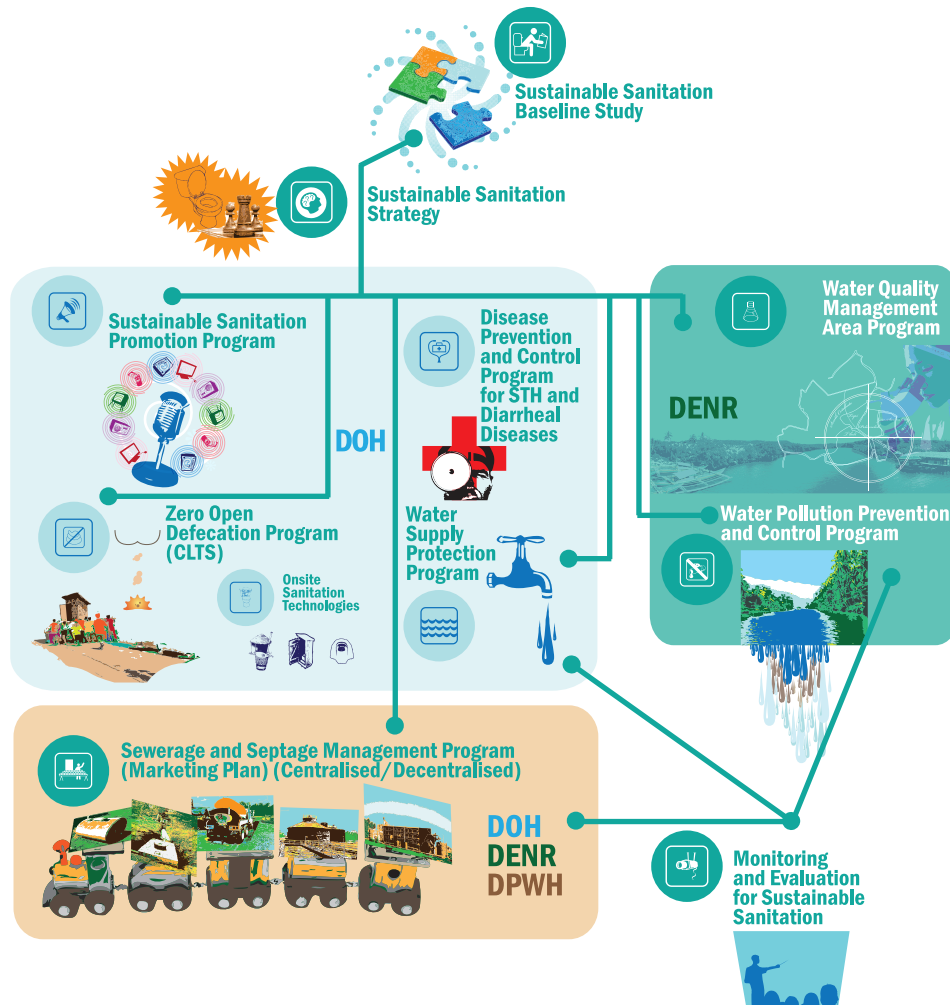
This information has been packaged for your use in a Sustainable Sanitation Knowledge Series, to which this guidebook/report belongs. The reader is encouraged to familiarize himself/herself with all the guidebooks/reports in this series beginning with the Guidebook for Conducting a Baseline Study and followed by the Guidebook for Developing a Local Sustainable Sanitation Strategy.

What guidebooks/reports you choose to utilize next will be determined by your community's particular needs and your LGU's proposed sanitation programs.

On the succeeding page, you will find an illustration of the various sustainable sanitation programs (SSPs) under the National Sustainable Sanitation Plan (NSSP). For each of these SSPs, SuSEA has also developed materials under the Philippine Sustainable Sanitation Knowledge Series, intended to guide local government units in implementing the various sanitation programs and initiatives in their own area. The information gathered in the Knowledge Series is, in turn, based on specific SuSEA projects and activities in each of the six project sites.



## Sustainable Sanitation Programs



## Rationale behind the installation of a sanitation monitoring and evaluation (M&E) system

*"What gets measured gets done."*<sup>2</sup>

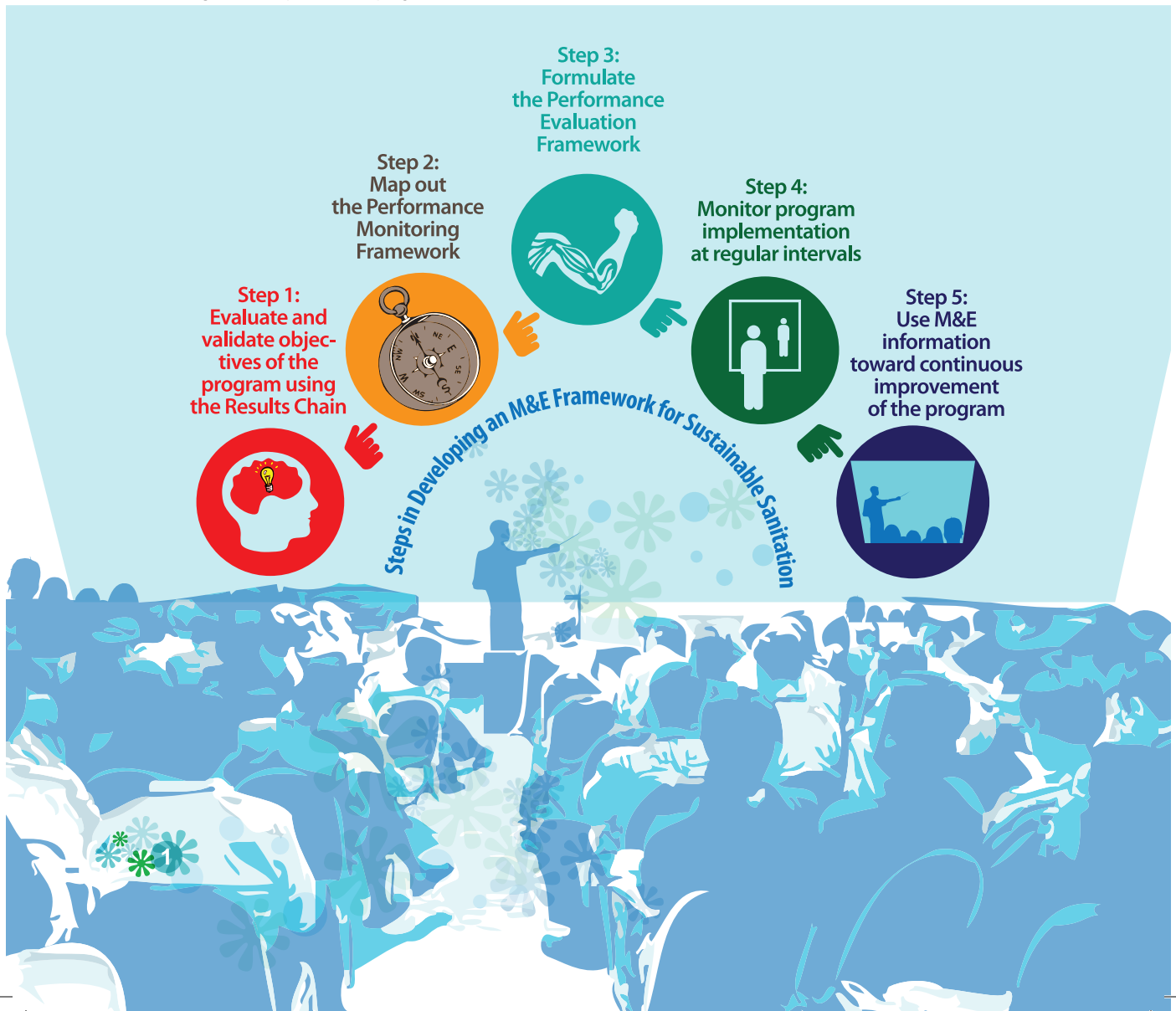
The Sanitation Monitoring and Evaluation system aims to (1) establish actual achievements of the sustainable sanitation program and (2) provide a system for monitoring and evaluating actual performance during implementation.

To achieve both objectives, it is necessary to (1) validate the hierarchy of desired objectives of the project through the results chain; (2) map out the performance measurement framework by identifying performance indicators, baseline data and data collection methods; and (3) train people on the use of the M&E tools so they

can use information generated from monitoring and evaluation as basis for steering the program towards its desired objectives.

In this Guidebook, we will provide you with the steps for establishing an M&E Framework, the tools you will need for carrying out those steps, and actual examples of monitoring and evaluation templates used in the SuSEA pilot sites. Figure 1 gives a quick overview of the steps you are encouraged to observe in developing an M&E framework for a sustainable sanitation program in your area. The details of each step are discussed further in the next section.

Figure 1. Steps in Developing an M&E Framework for Sustainable Sanitation







## STEP 1: Evaluate and validate objectives of the program using the Results Chain

A shared understanding of the results chain of a program is a critical contributor to successful program implementation based on the 2008 Annual Review of Development Effectiveness (ARDE) conducted by the World Bank<sup>3</sup>. The study indicates that “the overall quality of M&E has been low—rated as modest or negligible in two thirds of projects for which data are available. Some of the factors contributing to low M&E quality assessments were poorly designed results frameworks, poorly articulated results chains linking outputs with outcomes, and performance indicators lacking baseline and targets”.

The results chain<sup>4</sup> is a tool used to articulate and align the hierarchy of objec-

tives of a program from the input-output-outcome levels. At some point during program implementation, it may be necessary to revisit and firm up deliverables and targets based on results of baseline reports and actual experiences with the partners and communities of target sites. Changes and implications of adjustments in the articulation of the results chain must be understood by all critical stakeholders of the project.

The results chain is also one way of scoping the local sustainable sanitation program. It graphically shows what the programs aims to do (and what it cannot do). It also shows what it hopes to influence beyond the program itself.



## STEP 2: Map out the Performance Monitoring Framework

The *Performance Monitoring Framework*<sup>5</sup> (PMF) provides further details on the results chain. It identifies the performance indicator or objectively verifiable indicators (OVIs)

per level of the results chain, the baseline data, data sources, collection method, frequency of collecting data, and owner of the metric for each performance indicator.



## STEP 3: Formulate the Performance Evaluation Framework

A twin tool, the *Performance Evaluation Framework* also presents a snapshot of how the project will be rated and evaluated at regular intervals during program implementation. The tool presents a column on the performance indicators, actual performance data, and rating scheme for each performance metric. It is important that there is buy-in in the evaluation framework

so that stakeholders can conduct self evaluation and generate actionable next steps towards continuously improving the program towards its desired objectives. The Performance Evaluation Framework should also be used as one of the bases for determining next steps for the program at regular intervals.



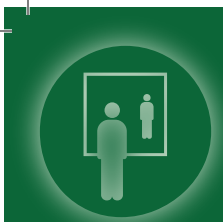
<sup>2</sup> Often attributed to writer/management consultant Peter Drucker

<sup>3</sup> Annual Review of Development Effectiveness, Shared Global Challenges; (2008) Independent Evaluation Group, World Bank.

<sup>4</sup> Ten Steps to a Results based management monitoring and evaluation system; (2004) Kusek, Zody and Rist, Ray, World Bank

<sup>5</sup> Ibid



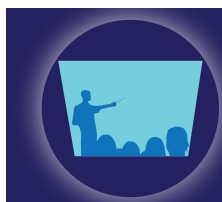


## STEP 4: Monitor program implementation at regular intervals

An M&E Team should be organized/designated to monitor program implementation at regular intervals (monthly/quarterly/annually). This M&E Team should be led by the City/Municipal Planning and Development Officer (CPDO/MPDO) and composed of key members of various offices such as the Office of the Mayor, City/Municipal Health Office (CHO/MHO), Environment Office, and where applicable, other sanitation program partners, from private entities, nongovernment organizations, indigenous peoples groups, and the academe. While the M&E Team should utilize the Performance Monitoring and Evaluation Frameworks to gather data on the program's progress and implementation, other tools may also be utilized

to supplement the data in the PMF. These include the Institutional Capacity Building Continuum (ICBC) Tool and the Quality at Implementation (QAI) Tool.

Members of the M&E Team should be given training on the use of the M&E tools. The M&E training should ideally take place before the start or during the early stages of implementation for the sustainable sanitation program. From then on, actual monitoring using the M&E tools should take place quarterly while actual evaluation and planning may take place semi-annually or at shorter intervals during the initial, more crucial stages of program implementation. The proposed cycle of planning, implementing, monitoring, and evaluating is captured in Figure 2.



## STEP 5: Use M&E information towards continuous improvement of the program

Mere presence of M&E tools such as those embedded in the Performance Monitoring Framework and conduct of M&E do not mean the M&E system is in place. The conduct of M&E can yield information on what works, what doesn't, and the reasons why. It can provide information on the quality of the outputs and improvements on the institutional capacities of the LGUs in the implementation of sanitation programs but these processes do not inherently make the M&E effective. ***The M&E system is effective only if it helps the implementers improve the implementation of the***

***sanitation program and ultimately the delivery of their sanitation services to targeted communities through continuous monitoring and evaluation.***

The M&E Team is not only tasked with conducting the monitoring and evaluation of the project, it should also lead the use of information generated as bases for continuously making the sanitation program better and provide insights on how it can improve services to constituents through the implementation of sanitation programs.



**Figure 2.** Planning-Implementing-Monitoring-Evaluating Cycle

<sup>6</sup>Institutionalizing Impact Evaluation within the framework of a Monitoring and Evaluation System. 2009. Independent Evaluation Group, World Bank.

## The Results Chain



Figure 3. Results Chain

## Concept of change

The Results Chain (Figure 3) shows the cause-effect relationships of objectives. Embedded in the Results Chain is the concept of change, which states that before one can change conditions, one must effect changes in behavior; however, before changes in behavior can take place, one must change capacities; and before changes in capacities can take place, changes in levels of awareness, understanding, and skills must likewise take place first. Below are sample outcomes for the short- (immediate), medium- (intermediate), and long-term (ultimate) for a local sustainable sanitation program.

### Ultimate outcome: Changes in health and environmental conditions in LGU sites

Beyond [date], the local sustainable sanitation program aims to achieve the following:

- Provide access to sustainable sanitation services to all LGU constituents;
- Improve health condition in LGU sites;
- Reduce pollution loading in the [fill in relevant water body here];

### Intermediate outcomes: Changes in behaviors of targeted beneficiaries

To enhance health conditions beyond [date]:

- Improve access to drinking water supply;
- Improve access to hygienic latrines & model use of low-cost wastewater treatment facility;
- Improve compliance to disease surveillance protocols and management of soil-transmitted helminth (STH) infections and diarrheal diseases;

To reduce pollution loading from [fill in name of relevant water bodies here] beyond [date],

- Improve utilization of seepage treatment facility (STF);
- Enhance compliance to prescribed effluent standards by industries and establishments;
- Improve access to sanitation facilities;

### Immediate outcomes: Changes in institutional capabilities

The immediate outcome of the local sustainable sanitation program is the establishment and implementation of practical sanitation solutions by the local government unit and its partners. Specifically, the LGU must be able to conduct a consultative local sustainable sanitation strategy process, and develop and implement other targeted sanitation programs.

### Outputs: Changes in level of awareness, understanding, and skills

Changes in level of awareness, understanding and skills by LGUs and its partners are demonstrated in the multiple outputs required at the local level. The LGU must be able to complete the following: a) Local Sustainable Sanitation Strategy (LSSS) with a corresponding Local Sustainable Sanitation Plan (LSSP); b) Local Sustainable Sanitation Promotion Program (LSSPP) with information, education, and communication (IEC) campaigns on sanitation and hygiene; c) templates for formulating new ordinances to address emerging sanitation concerns; d) monitoring and surveillance systems for sanitation-related public health and water resources quality issues and e) installation and adoption of specific sanitation programs depending on the specific need of the LGU sites. Examples of the need-specific sanitation programs may include:

- Water Supply Protection Program
- Disease Prevention and Control program for STH and Diarrheal Diseases
- Septage Management Program



- Water Quality Management Program
  - Water Pollution Prevention and Control Program
  - Zero Open Defecation Program
- A table of the results chain used for the SuSEA project with its own outcomes and objectives is summarized in Table 1.

**Table 1.** Results Chain Table

Hierarchy of objectives	Health-related objectives	Environment-related objectives
Ultimate outcome: Changes in condition	<ul style="list-style-type: none"> <li>• 25 M Filipinos in the lowest quartile have access to sustainable sanitation services.</li> <li>• Improved health condition in Bauko, Dagupan and Guiuan (beyond 2010)</li> </ul>	
Intermediate outcomes: Changes in behaviors of targeted stakeholders	<ul style="list-style-type: none"> <li>• Improved service delivery nationwide of sustainable sanitation services.</li> <li>• Improved access to drinking water supply in Bauko.</li> <li>• Improved HH access to hygienic latrines &amp; model use of low-cost waste-water treatment facility in Dagupan</li> <li>• Improved compliance to disease surveillance protocols and management of AGE &amp; STH in Guiuan</li> <li>• Improved HH access to hygienic latrines, &amp; model use of low-cost waste-water treatment in Guiuan</li> </ul>	<ul style="list-style-type: none"> <li>• Reduced pollution loading from Alabel and GenSan to Sarangani Bay and Silway River (beyond 2010)</li> <li>• Increased utilization of STF in Alabel.</li> <li>• Improved compliance to prescribed effluent standards by industries and establishments in Polomolok.</li> <li>• Improved access to sanitation facilities in Polomolok.</li> <li>• Utilization of STF in Alabel by General Santos households, industries and desludgers and city government</li> </ul>
Immediate outcomes: Improvements in institutional capabilities of LGUs to sustainably implement prioritized sanitation programs	<p><i>Improved institutional capacity of:</i></p> <ul style="list-style-type: none"> <li>• DOH in defining the policy reform agenda towards the sustainable implementation of sanitation programs.</li> <li>• Bauko LGU in the implementation of Drinking Water Protection Program.</li> <li>• Dagupan LGU in the implementation of disease prevention and control and disease surveillance specific to AGE and STH;</li> <li>• Guian LGU in the implementation of disease prevention and control and disease surveillance specific to AGE and STH</li> </ul>	<ul style="list-style-type: none"> <li>• Alabel LGU in the marketing of the STF;</li> <li>• Polomolok LGU in the implementation of Water Pollution Prevention and Control Program and LSPP and management of Silway Watershed as WQMA</li> <li>• General Santos LGU in the implementation of Septage Management and Water Quality Management Program</li> </ul>
Common Outputs across all six sites: Changes in level of awareness, understanding and skills in the implementation of prioritized programs as demonstrated in the outputs	<ul style="list-style-type: none"> <li>• Local Sustainable Sanitation Plan (LSSP) adopted by Sangguniang Bayan (SB) and used as basis for designing sanitation-related programs.</li> <li>• LSPP adopted by SB; IEC materials used by the Municipal Health Office.</li> <li>• Baseline studies completed and used as basis for decision making.</li> <li>• Customized Capability Building Plan implemented.</li> </ul>	



Hierarchy of objectives	Health-related objectives	Environment-related objectives
Outputs per site: Changes in level of awareness, understanding and skills in the implementation of prioritized programs as demonstrated in the outputs	<ul style="list-style-type: none"> <li>Bauko Drinking Water Protection Program (DWPP) adopted by SB; implemented by the Municipal Health Office</li> <li>Dagupan Disease Prevention and Control Program implemented by City Health Office</li> </ul> <p>Zero Open Defecation Program implemented by selected barangays as demo sites</p> <p>Septage management plan approved by city council</p>	<ul style="list-style-type: none"> <li>Alabel STF Marketing Program implemented by the LABEL- MENRO</li> <li>Polomolok Water Quality Management Program</li> </ul>
	<ul style="list-style-type: none"> <li>Guiuan Disease Surveillance Prog implemented &amp; linked to PESU &amp; RESU</li> </ul> <p>Zero Open Defecation Program implemented by selected barangays as demo sites</p> <p>Septage management plan approved by city council</p>	<ul style="list-style-type: none"> <li>GenSan Septage Management and Water Quality Management Program</li> </ul>

## Eliciting/Validating/Making the Results Chain

In order to elicit/validate/make the results chain for your specific LGU, the following instructions must be observed:

1. Explain the results chain from the outcome, output, and input levels.
2. Validate the hierarchy of objectives by
  - a. Establishing/agreeing to the ultimate (long-term) outcome of sustainable sanitation programs in your LGU. Ultimate outcomes refer to changes in condition in more than 5 years.
  - b. Establishing/agreeing to the intermediate outcomes of sustainable sanitation programs in your LGU. Intermediate outcomes refer to changes in behavior of target beneficiaries in the next 3-5 years.
  - c. Establishing/agreeing to the immediate outcome of sustainable sanitation programs in your LGU. Immediate outcome refers to changes in institutional capabilities of the LGU that should take place in 1-2 years.
  - d. Establishing/agreeing to the outputs related to sustainable sanitation programs of the LGU.
  - e. Establishing/identifying the major activities related to the implementation of sanitation programs of the LGU.

Examples of Result Chains created specifically for each SuSEA pilot site are located in Annex A.





## The Performance Monitoring Framework (PMF)

The Performance Monitoring Framework template in Table 2 provides sample information on performance data to be monitored, baseline data and targets, data sources, collection methods, frequency of monitoring, and units that should be collecting the data.

planning, the adoption and utilization of a plan, and implementation of a program. A good example of OVs for the LSSP would include not only the “drafting of the LSSP” itself but also the “adoption of the LSSP” by the relevant groups and authorities and the “allocation of budget for implementation” of the plan.

**Table 2.** Performance Monitoring Framework Template

1 Results chain/ Hierarchy of objectives	2 Objectively valuable indicators	3 Baseline data	4 Data Sources	5 Data collection methods	6 Frequency of collection	7 Unit respon- sible for data collection
<i>Ultimate outcomes</i>						
<i>Intermediate outcomes</i>						
<i>Immediate outcomes</i>						
<i>Outputs</i>						

### Instructions for filling up the Performance Monitoring Framework template

- Column 1 presents the hierarchy of objectives of the local sustainable sanitation program, clustered into ultimate, intermediate, and immediate outcome and outputs. Information for this column can be culled from the results chain.
- Column 2 captures the objectively verifiable indicators (OVIs) or operational definition of the objectives mentioned in Column 1. OVIs may be qualitative or quantitative performance indicators that are specific, measurable, attainable, realistic, but challenging, and time-bound. To fill this up properly, you should encode only one indicator per cell for easy reading. OVIs should be a combination of quality/quantity plus institutional capacity building indicators. Examples of institutional capacity indicators would include: number of attendees in a training program on
- Column 3 shows the corresponding baseline data of the indicator mentioned in Column 2 prior to the establishment of the sustainable sanitation program. When filling this out, you should specify the timeframe of collection of data. For example: “Local Plan as of 2007 does not capture sanitation issues and programs.”
- Column 4 documents the sources of the performance data identified in Column 2. Data sources should be cited per indicator. Example: “Copy of the Local Plan as of 2007.”
- Column 5 explains the data collection methods. This may range from key informant interview, focus group discussion (FGDs), survey, document review, self-assessment, peer assessment, etc. Methods should be cited per indicator.
- Column 6 indicates the frequency of the conduct of monitoring (e.g., monthly, quarterly). Frequency





monthly, quarterly). Frequency should, again, be cited per indicator.

- Column 7 identifies the specific unit (e.g., LGU, CHO/MHO) in the M&E Team, which is responsible for collecting the data. Units collecting data should be cited per indicator.

The Performance Monitoring Framework for each of the SuSEA pilot sites is located in Annex B and should serve as a useful reference for you in the creation of your own PMF.

## Other Monitoring Tools

### *Institutional Capacity Building Continuum (ICBC) Tool*

To approximate improvements in institutional capacities of the local government unit, its partners, and other stakeholders in the implementation of sanitation programs, the Institutional Capacity Building Continuum Tool was designed. The ICBC Tool is a rapid appraisal tool that can be used by the LGU and its partner agencies to situate the institution's capacity to implement the local sustainable sanitation program and, based on current profile, map out actionable next steps. The OVI for improvement in institutional capacities is movement along the continuum before and immediately after the completion of each specific sustainable sanitation program that is established. Using the Institutional Capacity Building Continuum tool, the capacity of the LGU and each partner institution should be evaluated using a variety of sources, such as key informant interviews, focus group discussions with the local site project teams, and institutional case study by an external evaluator.

The levels of progression in the Institutional Capacity Building continuum were adapted from two sources: (1) a local experience on institutional reform- the GAD Mainstreaming led by the National Commission on the Role of Filipino Women<sup>7</sup> and (2) an international framework developed by the Malcolm Baldrige Criteria for performance excellence<sup>8</sup>. The first source, the GAD Mainstreaming project, yielded a profiling tool, which is currently being used by government agencies to track and assess the progress and status of their gender mainstreaming initiatives. The second

source, the Malcolm Baldrige Criteria, provides steps towards maturity of organizational processes based on empirical data.

- Level 0: The agency has no demonstrated initiatives in the implementation of sustainable sanitation programs.
- Level 1: Formation and Installation. The agency has demonstrated improved level of appreciation and understanding of sanitation issues, strategies and solutions; strategies and sanitation programs are defined, prioritized and budgeted; it is at the beginning stages of implementing sanitation programs;
- Level 2: Adoption and Implementation. The agency has demonstrated improved level of implementation of sanitation programs and projects; programs are characterized by processes that are repeatable, regularly evaluated for improvement, with learning shared among organizational units. Sanitation programs are aligned with the key strategies and goals of the organization.
- Level 3: Institutionalization. The agency has demonstrated an enhanced level of implementation of sanitation programs and projects through continuous improvement initiatives; programs are characterized by processes that are repeatable and regularly evaluated for change and improvement. **Sanitation programs are beginning to have desired impact on the service delivery of the agency.**
- Level 4: Performance Excellence. The agency is recognized as a trailblazer/ benchmark in the implementation of sanitation programs and projects. **Sanitation programs are beginning to have sustained desired impact on the service delivery of the agency.**

The elements of Institutional Capacity subsumed in Column 1 of the ICBC tool are culled from Baser and Morgan's article on Capacity, Change, and Performance. The authors' review of the capacity

<sup>7</sup> A Guidebook on Gender Mainstreaming, 2001. National Commission on the Role of Filipino Women

<sup>8</sup> Criteria for Performance Excellence, 2009-2010, Baldrige National Quality Program

<sup>9</sup> Dimalanta, Panadero and Soriano, 2001, GAD Mainstreaming Framework. National Commission on the Role of Filipino Women.

capacity literature showed a clustering of capabilities common to all organizations or systems. These are the capabilities to commit and engage, to carry out functions or tasks, to relate and attract resources and support, to adapt and self renew and finally, to balance coherence and diversity. The conceptual definition of each capability is reflected along each capability item.

The operational definition of the five capabilities along the five levels of progression were developed based on interviews with the SuSEA Technical Assistance Management Services (TAMS) Team and validated by the SuSEA teams in the local sites. The elements subsumed under each capability are treated as *initial* ways of operationally defining the “capability” as presented in the Baser and Morgan article.

Below is a comprehensive description of each of the five capabilities being evaluated in the ICBC Tool:

**Capability to commit and engage.** This institutional capability is demonstrated if the Local Sustainable Sanitation Plan is mainstreamed in the Strategic Plan of the LGU, adopted by the legislative body, the Sangguniang Panlalawigan (SP), and allocated with budget for implementation of prioritized sanitation programs. It is also manifested if there is visible sponsorship by top level officers from the Office of the Mayor, the SP, and implementing offices of sanitation programs either from the Rural Health or Environmental Health Offices.

An LGU site would be assessed to be in Level 2 for this capability if they have demonstrated these qualitative attributes. On the other hand, a site would be rated to be in Level 1 if, for instance, the LSSP has been adopted by the SP but only verbal commitment has been given by the Mayor to increase the budget allocated for its implementation. Similarly, a site may also be assessed to be in Level 1 if only the Municipal Planning and Development Office is taking the lead role in the implementation of sanitation programs and still needs to expand allies from the Municipal Health and Environmental Health Offices, the Office of the Mayor, and the SB.

**Capability to carry out technical, service delivery, and logistical tasks.** This capability refers to the ability to implement targeted sanitation programs. An LGU site would be

determined to still be in Level 1 if it is still in the Formation and Installation phase, that is, where financing schemes are still being determined, advocacy strategies are being mapped out, sanitation programs are going through validation and refinements, and the monitoring and evaluation component of the program is still being installed.

A site is poised in Level 2 if funds have been allocated for the implementation of sanitation programs such as the construction of communal toilets and the activation of a Disease Prevention and Control Program.

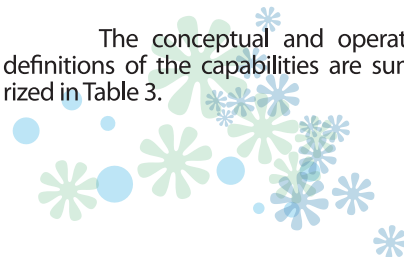
**Capability to relate and attract resources and support.** This institutional capability is demonstrated if the LGU has established and implemented the necessary institutional arrangements and coordinating mechanisms towards the sustained implementation of sanitation programs. If the LGU is still in the formation and installation phase, it would be situated in Level 1.

**Capability to adopt and self renew.** This institutional capability is demonstrated if development interventions (e.g., training and coaching on the implementation of targeted sanitation projects) are institutionalized. This means training needs analyses were conducted, actual training implemented, monitored, and evaluated. If a site is still in the process of conducting its targeted training programs, then it should be determined as being in Level 1 of the continuum.

**Capability to balance diversity and coherence.** This institutional capability is demonstrated if the LGU continues to implement sanitation reforms long after the completion of technical assistance being provided, if any. This means that rewards and sanctions are installed to ensure greater chances of sustained implementation.

If an LGU site is still in the process of defining the rewards and sanctions of the implementation of the project, it would be placed at Level 1 for this specific capability.

The conceptual and operational definitions of the capabilities are summarized in Table 3.



**Table 3.** Summary of conceptual and operational definitions of the institutional capabilities

Institutional Capabilities based on Review of Literature <sup>11</sup>	Conceptual Definition	Operational Definition
Capability to commit and engage	<ul style="list-style-type: none"> <li>▪ Capability to take ownership;</li> <li>▪ Ability and willingness to take action;</li> <li>▪ Ability to aspire;</li> <li>▪ Ability to embed conviction;</li> <li>▪ Ability to be determined;</li> </ul>	<ul style="list-style-type: none"> <li>▪ Local Sustainable Sanitation Plan mainstreamed in the LGU's strategic directions</li> <li>▪ Visible sponsorship of sanitation programs demonstrated</li> </ul>
Capability to carry out technical, service delivery and logistical tasks	<ul style="list-style-type: none"> <li>▪ Capabilities to deliver services</li> <li>▪ Ability to carry out technical or logistical tasks such as program analysis, financial management, project management, advocacy etc</li> <li>▪ Emphasis is on functional, instrumental ways of meeting a set of objectives and fulfilling a mandate.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Financing scheme for targeted sanitation program(s) defined and implemented</li> <li>▪ Mechanisms for advocating targeted sanitation program(s) defined and implemented</li> <li>▪ Targeted Sanitation systems/programs implemented</li> <li>▪ Monitoring and evaluation of targeted sanitation programs conducted</li> </ul>
Capability to relate and to attract resources and support.	<ul style="list-style-type: none"> <li>▪ Ability to craft, manage and sustain key relationships needed</li> <li>▪ Ability to enter into relationships that produce new sources of funding, staff and leaning</li> <li>▪ Ability to earn the trust of others such as donors and clients</li> </ul>	<ul style="list-style-type: none"> <li>▪ Institutional arrangements mapped out and implemented</li> </ul>
Capability to adapt and self renew	<ul style="list-style-type: none"> <li>▪ Capabilities to improve individual and organizational learning</li> <li>▪ Capabilities to incorporate new ideas</li> <li>▪ Capabilities to map out a growth path</li> </ul>	<ul style="list-style-type: none"> <li>▪ Development programs on Sanitation implemented</li> </ul>
Capability to balance diversity and coherence	<ul style="list-style-type: none"> <li>▪ Capabilities to sustain implementation of a reform agenda amidst conflicting demands from multiple stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>▪ Rewards and sanctions on the implementation of sanitation programs are installed.</li> </ul>

Table 4 shows a template of the ICBC Tool listing the capabilities to be evaluated in the implementation of targeted sanitation programs. Note that because the appraisal can be conducted by the LGU and its partner agencies, more than one column

has been provided for ratings to be given.

A complete listing of capabilities that should be assessed in the ICBC Tool, with instructions on validating institutional capability, is available in Annex C.

Aside from the use of the Institu-

**Table 4.** Institutional Capacity Building Continuum Tool Template (with sample ratings)

Institutional capabilities demonstrated	Appraisal given by the LGU and its Partners			
	Name of LGU Site			
	LGU	Partner Agency 1	Partner Agency 2	Partner Agency 3
Overall capability to commit and engage	4	4	3	3
Sustainable sanitation plan mainstreamed in the LGU strategic directions	4	3	3	4
Visible sponsorship of sanitation programs demonstrated	2	2	1	2
Overall capability to carry out technical service delivery and logistical tasks	1	1	1	1
Financing scheme for targeted sanitation programs implemented	1	1	1	1
Mechanism for advocating targeted sanitation programs demonstrated	1	1	1	1
Targeted sanitation programs implemented	1	1	1	1
M&E system for sanitation programs implemented	1	1	1	1
Overall capability to relate and attract resources and support	1	1	1	1
Institutional arrangements mapped out and implemented	1	1	1	1
Capability to adopt and self renew	1	1	1	1
Development programs on sanitation implemented (e.g., training, study tours)	1	1	1	1
Capability to balance diversity and coherence	1	1	1	1
Rewards mechanisms on the implementation of sanitation programs installed and functional	1	1	1	1

tional Capacity Building Tool as a measure of institutional capacity, case studies may also be used to zoom in on some of the interesting emerging good practices on institutional capacity building. Case studies are useful because they provide a more qualitative picture of the situation and can cover in detail items listed or not listed in the ICBC Tool. A case study, for example, can present the extent of visibility and support provided by the local sponsors and champions for the project at the executive, legislative, and implementing branches of the LGU. Or it may highlight the sponsorship of the project at the barangay level, inter-LGU collaboration initiatives, and detail challenging factors in the implementation of sanitation programs.

### Quality at Implementation (QAI) Tool

At the local level, the outputs of a local sustainable sanitation program will be the focus of the monitoring function because these are *manifestations of*

### changes in level of knowledge and understanding by the LGU on sanitation concerns.

The use of a Quality at Implementation Tool at a regular interval (i.e., monthly or quarterly), therefore, is highly beneficial to understanding which OVIs have or have not yet been accomplished, reasons for delay in accomplishment, and necessary steps still needed to accomplish the particular OVI.

Table 5 provides a template for the QAI Tool using sample objectively verifiable indicators generated for each suggested output. These outputs were formulated based on the assumption that during the initial stages of establishing a sustainable sanitation program, the LGU will be working towards the completion of the following: a) a Local Sustainable Sanitation Plan; b) a Local Sustainable Sanitation Promotion Plan (both the LSSP and the Local Sustainable Sanitation Promotion Plan are considered of good quality only if consultations were conducted and the final outputs were adopted by the Sangguniang Panlalawigan); and c) the installation and adoption of sanitation programs specific to the needs of the LGU site.

**Table 5.** Quality at Implementation Tool Template

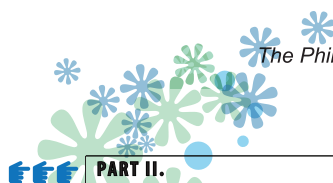
PART I				
Hierarchy of Objectives	Objectively Verifiable Indicators	Accomplished? Y/N	If not accomplished, please explain why	Actions to be taken for next quarter. By when? By whom?
General outputs				
LSSP adopted by SB and used as basis for designing sanitation-related programs.	Major stakeholders consulted			
	Baseline survey used			
	Plan approved by Local Chief Executive			
	Plan adopted by the SB through a resolution			
	Budget allocated for the implementation of the plan			
	Plan used as basis for designing sanitation-related programs			
LSSPP adopted by SB and implemented.	Series of consultations conducted			
	LSSPP adopted by SB			
	IEC materials distributed			
Specific outputs (based on the needs of the LGU)				
Drinking Water Protection Program (DWPP) adopted by SB; implemented by the Municipal Health Office.	Potential drinking water contamination identified and analyzed			
	Drinking Water quality monitoring & surveillance system established			
	Drinking Water quality monitoring & surveillance system functioning			
	Formulate drinking water protection program formulated			
	DWPP adopted by SB			
	DWPP implemented by the municipal Health Office.			
	Monthly reports of STH and diarrheal diseases generated			
Zero Open Defecation Program (ZODP) implemented by selected barangays as demo sites	Number of barangays declared to have Zero Open Defecation (ZOD)			
	Number of clustered HH/ barangays triggered for CLTS			

## Guidebook for Monitoring and Evaluation

PART I				
Hierarchy of Objectives	Objectively Verifiable Indicators	Accomplished? Y/N	If not accomplished, please explain why	Actions to be taken for next quarter. By when? By whom?
Specific outputs (based on the needs of the LGU)				
Septage Management Program	Septage Management Plan (SMP) completed by end of [date]			
	SMP approved by City Council by [date]			
	Septage Management Ordinance passed by SP/Mayor and disseminated to the communities			
Disease Prevention and Control Program (DPCP) implemented	Quarterly AGE/STH surveillance reports prepared/ compiled/ analyzed			
	Timely incident reports on AGE filed and investigated for appropriate action			
	Database on AGE/STH installed/improved (combination of public and private providers; currently data comes only from the public sector)			
Septage Treatment Facility (STF) Marketing Program implemented	STF Marketing Study completed and approved by the Mayor by [date]			
	Number of fora conducted (to talk about the importance of STF targeting different stakeholders)			
	Memorandum of Agreement with other stakeholders (e.g., desludgers)			
	Posters/ billboards on STF are installed			
	Radio messages on STF aired			
	Leaflets on STF disseminated			
STF Capability Plan implemented	Number of coaching sessions conducted on the reasonable pricing targeting MENRO, Mayor and SB for the use of STF			
	Number of coaching sessions on STF			
Water Pollution Prevention and Control Program (WPPCP)	management- operations and maintenance targeting MENRO and STF Staff			
	Number of coaching sessions on facility upgrade and environment/sanitation laws for tank builders			
	Map out pollution sources			
	Engage stakeholders involvement in the drafting of the WPPCP			
	Organize Water Quality Monitoring Committee			
Designation of a Water Quality Management Area (WQMA)	Present WPPCP to SB for adoption			
	Substantive and procedural requirements for the designation of the WQMA completed by [date]			
	LGU action and compliance plans for WQMA completed by [date]			
	Water quality baseline data established			
	WQMA Governing Board organized			
Adoption of the Water Quality Management Program	AO designating WQMA drafted			
	WQMA Action and Compliance Plans completed			
	Water quality monitoring stations established and regularly monitored			
	LGU Action plans and compliance plans formulated			
	Local quality area management fund established			
	Reduction in pollution loading			
	LGU WQMA TF continue to be operational			
	Program approved by DENR Secretary			







PART II.	
<b>Areas of strength of the LGU in the implementation of sustainable sanitation projects</b> <i>Outline the areas of strength of the LGU in the implementation of sustainable sanitation projects.</i>	
<b>Challenges encountered in the implementation</b> <i>Outline the three biggest challenges in the completion of the targeted sustainable sanitation programs in your LGU.</i>	
<b>Actions taken</b> <i>What significant actions have you been taking/taken to address these challenges?</i>	
<b>Results of actions taken</b> <i>What are the results of the actions you have taken to address the challenges?</i>	
<b>Support requirements</b> <i>What support do you need from stakeholders to advance the implementation of sustainable sanitation projects forward?</i>	
<b>Lessons learned</b> <i>Please cite some specific lessons you learned in the implementation of sanitation projects.</i>	

## Performance Evaluation Framework

Monitoring is the process of analyzing progress towards results and resources consumed. It is also the process of identifying and managing risks, while bearing in mind the expected results and necessary resources. Formal submission of monitoring reports should take place quarterly, when the LGU and its partners in the sanitation program take pause and track the progress of the program versus targeted results/performance indicators.

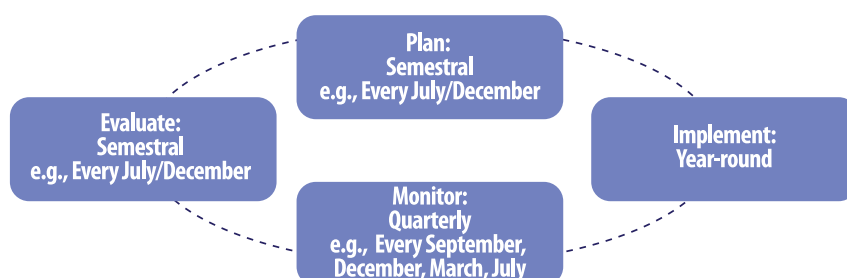
Evaluation, on the other hand, is the process of quantitatively rating the performance of the project against targeted results. Local sites are encouraged to do the evaluation twice a year—in July and December. It is the process of increasing knowledge by learning lessons and integrating them into decisions. It is also the process of reporting on results achieved and the resources involved.

The LGU should evaluate the implementation of its sanitation projects to

be able to gain a shared understanding of:

- Actual performance data versus targets;
- Emerging good practices in the implementation of sanitation projects;
- Emerging challenges/issues in the implementation of sanitation projects;
- Actionable next steps in the implementation of sanitation projects.
- Overall quantitative assessment of the performance of the institution vis-à-vis the implementation of sanitation programs.

The Performance Evaluation-Framework template in Table 6 should give you an idea of the kind of information needed for evaluating the performance of the local sustainable sanitation program.





**Table 6:** Performance Evaluation Framework Template

COLUMN 1	COLUMN 2	COLUMN 3	COLUMN 4	COLUMN 5	COLUMN 6	COLUMN 7	COLUMN 8
Results chain/ Hierarchy of objectives	Objectively verifiable Indicators	Baseline data	Actual performance in July 2009	Rating 5 = all OVs achieved 3 = major OVs achieved 1 = some OVs achieved	Weight	Weighted rating	Overall rating
Ultimate outcomes							
Intermediate outcomes							
Immediate outcomes							
Outputs							

### Instructions for filling up the Performance Evaluation Framework template

- Columns 1 to 3 of the Performance Evaluation template are culled from the Performance Monitoring Framework template
- For Column 4: identify the actual performance data according to the specified evaluation schedule.
- For Column 5: Identify the rating per desired result in Column 1. The rating scheme at the ultimate and intermediate outcome is as follows:
  - Targets exceeded = 5
  - Targets met = 4
  - No data = 1
 The rating scheme at the output level is as follows:
  - Give the result a 5 = if all desired attributes/OVs are achieved.
  - Give the result a 3 = if major desired attributes/OVs are achieved.
  - Give the result a 1 = if some desired attributes/OVs are achieved.
- For Column 6, the pre-agreed weight assignment (Table 7) is as follows:
  - Ultimate outcome = 5%
  - Intermediate outcome = 5%
  - Immediate outcome = 10%
  - Output level = 80%
- For Column 7, compute for weighted rating by multiplying the rating and weight.
- For Column 8, compute overall rating by adding the rating for ultimate outcome, intermediate outcome, immediate outcome, and each output.
- Summarize by identifying areas of strength and areas for improvement.
- Prioritize actionable next steps.

The Performance Evaluation Framework for each of the SuSEA pilot sites is located in Annex D and should serve as a useful reference for you in the creation of your own Performance Evaluation Framework.

**Table 7:** Sample Scorecard Summary

LGU Site	Rating	Weight	Weighted rating	Overall rating
Ultimate outcome	1	0.05	0.05	
Intermediate outcome	1	0.05	0.05	
Immediate	2	0.1	0.2	
Outputs	3.5	0.8	2.8	
				3.1



## DEFINITION OF TERMS

**Acute gastroenteritis (AGE)** – Acute gastroenteritis or acute watery diarrhea is the passage of unusually loose or watery stools three times or more in a period of 24 hours with duration of less than 14 days (Adapted from WHO, 2005).<sup>1</sup>

**Liveable Cities** – focuses on sanitation intervention for the improvement of the quality of life in cities and low-income urban poor households. Liveability can also be seen as the framework of conditions that is needed for people to have ample opportunity to experience a good quality of life. Liveability explicitly relates to the specific local effects of human activity people experience on a daily basis. It also typically refers to a perceptive dimension in that it is influenced by the experiences and feelings people have in certain situations. In this (definition), liveability calls for the involvement of people in deciding what it actually means in different situations. It also strongly relates to the quality of life concept. Liveable areas provide ample opportunity to experience a good quality of life, whereas less liveable areas make it rather difficult to do so.<sup>2</sup>

**Sanitation** – refers to the hygienic and proper management, collection, transport, treatment, disposal or reuse of human excreta (feces and urine) and community liquid wastes to safeguard the health of individuals and communities. It is concerned with preventing diseases by hindering pathogens, or disease-causing organisms, found in excreta and wastewater from entering the environment and coming into contact with people and communities. This usually involves the construction of adequate collection, transport, treatment and disposal or reuse facilities and the promotion of proper hygiene behavior so that facilities are effectively used at all times.<sup>3</sup>

**Soil-transmitted helminthiasis (STH)** – an infection or disease caused by soil-transmitted helminthes. The three (3) most common soil-transmitted helminthes are: (1) *Ascaris lumbricoides*;

(2) *Trichuris trichiura* (whipworm); and (3) Hookworm. The common signs and symptoms of STH are: (1) Abdominal pain and enlargement; (2) Anemia; (3) Weight loss; (4) Malnutrition; and (5) Loss of appetite. STH normally causes decreased physical development of children, decreased physical activities, and decreased performance in school. STH is normally transmitted through fecal - oral route for *ascaris*, *trichuris* and hookworm (*Necator americanus*), and skin penetration for hookworms (*Necator americanus* and *Ancylostoma duodenale*). STH be prevented through:

1. Good personal hygiene like washing hands before eating and after using the toilet
2. Clean and safe preparation of food
3. Always use slippers or shoes
4. Proper use of toilet facilities
5. Environmental sanitation - the control of all those factors in man's physical environment which exercise or may exercise a deleterious effect on his physical development, health and survival.<sup>4</sup>

**Sustainable Management of Water and Sanitation Interventions (Sustainable Rural Livelihoods)** – focuses on efforts to ensure that water and sanitation interventions introduced will generate and support livelihood opportunities to ensure its sustainability.<sup>5</sup>

**Water Quality Management Area (WQMA)** – focuses on sanitation interventions for the improvement of water quality within a defined water quality management area. A Water Quality Management System refers to the interrelated interventions, actions, activities, projects/ programs that will optimize the quality of water based on the respective beneficial uses or network of solving its water quality problems.<sup>6</sup>

<sup>1</sup> World Health Organization (2005). *The treatment of diarrhea. A manual for physicians and other senior health workers*. Geneva, Switzerland.

<sup>2</sup> Adapted from [www.liveablecities.org/.../Understanding\\_the\\_Concepts\\_WD\\_10\\_.pdf](http://www.liveablecities.org/.../Understanding_the_Concepts_WD_10_.pdf) and [www.liveablecities.org/IMG/.../Definitions\\_v28Feb05\\_WD\\_9\\_.pdf](http://www.liveablecities.org/IMG/.../Definitions_v28Feb05_WD_9_.pdf)

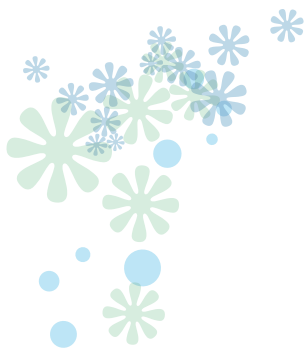
<sup>3</sup> Philippine Sanitation Source Book and Decision Aid. World Bank, German Technical Cooperation Agency, and Australian Agency for International Development for the Department of Environment and Natural Resources and the Department of Health

<sup>4</sup> World Health Organization

<sup>5</sup> SuSEA Baseline Study Framework. Sustainable Sanitation in East Asia Philippine Program, 24 April 2008.

<sup>6</sup> Environmental Management Bureau.

(<http://www.emb.gov.ph/wqms/Draft%20Guidelines%20for%20the%20Designation%20of%20WQMA-for%20comments.htm>).

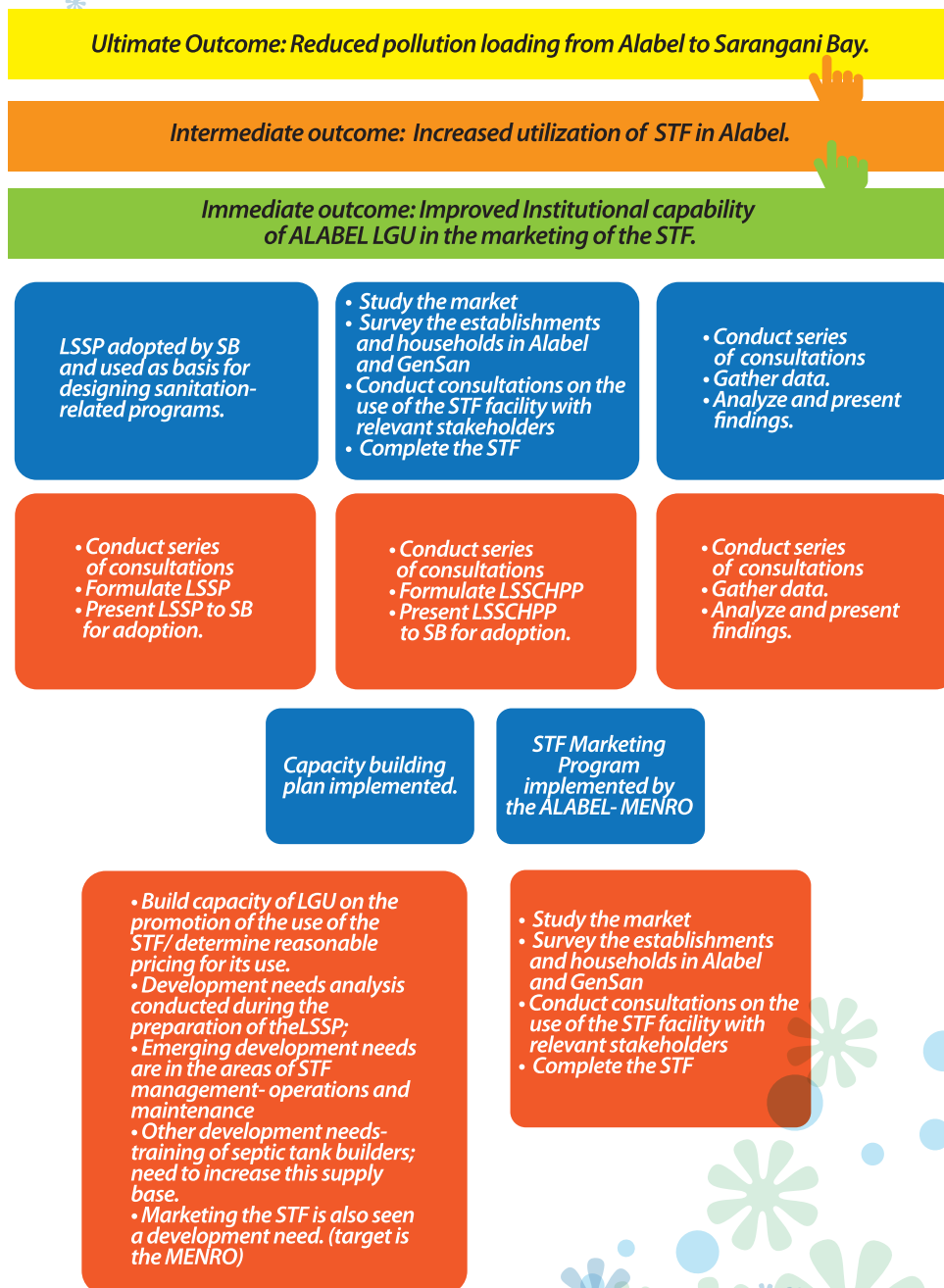


## Annexes



## Annex A: Results Chain per site

### Alabel Results Chain



## Bauko Results Chain

**Ultimate Outcome: Improved health condition in Bauko, Mountain Province.**

**Intermediate outcome: Improved access to safe drinking water supply.**

**Immediate outcome: Improved Institutional Capacity of the Bauko LGU towards the implementation of Drinking Water protection program.**

*LSSP adopted by SB and used as basis for designing sanitation-related programs.*

*LSSCHPP adopted by SB; IEC materials used by the Municipal Health Office.*

*Baseline studies completed and used as basis for decision making.*

- Conduct series of consultations
- Formulate LSSP
- Present LSSP to SB for adoption.

- Conduct series of consultations
- Formulate LSSCHPP
- Present LSSCHPP to SB for adoption.

- Conduct series of consultations
- Gather data.
- Analyze and present findings.

*Capacity building plan implemented.*

*Drinking Water Protection Program (DWPP) adopted by SB; implemented by the Municipal Health Office.*

- Build capacity of LGU in forming/ strengthening of BWASA.
- Build capacity of LDWQMC on water quality monitoring

- Assess potential drinking water contamination
- Strengthen water quality monitoring & surveillance system.
- Formulate drinking water protection program.
- Present DWPP to SB for adoption.



## Dagupan City Results Chain





## General Santos City Results Chain

**Ultimate Outcome: Reduced pollution loading from General Santos to Sarangani Bay and Silway River**

**Intermediate outcome: Adoption of sanitation and waste water treatment technologies including utilization of STF in Alabel by GenSan households, industries and desludgers, in accordance with the City's Septage Management Program.**

**Immediate outcome: Improved institutional capability to implement Septage Management and Water Quality Management Program**

LSSP adopted by SB and used as basis for designing sanitation-related programs.

LSSCHPP adopted by SB; IEC materials used by the Municipal Health Office.

Baseline studies completed and used as basis for decision making.

- Conduct series of consultations
- Formulate LSSP
- Present LSSP to SB for adoption.

- Conduct series of consultations
- Formulate LSSCHPP
- Present LSSCHPP to SB for adoption.

- Conduct series of consultations
- Gather data.
- Analyze and present findings.

**Output 4: STF Marketing Program implemented**

**Output 5: Septage management program adopted**

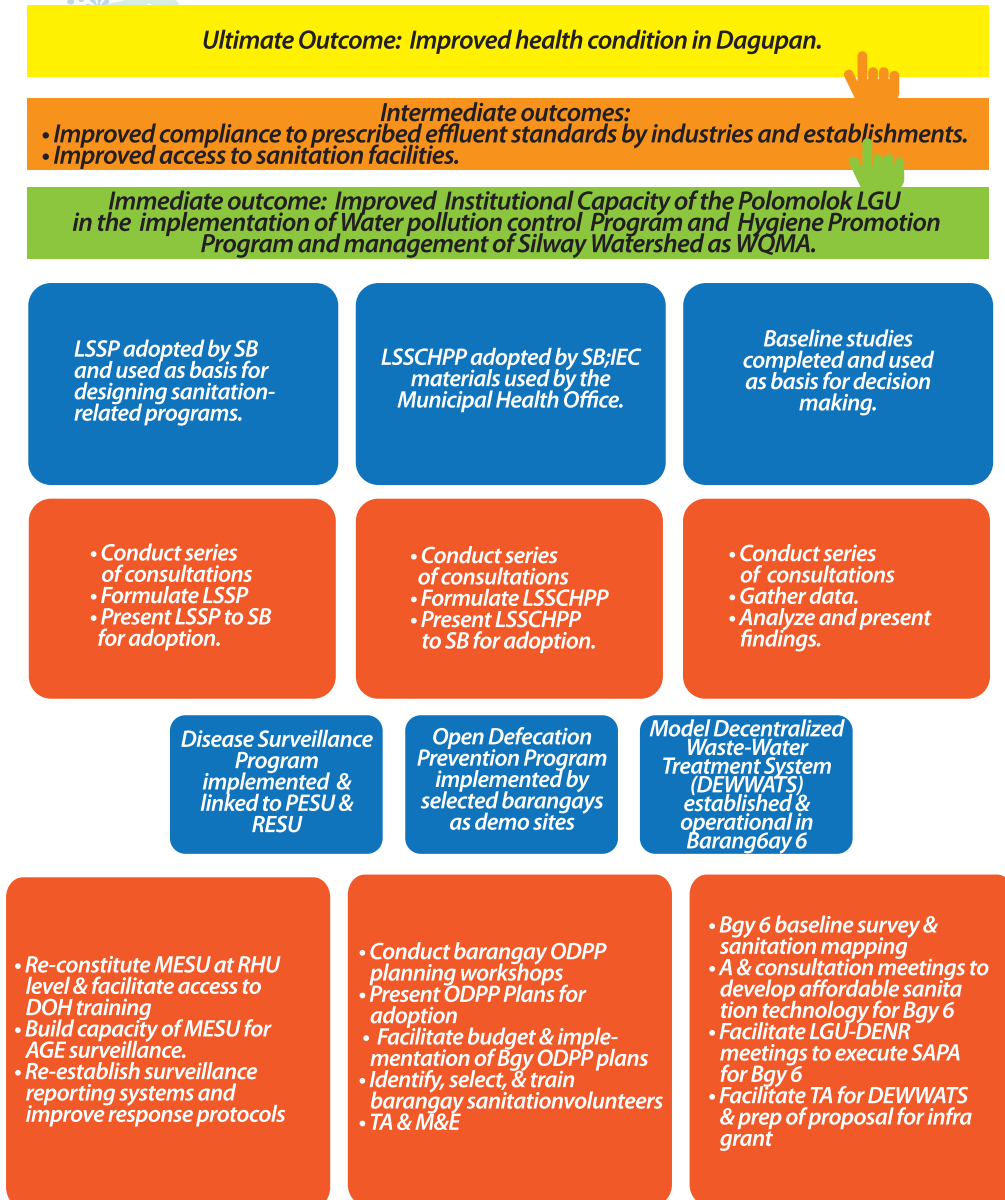
**Output 6: Water Quality Management Program adopted**

- Activities**
- Complete STF Marketing Study and approved by the Mayor by end of June 2009
  - Sign Memo of Agreement with GenSan

- Activities**
- Pass Septage Management Ordinance by SP/Mayor and disseminated to the communities

- Activities**
- Establish WQMA governing board/ multi-stakeholder group
  - Establish Water quality monitoring stations
  - Formulate LGU Action plans and compliance plans formulated
  - Establish Local quality area management fund established by EMB

## Guiuan Results Chain



## Polomolok Results Chain

**Ultimate Outcome: Improved environmental condition in Polomolok, South Cotabato**

**Intermediate outcome:**

- Improved compliance to prescribed effluent standards by industries and establishments.
- Improved access to sanitation facilities.

**Immediate outcome: Improved Institutional Capacity of the Polomolok LGU in the implementation of Water pollution control Program and Hygiene Promotion Program and management of Silway Watershed as WQMA.**

*LSSP adopted by SB and used as basis for designing sanitation-related programs.*

*LSSCHPP adopted by SB; IEC materials used by the Municipal Health Office.*

*Baseline studies completed and used as basis for decision making.*

- Conduct series of consultations
- Formulate LSSP
- Present LSSP to SB for adoption.

- Conduct series of consultations
- Formulate LSSCHPP
- Present LSSCHPP to SB for adoption.

- Conduct series of consultations
- Gather data.
- Analyze and present findings.

*Capacity building plan implemented.*

*Water pollution prevention and control program of Polomolok (WPCPP) implemented by EMB and Polomolok LGU*

*Open Defecation Prevention Program implemented*

- Build capacity of LGU on implementation of Water Pollution Control Program
- Build capacity of WQMA Governing Board on \_\_\_\_\_.

- Map out pollution sources.
- Engage stakeholders involvement in the drafting of the WPCPP.
- Establish Water Quality Monitoring Committee.
- Present WPCPP to SB for adoption.

- Conduct ODPP planning workshops to barangays along Silway River.
- Facilitate budget and implementation planning of ODPP plans for barangays along Silway River.
- Identify, train and select barangay sanitation volunteers

*Silway River Watershed designated as Water Quality Management Area (WQMA)*

- Establish water quality baseline data
- Organize WQMA Governing Board
- Draft AO designating WQMA for Silway River
- Prepare WQMA Action and Compliance Plans

## Annex B: Performance Measurement Framework per site

### Alabel

(Culled from Interviews with TAMS; validated by LGU M&E Team during M&E Workshop last July 21, 2009)

Results chain (Hierarchy of objectives)	Objectively verifiable indicators	Baseline data	Data sources	Data collection methods	Frequency of collection/ Timeframe of monitoring	Unit responsible for data collection
Ultimate outcome						
1. Reduced pollution loading from Alabel to Sarangani Bay.	1. Safe disposal of 50% (225 cubic meters) septage collected in Alabel	Target for 2009, which is 10% of total desludgable tanks: 225 septic tanks X2 cubic meters =450 cubic meters	ALABEL 2008-2009 Desludging Summary	Review of official documents	Annual	MENRO
Intermediate outcome						
2. Increased % in the utilization of STF in Alabel	2. 10 % yearly increase in the utilization of STF in ALABEL from the current number of 2,250 hh with septic tanks;	Total number of HH = 11, 144; only 2, 250 have septic tanks; (out of this only 34 hh desludge outside of ALABEL :)	ALABEL 2008-2009 Desludging Summary	Review of official documents	Annual	MENRO
	3. % yearly increase in the utilization of STF by GenSAN HH from the current number of hh with septic tanks; 2010= increase by 200 septic tanks	Out of the potential 16K potential hh from GenSan with desludgable septic tanks from 8 barangays,, only 7 / 120,000 households hh of desludge their septic tanks in Alabel STF.	GENSAN HH Survey for the STF Marketing	Review of official documents	Annual	MENRO
	4. % yearly increase in the number of HH with septic tanks	Total number of HH = 11, 144; only 2, 250 have septic tanks	ALABEL 2008-2009 Desludging Summary	Review of official documents	Annual	MENRO

Annex B

Results chain (Hierarchy of objectives)	Objectively verifiable indicators	Baseline data	Data sources	Data collection methods	Frequency of collection/ Timeframe of	Unit responsible for data
Immediate outcome by 2010						
3. Improved Institutional capability of ALABEL LGU in the marketing of the STF.	5. LGU has moved up from Level 0 to Level 2 in the Institutional Sustainable Sanitation Capacity Continuum	LGU has limited capability to implement STF marketing program.	LSSP Baseline Study using Interviews, review of plans and programs and pertinent documents	Assessment using the Institutional Sustainable Sanitation Capacity Continuum.	Mid-term and end phase of the project	TAMS, DOH
Outputs by 2010 (as completed as of today plus the agreements in the MTR)						
4. LSSP	6. Major stakeholders consulted;	No sanitation planning undertaken prior to SuSEA	Attendance documentation	Document review	Upon Completion of the plan	TAMS/ MHO/ MPDO
	7. LSSP team formed by EO	MHO, MPDO, NGOs, barangay captain president total 11	Attendance documentation	Document review	Upon Completion of the plan	TAMS/ MHO/ MPDO
	8. Baseline survey used.	No organized database for sustainable sanitation planning	Plan documentation and final report	Document review	Upon Completion of the plan	TAMS/MHO/ MPDO/MHO / TAMS
	9. LSSP Approved by Local Chief Executive	No Sanitation Plan for LCE to approve	Copy of the plan/SB Resolution	Document review	Upon Completion of the plan	MHO/MPDO / TAMS
	10. Plan is adopted by the SB through a resolution	No Sanitation Plan for SB to adopt	SB Resolution	Document review	Upon SB approval & adoption of the plan	MHO/MPDO / TAMS
	11. Budget was allocated for the implementation of the plan	No dedicated budget for sanitation, but subsumed under health or general services	Annual Municipal Development Budget; Supplemental budget	Document review	Upon approval of annual municipal budget	MPDO/MHO
		No LSSPP 2008: budget was 0; provided supplemental budget 200k; for 2009 – P1M in the Annual Mun Budget;				

Annex B

Results chain (Hierarchy of objectives)	Objectively verifiable indicators	Baseline data	Data sources	Data collection methods	Frequency of collection/ Timeframe of monitoring	Unit responsible for data collection
		Barangay Development Plans also provided for budget for sanitation				
5. LSSPP adopted by SB; IEC materials produced and used by the Municipal Environment and Natural Resources Office.	12. LSSPP document completed	No LSSPP	Plan document and Prototype IEC materials	Document review	Upon plan approval & production/dissmination of IEC materials	MHO/MPDO
	13. Official adoption of the LSSCHPP by SB/ approved by the Mayor	Alabel has its own Communication Plan focused on the dissem of the STF Ordinance; there were also consultations on the STF Ordinance; related to the marketability of the STF	Copy of the LSSCHPP	Document Review	Upon completion of the LSSCHPP/ June 30, 2009 ?	Public Information Office under the Office of the Mayor/ MENRO
6. STF Marketing Program implemented	14. STF Marketing Study completed and approved by the Mayor by end of June 2009	Marketing Study on the viability of the STF was conducted in 2005	Copy of the Study under the Southern Mindanao Integrated Coastal Zone Management Project	Document review	Upon completion of the current STF Marketing Study	MENRO





Annex B

Results chain (Hierarchy of objectives)	Objectively verifiable indicators	Baseline data	Data sources	Data collection methods	Frequency of collection/ Timeframe of monitoring	Unit responsible for data collection
	15. Number of forum conducted (to talk about the importance of STF targeting different stakeholders- e.g., establishments and HH of GENSAN to desludge in STF)	In ALABEL during the preparation of STF Ordinance –this was done by ALABEL with the help of ECOGOV	TAMS records  8 barangays of GenSan will be targeted; 50 pax in each barangay;	Document review	Upon completion of each forum	SuSEA TF
	16. Memo of Agreement with GenSan	There is a MEMO of Understanding at present signed in 2007	Copy of the MEMO	Document review	Upon completion of the Memo of Agreement before Sept 2009	SuSEA TF
	17. Memo of agreement with Desludgers	Discussions so far have been conducted.	Copy of the MEMO	Document review	Upon completion of Agreement before Sept 2009	SuSEA TF
	18. Posters/ billboards are installed	No posters on the STF	SUSEA/TA MS record	Analyze effectiveness of the use of posters/ billboards included in the Market Study	Upon completion of the LSSCHPP/ June 30, 2009 ?	SuSEA TF/ MENRO
	19. Radio messages aired	No radio messages on STF	SUSEA/TA MS record	Analyze effectiveness of the use of radio messages included in the Market Study	Upon completion of the LSSCHPP/ June 30, 2009 ?	SuSEA TF/ MENRO
	20. Leaflets disseminated	With Brochure on the STF	SUSEA/TA MS record	Analyze effectiveness of the use of leaflets included in the Market Study	Upon completion of the LSSCHPP/ June 30, 2009 ?	SuSEA TF/ MENRO



Annex B

Results chain (Hierarchy of objectives)	Objectively verifiable indicators	Baseline data	Data sources	Data collection methods	Frequency of collection/ Timeframe of monitoring	Unit responsible for data collection
7. STF Capability Plan implemented	21. Number of coaching sessions conducted on the reasonable pricing targeting MENRO, Mayor and SB for the use of STF	No training conducted on STF before	SUSEA/ TAMS Record	Document review	Upon completion of training	SuSEA TF and TAMS
	22. Number of coaching sessions on STF management-operations and maintenance targeting MENRO and STF Staff					
	23. Number of coaching sessions on facility upgrade and environment/sanitation laws for tank builders					

Annex B

**Bauko**

(Was mapped out by TAMS; LGU M&E Team did not attend the M&E Workshop)

Results chain (Hierarchy of objectives)	Objectively verifiable indicators	Baseline data	Data sources	Data collection methods	Frequency of collection/ Timeframe of monitoring	Unit responsible for data collection
<b>Ultimate outcome</b>						
1. Improved health condition in Bauko, Mountain Province.	1. % reduction in incidence of water borne diseases.		Secondary data from RHU	Records review	Start and end of the project	RHU
<b>Intermediate outcome</b>						
2. Improved access to safe drinking water supply.	2. 50% reduction in fecal contamination of water systems in priority barangays.	>90% of water samples are positive for fecal coliform	Secondary data from RHU	Records review	Start and end of the project	RHU
<b>Immediate outcomes by 2010</b>						
3. Institutional Capacity of Bauko towards implementing prioritized Local Sustainable Sanitation Programs improved.	3. LGU has moved up from Level 0 to Level 2 in the Institutional Sustainable Sanitation Capacity Continuum	LGU has low level of awareness, knowledge, ability and reinforcement to mainstream and implement Drinking Water Protection Program (DWPP)	LSSP Baseline Study using Interviews, review of plans and programs	Assessment by TAMS, DOH-Regional and Bauko LGU using the Institutional Sustainable Sanitation Capacity Continuum.	Mid-term and end phase of the project	TAMS, DOH
<b>Outputs by 2010</b>						
4. LSSP adopted by SB and used as basis for designing sanitation-related programs.	4. Major stakeholders consulted	No Sanitation plan; no budget for sanitation program	Attendance documentation	Document review	Upon Completion of the plan	TAMS

Annex B

Results chain (Hierarchy of objectives)	Objectively verifiable indicators	Baseline data	Data sources	Data collection methods	Frequency of collection/ Timeframe of monitoring	Unit responsible for data collection
	5. Baseline survey used		Plan documentation and final report	Document review	Upon Completion of the plan	TAMS
	6. Plan approved by Local Chief Executive		Copy of the plan	Document review	Upon Completion of the plan	TAMS
	7. Plan adopted by the SB through a resolution					
	8. Budget allocated for the implementation of the plan		Copy of the budget for Sanitation	Document review	Upon Completion of the plan	TAMS
	9. LSSP translated into an Action Plan	No Action Plan	Copy of Action Plan	Document review	Upon completion of the Action Plan	TAMS/SuSEA TF
5. Local Sustainable Sanitation Communication and Health Promotion Program adopted by SB.	10. Series of consultations conducted	No LSSPP	Plan document and Prototype IEC materials	Document review	Upon plan approval & production/dissemination of IEC materials	MHO/ MPDO
	11. LSSPP adopted by SB.	No LSSPP	SB Resolution #	Document Review	Upon adoption of the Plan	TAMS/Local SuSEA TF
	12. IEC materials distributed	No IEC materials	Liquidation report; report on receipt of pamphlets;	Document Review		

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Results chain (Hierarchy of objectives)	Objectively verifiable indicators	Baseline data	Data sources	Data collection methods	Frequency of collection/ Timeframe of monitoring	Unit responsible for data collection
6. Drinking Water Protection Program (DWPP) adopted by SB; implemented by the Municipal Health Office.	13. Potential drinking water contamination identified and analyzed.	Not yet fully established	Results of bacterial test	Actual water sampling; Sanitary survey	One shot assessment to be conducted in August 2009	Sanitary inspectors in MHO/TAMS/
	14. Drinking Water quality monitoring & surveillance process, roles and responsibilities are established	No DWQMSS prior to SuSEA	EO creating DWQMSS	Documents review	Upon creation of DWQMSS	Local SuSEA TF
	15. Drinking Water quality monitoring & surveillance monthly reports are generated and acted upon.	DWQMSS not functional	Minutes of meetings	Documents review	End of the project	Local SuSEA TF
	16. Drinking water protection program (DWPP) is evidence based.	No program	SB Resolution adopting the DWPP	Document review	End of the project	Local SuSEA TF
	17. DWPP adopted by SB.		SB Resolution adopting the DWPP	Document review	End of the project	Local SuSEA TF



Annex B

**Dagupan City**

(Culled from Interviews with TAMS; validated by LGU M&E Team during M&E Workshop last July 30, 2009)

Results chain (Hierarchy of objectives)	Objectively verifiable indicators	Baseline data	Data sources	Data collection methods	Frequency of collection/ Timeframe of monitoring	Unit responsible for data collection
<b>Ultimate outcome</b>						
1. Improved health condition in Dagupan.	1. 50% reduction in water and food-borne diseases in Dagupan	■	SuSEA Baseline Data 2007	Survey, Document review	2007 and 2010	City Health Office
<b>Immediate outcomes</b>						
2. Improved HH access to hygienic latrines & model use of low-cost waste-water treatment facility.	2. 25% reduction in AGE incidence in 10 priority barangays	■	SUSEA Baseline Data 2007	Survey, Document review	2007 and 2010	City Health Office
<b>Immediate outcomes by 2010</b>						
3. Institutional Capacity of Dagupan towards implementing prioritized Local Sustainable Sanitation Programs improved.	3. LGU has moved up from Level 0 to Level 2 in the Institutional Sustainable Sanitation Capacity Continuum- (money allocated for Septage Management; developed process for implementation of the SMP)	LGU has low level of awareness, knowledge, ability in the implementation of AGE-STH Disease Prevention and Control Program and Zero Open Defecation Program	LSSP Baseline Study using Interviews, review of plans and programs	Survey, Assessment using the Institutional Sustainable Sanitation Capacity Continuum.	Mid-term and end phase of the project	TAMS, DOH







Results chain (Hierarchy of objectives)	Objectively verifiable indicators	Baseline data	Data sources	Data collection methods	Frequency of collection/ Timeframe of monitoring	Unit responsible for data collection
Outputs by 2010						
4. LSSP used as basis for designing sanitation-related programs in Dagupan City.	4. Technical Working Group organized,	Existing of Sanitation plan either fragment CHO focused only.	Attendance documentation ; Executive Order	Document review	Upon Completion of the plan	TAMS
Ultimate outcome						
1. Improved health condition in Dagupan.	1. 50% reduction in water and food-borne diseases in Dagupan		SuSEA Baseline Data 2007	Survey, Document review	2007 and 2010	City Health Office
Immediate outcomes						
2. Improved HH access to hygienic latrines & model use of low-cost waste-water treatment facility.	2. 25% reduction in AGE incidence in 10 priority barangays		SUSEA Baseline Data 2007	Survey, Document review	2007 and 2010	City Health Office
Immediate outcomes by 2010						
3. Institutional Capacity of Dagupan towards implementing prioritized Local Sustainable Sanitation Programs improved.	3. LGU has moved up from Level 0 to Level 2 in the Institutional Sustainable Sanitation Capacity Continuum- (money allocated for Septage Management; developed process for implementation of the SMP)	LGU has low level of awareness, knowledge, ability in the implementation of AGE-STH Disease Prevention and Control Program and Zero Open Defecation Program	LSSP Baseline Study using Interviews, review of plans and programs	Survey, Assessment using the Institutional Sustainable Sanitation Capacity Continuum.	Mid-term and end phase of the project	TAMS, DOH
Outputs by 2010						
4. LSSP used as basis for designing sanitation-related programs in Dagupan City.	4. Technical Working Group organized,	Existing of Sanitation plan either fragment CHO focused only.	Attendance documentation ; Executive Order	Document review	Upon Completion of the plan	TAMS



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Results chain (Hierarchy of objectives)	Objectively verifiable indicators	Baseline data	Data sources	Data collection methods	Frequency of collection/ Timeframe of monitoring	Unit responsible for data collection
Outputs by 2010						
4. LSSP used as basis for designing sanitation-related programs in Dagupan City.	4. Technical Working Group organized,	Existing of Sanitation plan either fragment CHO focused only.	Attendance documentation ; Executive Order	Document review	Upon Completion of the plan	TAMS
	5. Baseline survey used	Secondary data collected from local offices.	Baseline Survey inception report	Document review and analysis	Upon Completion of the plan	TAMS & TWG
	6. Plan approved by Local Chief Executive	Copy of the LSSP plan	Copy of the LSSP plan	Document review	Upon Completion of the plan	TAMS & TWG
	7. Plan adopted by the SP through a resolution	LSSP plan approved	Copy of the LSSP plan	Document review	Upon Completion of the plan	TAMS & TWG
	8. Budget allocated for the implementation of the plan	Budget is still fragmented in various offices.	Copy of budgets of various departments.	Document review	Upon Completion of the plan	TAMS & LGU-Dagupan
	9. Plan used as basis for designing sanitation – related programs	Usual operational, environmental sanitation plan of LGU.	Copy of LGU workplan.	Document review	Monthly, Quarterly, Semestral & Annual Report	TAMS & LGU-Dagupan
5. LSSPP developed and implemented by the city.	10. Series of consultations conducted	No LSSPP	Plan document and Prototype IEC materials	Document review	Upon plan approval & production/dissemination of IEC materials	TAMS & TWG
	11. LSSPP approved by Local Chief Executive	Copy of the LSSPP plan	Copy of the LSSCHPP plan	Document review	Upon Completion of the plan	TAMS & TWG
	12. LSSPP adopted by SP.	No LSSPP	SP Resolution #	Document Review	Upon adoption of the Plan	TAMS & TWG
	13. IEC materials distributed	No IEC materials	Liquidation report; report on receipt of pamphlets;	Document Review	Monthly	TAMS & TWG

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Results chain (Hierarchy of objectives)	Objectively verifiable indicators	Baseline data	Data sources	Data collection methods	Frequency of collection/ Timeframe of monitoring	Unit responsible for data collection
6. Baseline studies completed and used as basis for decision making.	14. FGD Consultations conducted 15. Surveys conducted 16. Key Informant Interviews conducted	Fragmented consultations	Baseline Study Inception Report	Survey Forms review  Key informant interview results	Upon adoption of the Plan	TAMS & TWG
7. Disease Surveillance Program implemented by City Health Office	17. CESU organized and functional 18. Surveillance reporting systems installed and functional	Surveillance system not fully functional; activated only during outbreaks.	CESU Weekly Report  Disease Reporting Units	Document review	Weekly/Monthly	CHO, CHD-I, RESU
	19. Monthly reports of AGE-STH generated	Irregular reporting system; data not disaggregated	Disease Reporting Units  Baseline survey	Document review	Weekly/Monthly	CHO, CHD-I, RESU
	20. Actions taken	Actions taken when there is outbreak only	Disease Surveillance Manual	Document review	Monthly	CHO
8. Zero Open Defecation Program implemented by selected barangays as demo sites	21. 11 Priority barangays are evaluated and validated 22. 11 Priority barangays are declared to have ZOD by 2011.	OD still practiced; high incidence of AGE & STH  Zero of the priority barangays are still practicing OD.	Reported incidence	Physical inspection	Monthly & Quarterly	Sanitary inspectors / Barangay Sanitation Task Force TAMS DOH-CHD-I
9. Septage management plan approved by City Council	23. Plan completed by end of 2009 24. Plan approved by City Council by 2010	No Septage management plan; no septage management facility at all	Copy of the Plan	Document review	Upon completion of the Plan	Sanitary Inspectors & Building Officials

### General Santos City

(Culled from Interviews with TAMS; validated by LGU M&E Team during M&E Workshop last July 21, 2009)

Results chain (Hierarchy of objectives)	Objectively verifiable indicators	Baseline data	Data sources	Data collection methods	Frequency of collection/ Timeframe of monitoring	Unit responsible for data collection
<b>Ultimate outcome</b>						
1. Reduced pollution loading from General Santos to Sarangani Bay (Tuna capital) and Silway River.	1. 10 % reduction in BOD Loading to Silway River	To be established by December 2009	MTR	Water sampling being conducted on a monthly basis in 10 sampling points	every semester to capture the dry and wet season	WQMA Governing Board (With GENSAN and EMB)
<b>Intermediate outcome</b>						
2. Utilization of STF in Alabel by GenSan HH	2. % yearly increase in the utilization of STF by GenSAN HH from the current number of HH with septic tanks; 2010= increase by 200 septic tanks	Out of the potential 16K potential HH from GenSan with desludgeable septic tanks from 8 barangays,, only 7/120,000 households HH of desludge their septic tanks in Alabel STF.	GENSAN HH Survey for the STF Marketing	Review of official documents through report of desludgers	Monthly	Waste management office in GenSan
3. Utilization of STF in Alabel by GenSan Industries	3. All industries must comply with septage ordinance standards and put up waste water treatment facilities	32 industries (17 canneries, 5 hogfarms, 3 hospitals, 1 Prwns farm, 1 bottling Company, 1 mall and 2 others)/ _____ industries have waste water treatment facilities	Secondary Data General Santos ENRO	Self Monitoring Report submitted by the Pollution Control Officer of each company to EMB and cc to Waste management office of the LGU	Quarterly	Waste management office and EMB

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Results chain (Hierarchy of objectives)	Objectively verifiable indicators	Baseline data	Data sources	Data collection methods	Frequency of collection/ Timeframe of monitoring	Unit responsible for data collection
4. Utilization of STF in Alabel by GenSan desludgers	4. All four desludgers must comply with Septage management ordinance/ must dispose septage to authorized facilities e.g., ALABEL STF	None dispose because it is an additional cost	Interviews/	Desluding report to be submitted by the desludgers  To be addredited; they have to submit monthly report	Monthly	GEN San Monitorin g TEAM
Immediate outcome						
5. Improved Institutional capability of Gen San LGU to implement the water quality program and septage management program and WQMA compliance plans.	5. LGU has moved up from Level 0 to Level 2 in the Institutional Sustainable Sanitation Capacity Continuum	LGU has limited capability to implement STF marketing program.	LSSP Baseline Study using Interviews, review of plans and programs and pertinent documents	Assessme nt using the Institutional Sustainable Sanitation Capacity Continuum .	Mid-term and end phase of the project	TAMS, DOH
Outputs by 2010 (as completed as of today plus the agreements in the MTR)						
6. LSSP	24. Major stakeholders consulted;	No sanitation planning undertaken prior to SuSEA	Attendance documentat ion	Document review	Upon Completion of the plan	TAMS/ MHO/ MPDO
	25. LSSP team formed by EO	MHO, MPDO, NGOs , barangay captain president total 11	Attendance documentat ion	Document review	Upon Completion of the plan	TAMS/ MHO/ MPDO

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Results chain (Hierarchy of objectives)	Objectively verifiable indicators	Baseline data	Data sources	Data collection methods	Frequency of collection/ Timeframe of monitoring	Unit responsi- ble for data collection
	26. Baseline survey used.	No organized database for sustainable sanitation planning	Plan documentat ion and final report	Document review	Upon Completion of the plan	TAMS/ MHO/ MPDO/ MHO/ TAMS
	27. LSSP Approved by Local Chief Executive	No Sanitation Plan for LCE to approve	Copy of the plan/ SB Resolution	Document review	Upon Completion of the plan	MHO/ MPDO/ TAMS
	28. Plan is adopted by the SB through a resolution	No Sanitation Plan for SB to adopt	SB Resolution	Document review	Upon SB approval & adoption of the plan	MHO/ MPDO/ TAMS
	29. Budget was allocated for the implementation of the plan	No dedicated budget for sanitation, but subsumed under health or general services	Annual Municipal Developme nt Budget; Supplement al budget	Document review	Upon approval of annual municipal budget	MPDO/ MHO
		No LSSPP 2008: budget was 0; provided supplemental budget 200k; for 2009 – PHP1M in the Annual Municipal Budget; Barangay Development Plans also provided for budget for sanitation				
7. LSSPP adopted by SB;IEC materials produced and used by the Municipal Environme nt and Natural Resources Office.	30. LSSPP document completed	No LSSPP	Plan document and Prototype IEC materials	Document review	Upon plan approval & production/ dissemination of IEC materials	MHO/ MPDO



Annex B

Results chain (Hierarchy of objectives)	Objectively verifiable indicators	Baseline data	Data sources	Data collection methods	Frequency of collection/ Timeframe of monitoring	Unit responsible for data collection
	31. Official adoption of the LSSPP by SB/approved by the Mayor	Alabel has its own Communication Plan focused on the dissemination of the STF Ordinance; there were also consultations on the STF Ordinance; related to the marketability of the STF	Copy of the LSSPP	Document Review	Upon completion of the LSSCHPP/ June 30, 2009 ?	Public Information Office under the Office of the Mayor/ MENRO
8. STF Marketing Program implemented	32. STF Marketing Study completed and approved by the Mayor by end of June 2009	Marketing Study on the viability of the STF was conducted in 2005	Copy of the Study under the Southern Mindanao Integrated Coastal Zone Management Project	Document review	Upon completion of the current STF Marketing Study	MENRO
	33. Number of forum conducted ( to talk about the importance of STF targeting different stakeholder s e.g., ,establishments and HH of GENSAN to desludge in STF)	In ALABEL during the preparation of STF Ordinance – this was done by ALABEL with the help of ECOGOV	TAMS records  8 barangays of Gen San will be targeted; 50 pax in each barangay;	Document review	Upon completion of each forum	SuSEA TF

Annex B

Results chain (Hierarchy of objectives)	Objectively verifiable indicators	Baseline data	Data sources	Data collection methods	Frequency of collection/ Timeframe of monitoring	Unit responsible for data collection
	34. Memo of Agreement with GenSan	There is a MEMO of Understanding at present signed in 2007	Copy of the MEMO	Document review	Upon completion of the Memo of Agreement before September 2009	SuSEA TF
	35. Memo of agreement with Desludgers	Discussions so far have been conducted.	Copy of the MEMO	Document review	Upon completion of Agreement before Sept 2009	SuSEA TF
	36. Posters/ billboards are installed	No posters on the STF	SuSEA/TA MS record	Analyze effectiveness of the use of posters/ billboards included in the Market Study	Upon completion of the LSSPP/June 30, 2009 ?	SuSEA TF/ MENRO
	37. Radio messages aired	No radio messages on STF	SuSEA/TA MS record	Analyze effectiveness of the use of radio messages included in the Market Study	Upon completion of the LSSPP/June 30, 2009 ?	SuSEA TF/ MENRO
	38. Leaflets disseminated	With Brochure on the STF	SuSEA/TA MS record	Analyze effectiveness of the use of leaflets included in the Market Study	Upon completion of the LSSPP/June 30, 2009 ?	SuSEA TF/ MENRO
9. Adoption of the septage management program	6. Officially adopted by the LGU	Some forms of septage management exists in the slaughterhouses and city hospitals; but systems have to be put in place; Legal framework, technology options, multistakeholder coordination and behavior change communications				

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Results chain (Hierarchy of objectives)	Objectively verifiable indicators	Baseline data	Data sources	Data collection methods	Frequency of collection/ Timeframe of monitoring	Unit responsi ble for data collection
	7. Septage Mgt Ordinance passed by SP/Mayor and disseminated to the communities	Non-existing				
10. Adoption of the water quality management program	8. WQMA governing board/multi-stakeholder group established and functioning	Non-existing				
	9. Water quality monitoring stations established and regularly monitored	Non-existing				
	10. LGU Action plans and compliance plans formulated					
	11. Local quality area management fund established					
	12. Reduction in pollution loading					
	13. LGU WQMA TF continue to be operational					
	14. Program approved by DENR Secretary					

## Annex B



Results chain (Hierarchy of objectives)	Objectively verifiable indicators	Baseline data	Data sources	Data collection methods	Frequency of collection/ Timeframe of monitoring	Unit responsible for data collection
11. STF Capability Plan  Implemented	15. Number of coaching sessions conducted on the reasonable pricing targeting MENRO, Mayor and SB for the use of STF	No training conducted on STF before	SuSEA/TAMS Record	Document Review	Upon completion of Training	SuSEA TF and TAMS
	16. Number of coaching sessions conducted on STF management operations and maintenance targeting MENRO and STF staff					
	17. Number of coaching sessions conducted on facility upgrade and environment/ sanitation laws for tank builders					

Annex B

Guiuan

(Culled from Interviews with TAMS; validated by LGU M&E Team during M&E Workshop last July 30, 2009)

Results chain	Objectively verifiable indicators	Baseline data	Data sources	Data collection methods for continuous monitoring	Frequency / Timeframe of monitoring	Responsibility to collect data
Ultimate outcome						
Access by poor Filipinos to sustainable sanitation services enhanced.	1. 25% reduction in AGE incidence in priority barangays					
Intermediate outcome: 2010 -2015						
Improved compliance to disease surveillance protocols and management of AGE & STH in GUIUAN	2.		FHSIS/ MESU reports & post project stool survey (Municipal Epidemiological Unit) reports  MESU- more comprehensive but recently activated	Routine RHU reporting system	Weekly for MESU, quarterly for FHSIS	RHU midwife and BHWs
Improved HH access to hygienic latrines, & model use of low-cost waste-water treatment in Guiuan	3.					
Immediate outcomes by 2010						
Institutional Capacity of Guiuan towards implementing prioritized Local Sustainable Sanitation Programs improved.	4. LGU has moved up from Level 0 to Level 2 in the Institutional Sustainable Sanitation Capacity Continuum	LGU has low level of awareness, knowledge, ability and reinforcement to mainstream and implement sustainable sanitation programs	LSSP Baseline Study using Interviews, review of plans and programs	Assessment using the Institutional Sustainable Sanitation Capacity Continuum.	Mid-term and end phase of the project	TAMS, DOH
Outputs by 2010 (as completed as of today plus the agreements in the MTR)						
Quality of the LSSP Case study	5. Major stakeholders were consulted;	No sanitation planning undertaken prior to SuSEA	Attendance documentation	Document review	Upon Completion of the plan	TAMS/MHO/M PDO
	6. LSSP team formed by EO	MHO, MPDO, NGOs , barangay captain president total 11	Attendance documentation	Document review	Upon Completion of the plan	TAMS/MHO/M PDO
	7. Made use of baseline survey	No organized database for sustainable sanitation planning	Plan documentation and final report	Document review	Upon Completion of the plan	TAMS/MHO/M PDO/MHO/TAMS



Annex B

Results chain	Objectively verifiable indicators	Baseline data	Data sources	Data collection methods for continuous monitoring	Frequency / Timeframe of monitoring	Responsibility to collect data
	8. Approved by Local Chief Executive	No Sanitation Plan for LCE to approve	Copy of the plan/SB Resolution	Document review	Upon Completion of the plan	MHO/MPDO/TAMS
	9. Plan is adopted by the SB through a resolution	No Sanitation Plan for SB to adopt	SB Resolution	Document review	Upon SB approval & adoption of the plan	MHO/MPDO/TAMS
	10. Budget was allocated for the implementation of the plan	No dedicated budget for sanitation, but subsumed under health or general services	Annual Municipal Development Budget; Supplemental budget	Document review	Upon approval of annual municipal budget	MPDO/MHO
		No LSSPP 2008: budget was 0; provided supplemental budget 200k; for 2009 – P1M in the Annual Mun Budget; Barangay Development Plans also provided for budget for sanitation				
Presence of LSSPP and evidence of dissemination	11. LSSPP document & Prototype IEC materials completed	No LSSPP	Plan document and Prototype IEC materials	Document review	Upon plan approval & production/dissemination of IEC materials	MHO/MPDO
	12. Official adoption of the LSSPP					
	13. Visibility of the IEC materials					
Baseline/ Inception report; STH incidence rate accurately measured	14. -baseline report is used for LSSP planning & developing IEC materials; used more scientific methods eg. _____ in Dagupan and Guiuan	No LSSP planning done, no IEC materials developed locally; no accurate methods before	LSSP plans and documentation of IEC material development process	Document review	Annual program implementation review	MHO/MPDO



Annex B

Results chain	Objectively verifiable indicators	Baseline data	Data sources	Data collection methods for continuous monitoring	Frequency / Timeframe of monitoring	Responsibility to collect data
Disease prevention and control program implemented						
Zero open defecation program in place Case study	15. Number of clustered HH/ barangays triggered for CLTS		▪ CLTS Report		▪ Upon completion of the CLTS	CLTS team /Municipality-based
	16. Number of barangays declared as ZOD area	▪ 2/11 CLTS sites have ZOD	▪ MHO Report	▪ When site have ZOD, there is a formal announcement	▪ Monthly	▪ CLTS Team
Quality of disease surveillance program Case study	17. Quarterly AGE/STH surveillance reports prepared/ compiled/ analyzed	Inactive MESU, FHSIS reports often incomplete	MESU & Field Health Service Info System reports (routine reports) Plus barangay	Routine MESU & FHSIS data collection and reporting	Quarterly for FHSIS, weekly or monthly for MESU	RHM/PHN for FHSIS, BHW/BSV & RHM/ PHN for MESU
	18. Timely incident reports on AGE filed and investigated for appropriate action	Inactive MESU, incident reports filed only after outbreak	MESU reports	Routine MESU report & investigation	Weekly as needed	Municipal Epidemiologic Surveillance Unit/ assisted by Barangay Health Workers & Barangay Sanitation Volunteers
	19. Database on AGE /STH improved (combination of public and private providers; currently data comes only from the public sector)	Database of doubtful accuracy & timeliness	MESU reports	Routine MESU reporting system  Data base review/ assessment	Weekly as needed	MESU team assisted by BHW/ BSV
Capability plan implemented	20. Refresher course for sanitary inspectors					
	21. Training of barangay sanitary volunteers on their roles					

## Annex B



Results chain	Objectively verifiable indicators	Baseline data	Data sources	Data collection methods for continuous monitoring	Frequency / Timeframe of monitoring	Responsibility to collect data
	22. Municipal Epi (MESU) to be linked to DOH training on updates on epi surveillance/ new protocols					
	23. Training on CLTS for expansion barangays					

Annex B

Polomolok

(Culled from Interviews with TAMS; validated by LGU M&E Team during M&E Workshop last July 30, 2009)

Expected results	Objectively verifiable indicators	Baseline data	Data sources	Data collection methods	Frequency / Timeframe of monitoring	Responsibility to collect data
<b>Ultimate outcome</b>						
1. Improved environmental condition in Polomolok, South Cotabato.	1. 10% reduction in Polomolok BOD loading to Silway River	Ongoing	Copy of Lab results	Monthly water sampling	December 2009	EMB Region 12
<b>Immediate outcomes</b>						
2. Improved compliance to prescribed effluent standards by industries and establishments.	2. % increase in number of industries complying to prescribed standards i(e., Clean Water Act, Department AO 34 & 35)	To be established	MHO Health Data	Documents review	June 2009 and mid 2010	TAMS
3. Improved access to sanitation facilities.	3. % increase in number of households with access to sanitation facilities.	2007 Baseline data showing 12% of HH have no access to sanitation facilities.	MHO Reports	Documents review	Monthly monitoring Evaluation : Mid 2010	MHO
<b>Immediate outcomes by 2010</b>						
4. Institutional Capacity of Polomolok towards implementing prioritized Local Sustainable Sanitation Programs improved.	4. LGU has moved up from Level 0 to Level 2 in the Institutional Sustainable Sanitation Capacity Continuum	LGU has low level of awareness, knowledge, ability and reinforcement to mainstream and implement sustainable sanitation programs	LSSP Baseline Study using Interviews, review of plans and programs	Assessment using the Institutional Sustainable Sanitation Capacity Continuum.	Mid-term and end phase of the project	TAMS, DOH
<b>Outputs by 2010</b>						
5. LSSP adopted by SB and used as basis for designing sanitation-related programs.	5. Major stakeholders consulted	No Sanitation plan; no budget for sanitation program	Attendance documentation	Document review	Upon Completion of the plan	TAMS
	6. Baseline survey used		Plan documentation and final report	Document review	Upon Completion of the plan	TAMS
	7. Plan approved by Local Chief Executive		Copy of the plan	Document review	Upon Completion of the plan	TAMS
	8. Plan adopted by the SB through a	No LSSP	SB Resolution #	Document Review	Upon adoption of the Plan	TAMS/Local SuSEA TF

Annex B

Expected results	Objectively verifiable indicators	Baseline data	Data sources	Data collection methods	Frequency / Timeframe of monitoring	Responsibility to collect data
	8. Plan adopted by the SB through a resolution	No LSSP	SB Resolution #	Document Review	Upon adoption of the Plan	TAMS/Local SuSEA TF
	9. Budget allocated for the implementation of the plan		Copy of the budget for Sanitation	Document review	Upon Completion of the plan	TAMS
	10. Plan used as basis for designing sanitation – related programs					
6. LSSPP adopted by SB and implemented.	11. Series of consultations conducted	No LSSPP	Plan document and Prototype IEC materials	Document review	Upon plan approval & production/dissemination of IEC materials	MHO/MPDO
	12. LSSPP adopted by SB.	No LSSPP	SB Resolution #	Document Review	Upon adoption of the Plan	TAMS/Local SuSEA TF
	13. IEC materials distributed	No IEC materials	Liquidation report; report on receipt of pamphlets;	Document Review		
7. Baseline studies completed and used as basis for decision making.	14. Consultations conducted	No baseline data	Copy of the budget for sanitation related activities	Document Review	Upon approval of 2010 annual investment plan	TAMS/Local SuSEA TF
	15. Findings analyzed and presented.					
8. Water pollution prevention and control program of Polomolok (WPPCP) adopted by SB	16. Pollution sources identified and mapped out.	No program	Copy of the WPPCP	Document Review	End of 2009	TAMS/Local SuSEA TF
	17. Stakeholders specifically EMB, industries, LGU representatives at the municipal and barangay levels, are involved in the drafting of the WPPCP.	Drafting has not yet started.	Minutes of meetings	Document review	December 2009	EMB Region 12
	18. Multi-partite Monitoring Committee (MMC) formed by October 2009.	Not yet formed.	Minutes of meetings	Document review	Upon signing of the Administrative Order forming the MMC	TAMS/Local SuSEA TF
	19. WPPCP action plan formulated by October 2009.	No Action Plan	Copy of the Action Plan	Document review	Upon approval	

Annex B

Expected results	Objectively verifiable indicators	Baseline data	Data sources	Data collection methods	Frequency / Timeframe of monitoring	Responsibility to collect data
	20. WPPCP adopted by SB by December 2009.	No WPPCP	Copy of WPPCP signed by SB	Document Review	Upon adoption of the Plan	TAMS/Local SuSEA TF
	21. WPPCP Action Plan implemented by 2010.	No Action Plan	Copy of the Action Plan	Quarterly evaluation	Quarterly	TAMS/Local SuSEA TF/ MMC
9. Adoption of the water quality management program	22. WQMA governing board/ multi-stakeholder group established by September 2009	Still to be formed	DAO forming the WQMA board.	Review of quarterly meetings	Upon signing of the DAO	TAMS/Local SuSEA TF
	23. Quarterly WQMA governing board meeting conducted.	Still to be formed	DAO forming the WQMA board.	Review of quarterly meetings	Quarterly	TAMS/Local SuSEA TF
	24. Water quality monitoring stations established and regularly monitored from March 2009 onwards.	On-going since March 2009;	Laboratory results and maps	Comparison of actual laboratory results with standards	Monthly	TAMS/Local SuSEA TF
	25. LGU Action plans and compliance plans formulated	None	Copy of the plans	Document review		TAMS/Local SuSEA TF
	26. Local quality area management fund established	None	Copy of the guideline	Document review		TAMS/Local SuSEA TF
	27. LGU WQMA TF is operational	None	Copy of the guideline	Document review		TAMS/Local SuSEA TF
	28. WQMA Program approved by DENR Secretary	None	Copy of the guideline	Document review		TAMS/Local SuSEA TF
10. Implementation and enforcement of Solid Waste Management Plan and Ordinance.	29. 100% awareness on Solid Waste Management Ordinance	The implementation of the CSWMO was weak	Baseline survey	Review ESWM plan	throughout the year thru billboards and IEC Materials	ESWMO, BLGU, Enforcers
	30. Total waste segregation at source	Ongoing	Gen. Ordinance number 5 Series of 2009		Throughout the year	ESWMO, Enforcers, BLGU

## Annex C



Expected results	Objectively verifiable indicators	Baseline data	Data sources	Data collection methods	Frequency / Timeframe of monitoring	Responsibility to collect data
	31. Reduced number of violators	ongoing	Number of citation ticket and receipts on file	Review document	Quarterly	ESWMO, Mayor's office
	32. Increased production of vermi worm and vermi cast	ongoing	OMAg reports	Review documents	Quarterly	OMAg, ESWMO
	33. Lengthen the life/usage of Sanitary landfill	Ongoing	SLF card report	Review document	Yearly	ESWMO, MEO



## Annex C: Institutional Capacity Building Continuum Guide

### Instructions on Validating Institutional Capability

1. Under each institutional core capability, objectively verifiable indicators are listed. Identify the objectively verifiable indicators in your LGU. For example: Were consultations conducted in the drafting of the sustainable sanitation plan? If yes, please check this item.

Institutional Core capabilities	Level 1 Formation and Installation: Appreciating and understanding sanitation as a reform agenda	Level 2 Adoption and implementation: Implementing sanitation programs	Level 3 Institutionalization Continuously improving the sustained implementation of sanitation programs	Level 4 Performance Excellence Benchmarking in the sustained implementation of sanitation programs
Capability to commit and engage	<ul style="list-style-type: none"> <li>▪ Capability to take ownership;</li> <li>▪ Ability and willingness to take action;</li> <li>▪ Ability to aspire;</li> <li>▪ Ability to embed conviction;</li> <li>▪ Ability to be determined;</li> </ul>			
Local Sustainable Sanitation Plan mainstreamed in the LGU's strategic directions	<ul style="list-style-type: none"> <li>▪ Consultations conducted</li> <li>▪ Targets and priorities identified and defined</li> <li>▪ Strategy and plans defined</li> <li>▪ Planning for Sanitation program (potential finance, agreement on host institution, consensus on modalities of program) mapped out</li> </ul>	<ul style="list-style-type: none"> <li>▪ Strategy and Direction translated into an AO</li> <li>▪ Sustainable Sanitation Plan adopted by SB</li> <li>▪ Sustainable Sanitation Plan allocated with budget</li> <li>▪ Prioritized actionable items in the LSSP implemented.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Implementation of the Sustainable Sanitation Plan continuously improved.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Sanitation policies and strategies are recognized as benchmark practices.</li> </ul>



# Annex C



Institutional Core capabilities	Level 1 Formation and Installation: Appreciating and understanding sanitation as a reform agenda	Level 2 Adoption and implementation: Implementing sanitation programs	Level 3 Institutionalization Continuously improving the sustained implementation of sanitation programs	Level 4 Performance Excellence Benchmarking in the sustained implementation of sanitation programs
Capability to commit and engage	<ul style="list-style-type: none"> <li>▪ Capability to take ownership;</li> <li>▪ Ability and willingness to take action;</li> <li>▪ Ability to aspire;</li> <li>▪ Ability to embed conviction;</li> <li>▪ Ability to be determined;</li> </ul>			
Visible Sponsorship of sanitation programs demonstrated	<ul style="list-style-type: none"> <li>▪ Sanitation program has clear champions</li> <li>▪ Sanitation sponsors/ champions demonstrate support for the change</li> <li>▪ Participate actively and visibly during the installation phase</li> <li>▪ Engage with and provide support for the project</li> <li>▪ Take a lead role in building and maintaining a healthy coalition in support of sanitation programs</li> </ul>	<ul style="list-style-type: none"> <li>▪ Identify and manage resistance</li> <li>▪ Provide the necessary reinforcement/ resources for the implementation of sanitation programs</li> <li>▪ Participate actively and visibly during the adoption phase</li> <li>▪ Take a lead role in multiplying allies in support of sanitation programs</li> </ul>	<ul style="list-style-type: none"> <li>▪ Provide the resources/ reinforcement towards continuous improvement in the implementation of sanitation programs.</li> <li>▪ Participate actively and visibly during the continuous improvement phase</li> <li>▪ Take a lead role in reinforcing continuous improvement mindsets in the implementation of sanitation programs</li> </ul>	<ul style="list-style-type: none"> <li>▪ Championship of sanitation reforms is recognized as a benchmark practice.</li> </ul>







## Annex C

Institutional Core capabilities	Level 1 Formation and Installation: Appreciating and understanding sanitation as a reform agenda	Level 2 Adoption and implementation: Implementing sanitation programs	Level 3 Institutionalization Continuously improving the sustained implementation of sanitation programs	Level 4 Performance Excellence Benchmarking in the sustained implementation of sanitation programs
Capability to carry out technical, service delivery and logistical tasks	<ul style="list-style-type: none"> <li>Capabilities to deliver services</li> <li>Ability to carry out technical or logistical tasks such as program analysis, financial management, project management, advocacy etc</li> <li>Emphasis is on functional, instrumental ways of meeting a set of objectives and fulfilling a mandate.</li> </ul>			
Financing scheme for targeted sanitation program defined and implemented	<ul style="list-style-type: none"> <li>Budget for sanitation programs allotted.</li> <li>Incentive framework for sanitation (national sanitation awards, local sanitation prizes, performance grant systems for achievement of collective outcomes) formulated.</li> <li>Capital maintenance investments (annualised depreciation costs; renewal costs) formulated.</li> </ul>	<ul style="list-style-type: none"> <li>Budget allotted for sanitation provided</li> <li>Evidence of sanitation activities outside donor-supported programs demonstrated</li> <li>Incentive framework implemented.</li> <li>Operational finance channels to local government and within local government working (defined mechanisms, funds flowing)</li> <li>Incentive framework implemented</li> </ul>	<ul style="list-style-type: none"> <li>% of budget for Sanitation / total local budget increased</li> <li>Incentive framework improved</li> </ul>	<ul style="list-style-type: none"> <li>Financing scheme recognized as a benchmark practice.</li> </ul>
Mechanisms for advocating targeted sanitation programs defined and implemented	<ul style="list-style-type: none"> <li>Consultation with end-users regarding key challenges, constraints, priorities and needs conducted</li> <li>Promotional activities and communications campaigns (sanitation, hygiene, health) formulated/ reviewed</li> <li>Cross-sectoral and cross-program linkages (insertion of sustainable sanitation messages into existing campaigns and</li> </ul>	<ul style="list-style-type: none"> <li>Promotional activities used</li> <li>Communication plan implemented.</li> <li>Cross-sectoral and cross-program linkages (insertion of sustainable sanitation messages into existing campaigns and large-scale programs) operational</li> <li>Communication campaigns used</li> <li>Exposure visits continuously conducted.</li> <li>Best practices continuously shared/ disseminated</li> </ul>	<ul style="list-style-type: none"> <li>Mechanisms for advocating sanitation issues continuously improved.</li> </ul>	<ul style="list-style-type: none"> <li>Mechanism for advocating sanitation issues considered as benchmark practice.</li> </ul>





## Annex C

Institutional Core capabilities	Level 1 Formation and Installation: Appreciating and understanding sanitation as a reform agenda	Level 2 Adoption and implementation: Implementing sanitation programs	Level 3 Institutionalization Continuously improving the sustained implementation of sanitation programs	Level 4 Performance Excellence Benchmarking in the sustained implementation of sanitation programs
	<ul style="list-style-type: none"> <li>large-scale programs) established</li> <li>Communication s campaigns (market research, design, implementation, effectiveness) completed</li> <li>Exposure visits (evidence of efforts to expose key stakeholders to effective approaches in other areas/countries) initiated</li> <li>Best practice seminars (dissemination of best practice at national and local level) conducted</li> <li>Field notes/brochures /advocacy material documented and packaged as Knowledge products</li> </ul>			
Targeted sanitation systems/ programs implemented	<ul style="list-style-type: none"> <li>Demand for sanitation programs evident</li> <li>Commitment by lead agency to develop national/ local program (allocation of resources, development of plan/strategy, identification of challenges and opportunities) evident</li> <li>Sanitation program translated into an action plan</li> <li>Sanitation program allotted with budget</li> </ul>	<ul style="list-style-type: none"> <li>Cost-effective technologies and approaches implemented/ documented</li> <li>National and local government (and other stakeholders) are coordinating program design and implementation</li> <li>Sanitation program implemented.</li> <li>Increase in service coverage/treatment rates/volumes manifested</li> <li>Change in health or environmental status (AGE, STH, pollution) demonstrated</li> </ul>	<ul style="list-style-type: none"> <li>Sanitation program continuously improved.</li> <li>Increase in service coverage/treatment rates/volumes manifested</li> <li>Change in health or environmental status (AGE, STH, pollution) demonstrated</li> </ul>	<ul style="list-style-type: none"> <li>Sanitation program recognized as benchmark practice.</li> <li>Increase in service coverage/treatment rates/volumes manifested</li> <li>Change in health or environmental status (AGE, STH, pollution) demonstrated</li> </ul>



## Annex C



Institutional Core capabilities	Level 1 Formation and Installation: Appreciating and understanding sanitation as a reform agenda	Level 2 Adoption and implementation: Implementing sanitation programs	Level 3 Institutionalization Continuously improving the sustained implementation of sanitation programs	Level 4 Performance Excellence Benchmarking in the sustained implementation of sanitation programs
Specific Environment Programs				
Monitoring and evaluation of targeted sanitation programs conducted	<ul style="list-style-type: none"> <li>▪ Baseline survey completed (and evidence that data disseminated e.g., utilized in advocacy material)</li> <li>▪ Sanitation service mapping at national and local levels (identify un-served and low-service areas, priority intervention areas, pollution hotspots) conducted</li> <li>▪ health status mapping at national and local levels (identify areas of high sanitation-related disease, high malnutrition) conducted</li> <li>▪ Routine systems for monitoring sanitation and health status (allocation of capacity and resources, development of systems, evidence of regular reports, evidence of use of M&amp;E reports) established</li> </ul>	<ul style="list-style-type: none"> <li>▪ Sanitation performance metrics mainstreamed in DOH PMS</li> <li>▪ Sanitation performance results used as basis for decision making</li> <li>▪ User satisfaction surveys (citizen score cards, satisfaction surveys, consumer and market research) conducted</li> <li>▪ Independent evaluation of best practice interventions (reliable evidence of beneficial outcomes and impacts, cost-effectiveness data) documented and communicated</li> </ul>	<ul style="list-style-type: none"> <li>▪ Sanitation performance results used as basis for decision making and continuous improvement</li> </ul>	<ul style="list-style-type: none"> <li>▪ Sanitation performance metrics integrated in the DILG LGPMS.</li> </ul>



## Annex C



Institutional Core capabilities	Level 1 Formation and Installation: Appreciating and understanding sanitation as a reform agenda	Level 2 Adoption and implementation: Implementing sanitation programs	Level 3 Institutionalization Continuously improving the sustained implementation of sanitation programs	Level 4 Performance Excellence Benchmarking in the sustained implementation of sanitation programs
Capability to relate and to attract resources and support.	<ul style="list-style-type: none"> <li>Ability to craft, manage and sustain key relationships needed</li> <li>Ability to enter into relationships that produce new sources of funding, staff and leaning</li> <li>Ability to earn the trust of others such as donors and clients</li> </ul>			
Institutional arrangements mapped out and implemented	<ul style="list-style-type: none"> <li>Stakeholder mapping, including sanitation service providers (identification of constraints/overlaps/opposition) conducted</li> <li>Inventory of capacity and resources (for implementation/compliance/monitoring/enforcement of laws, regulations, policies, strategies and programs) mapped out</li> <li>Clear definition of roles and responsibilities for sustainable sanitation (oversight, regulation, finance, implementation, monitoring and evaluation) defined</li> <li>New partnerships or institutions (since inception of SuSEA program) formed</li> <li>Sanitation networks (regularity of meetings, attendance, plans, actions, achievements, constraints) established</li> </ul>	<ul style="list-style-type: none"> <li>Allies in the sanitation sector multiplied.</li> <li>Sanitation allies tapped.</li> <li>Roles and responsibilities carried out</li> <li>Partnerships are functioning and operational</li> <li>Sanitation networks functional</li> </ul>	<ul style="list-style-type: none"> <li>Roles and responsibilities enhanced based on emerging conditions</li> <li>Partnership enhanced based on emerging conditions</li> <li>Sanitation networks continuously improved.</li> </ul>	<ul style="list-style-type: none"> <li>Institutional arrangements recognized as benchmark practices.</li> </ul>

## Annex C



Institutional Core capabilities	Level 1 Formation and Installation: Appreciating and understanding sanitation as a reform agenda	Level 2 Adoption and implementation: Implementing sanitation programs	Level 3 Institutionalization Continuously improving the sustained implementation of sanitation programs	Level 4 Performance Excellence Benchmarking in the sustained implementation of sanitation programs
Coordination implemented	<ul style="list-style-type: none"> <li>Multi-stakeholder evidence base developed (sharing of findings, consensus on challenges, cost-effectiveness data)</li> <li>Mechanisms for coordination bodies at national and local levels (regularity of meetings, attendance at meetings - level and organization, plans, actions, achievements, constraints) established</li> <li>Consensus on optimal technologies and approaches for different situations (evidence of coordinated/common policy in all main national and local programs)</li> <li>Involvement of private sector (manufacturers, service providers, local producers and businessmen) in planning, policy and program development forums</li> </ul>	<ul style="list-style-type: none"> <li>Multi-stakeholder mechanisms for coordination functioning and operational</li> <li>Allies at the local and national level multiplied</li> </ul>	<ul style="list-style-type: none"> <li>Multi-stakeholder Mechanisms for coordination continuously improved.</li> </ul>	<ul style="list-style-type: none"> <li>Multi-stakeholder mechanisms for coordination considered benchmark practice.</li> </ul>



## Annex C



Institutional Core capabilities	Level 1 Formation and Installation: Appreciating and understanding sanitation as a reform agenda	Level 2 Adoption and implementation: Implementing sanitation programs	Level 3 Institutionalization Continuously improving the sustained implementation of sanitation programs	Level 4 Performance Excellence Benchmarking in the sustained implementation of sanitation programs
Capability to adapt and self renew	<ul style="list-style-type: none"> <li>Capabilities to improve individual and organizational learning</li> <li>Capabilities to incorporate new ideas</li> <li>Capabilities to map out a growth path</li> </ul>			
Development programs on Sanitation implemented	<ul style="list-style-type: none"> <li>Development needs analyses on sanitation conducted</li> <li>Development program(s) on sanitation mapped out</li> </ul>	<ul style="list-style-type: none"> <li>Development programs on sanitation conducted</li> </ul>	<ul style="list-style-type: none"> <li>Development programs on sanitation continuously enhanced</li> </ul>	<ul style="list-style-type: none"> <li>Development programs implementation considered benchmark practices</li> </ul>
Capability to balance diversity and coherence	<ul style="list-style-type: none"> <li>Capabilities to sustain implementation of a reform agenda amidst conflicting demands from multiple stakeholders</li> </ul>			
Rewards and sanctions on the implementation of sanitation programs implemented.	<ul style="list-style-type: none"> <li>Reward and Sanction framework for implementation of sanitation programs formulated</li> <li>Rewards and sanction framework translated into an Administrative/ Memorandum Order</li> </ul>	<ul style="list-style-type: none"> <li>Rewards for compliance to sanitation standards implemented</li> <li>Sanctions for non-compliance to sanitation standards implemented</li> </ul>	<ul style="list-style-type: none"> <li>Rewards and sanctions on sanitation standards compliance continuously assessed and improved.</li> </ul>	<ul style="list-style-type: none"> <li>Rewards and sanction framework considered a benchmark practice.</li> </ul>

### 2. Validate the institutional capability level of your LGU using the Institutional Capability Profile template:

Institutional Capacities based on Review of Literature <sup>12</sup>	Demonstrated capabilities	Evaluation of current level of Institutional Capability as of [date]	Technical assistance required to remain strong in the current level or move to the next level
Capability to commit and engage			
Capability to carry out technical, service delivery and logistical tasks			
Capability to relate and to attract resources and support			
Capability to adapt and self renew			
Capability to balance diversity and coherence			

<sup>12</sup> Baser and Morgan, 2008. *Capacity, Change and performance*.

## Annex D: Performance Evaluation Framework per site

### Alabel

(Completed by the ALABEL M&E Team during the M&E Workshop conducted last July 21, 2009)

Results chain	Objectively verifiable indicators	Baseline data	Actual performance in July 2009	Rating 5= all OVIs achieved 3= major OVIs achieved 1= some OVIs achieved	Weight	Weighted rating	Overall rating
Ultimate outcome							
1. Reduced pollution loading from Alabel to Sarangani Bay.	Safe disposal of 50% (225 cubic meters) septage collected in Alabel	Target for 2009, which is 10% of total desludgeable tanks: 225 septic tanks X2 cubic meters =450 cubic meters					
Intermediate outcome							
2. Increased 50% in the utilization of STF in Alabel	10 % yearly increase in the utilization of STF in ALABEL from the current number of 2,250 hh with septic tanks;	Total number of HH = 11, 144; only 2, 250 have septic tanks; (out of this only 34 hh desludge outside of ALABEL					
	% yearly increase in the utilization of STF by GenSAN hh from the current number of HH with septic tanks; 2010= increase by 200 septic tanks	Out of the potential 16K potential HH from GenSan with desludgeable septic tanks from 8 barangays,, only 7/120,000 households HH of desludge their septic tanks in Alabel STF.					
	% yearly increase in the number of HH with septic tanks	Total number of HH = 11, 144; only 2, 250 have septic tanks					

Annex D

Results chain	Objectively verifiable indicators	Baseline data	Actual performance in July 2009	Rating 5= all OVIs achieved 3= major OVIs achieved 1= some OVIs achieved	Weight	Weighted rating	Overall rating
Immediate outcome by 2010							
3. Improved Institutional capability of ALABEL LGU in the marketing of the STF.	LGU has moved up from Level 0 to Level 2 in the Institutional Sustainable Sanitation Capacity Continuum	LGU has limited capability to implement STF marketing program.					
Outputs by 2010 (as completed as of today plus the agreements in the MTR)							
4. LSSP	Major stakeholders consulted;	No sanitation planning undertaken prior to SuSEA	LSSP team formed sometime in 2008				
	LSSP team formed by EO & functional	MHO, MPDO, NGOs, barangay captain president total 11	>E.O issued last qtr. 2008 >regular meeting (not all members are that active)				
	Baseline survey used.	No organized database for sustainable sanitation planning	> SuSEA Baseline Information survey > Survey of HHs septic tanks assisted by EcoGov				
	LSSP Approved by Local Chief Executive	No Sanitation Plan for LCE to approve	>LSSP approved by LCE				
	Plan is adopted by the SB through a resolution	No Sanitation Plan for SB to adopt	>LSSP approved by SB thru resolution				



# Annex D



Results chain	Objectively verifiable indicators	Baseline data	Actual performance in July 2009	Rating 5= all OVIs achieved 3= major OVIs achieved 1= some OVIs achieved	Weight	Weighted rating	Overall rating
	Budget was allocated for the implementation of the plan	No dedicated budget for sanitation, but subsumed under health or general services	>budget is allocated for specific sanitation program (septage mngt) not the whole implementation of LSSP				
		No LSSPP 2008; budget was 0; provided supplemental budget 200k; for 2009 – PHP1 M in the Annual Municipal Budget; Barangay Development Plans also provided for budget for sanitation					
5. LSSPP adopted by SB;IEC materials produced and used by the Municipal Environment and Natural Resources Office.	LSSPP document completed	No LSSPP	> LSSPP not finally approved/ adopted (only draft)				



# Annex D



Results chain	Objectively verifiable indicators	Baseline data	Actual performance in July 2009	Rating 5= all OVIs achieved 3= major OVIs achieved 1= some OVIs achieved	Weight	Weighted rating	Overall rating
	Official adoption of the LSSCHPP by SB/ approved by the Mayor	Alabel has its own Communication Plan focused on the dissemination of the STF Ordinance; there were also consultations on the STF Ordinance; related to the marketability of the STF					
6. STF Marketing Program implemented	STF Marketing Study completed and approved by the Mayor by end of June 2009	Marketing Study on the viability of the STF was conducted in 2005	> STF Marketing Plan is underway (for final refinement ) assisted by SuSEA				
	Number of forum conducted (to talk about the importance of STF targeting different stakeholders e.g., establishments and HH of GENSAN to desludge in STF)	In ALABEL during the preparation of STF Ordinance – this was done by ALABEL with the help of EcoGov	Marketing workshops assisted by EcoGov & SuSEA				
	Memo of Agreement with GenSan	There is a MEMO of Understanding at present signed in 2007	>on-going finalization / drafting of MOA w/ GenSan				
	Memo of agreement with Desludgers	Discussions so far have been conducted.	>preliminary dialogues with private desludgers in GenSan				



Annex D

Results chain	Objectively verifiable indicators	Baseline data	Actual performance in July 2009	Rating 5= all OVIs achieved 3= major OVIs achieved 1= some OVIs achieved	Weight	Weighted rating	Overall rating
	Posters/ billboards are installed	No posters on the STF	> Pro-forma/tem plate of IEC material prepared ready for reproduction & installation				
	Radio messages aired	No radio messages on STF	No radio messages on STF				
	Leaflets disseminated	With brochure on the STF	>only draft brochures/ leaflets provided/ initially distributed				
7. STF Capability Plan implemented	Number of coaching sessions conducted on the reasonable pricing targeting MENRO, Mayor and SB for the use of STF	No training conducted on STF before	>series of training workshops facilitated by EcoGov >coaching sessions with SuSEA				
	Number of coaching sessions on STF management-operations		>Desludging crew/ MENRO staff trained on STF				
	and maintenance targeting MENRO and STF Staff		operation >commissioning on septage treatment operation conducted last Oct-Nov. 2007				
	Number of coaching sessions on facility upgrade and environment/ sanitation laws for tank builders		>No similar training conducted				



**Bauko**

(Did not attend the M &amp; E Workshop)

Expected results	Objectively verifiable indicators	Baseline data	Actual performance in July 2009	Rating 5= all OVIs achieved 3= major OVIs achieved 1= some OVIs achieved	Weight	Weighted rating	Overall rating
Ultimate outcome							
1. Improved health condition in Bauko, Mountain Province.	% reduction in incidence of water borne diseases.						
Intermediate outcome							
2. Improved access to safe drinking water supply.	50% reduction in fecal contamination of water systems in priority barangays.	>90% of water samples are positive for fecal coliform					
Immediate outcomes by 2010							
3. Institutional Capacity of Bauko towards implementing prioritized Local Sustainable Sanitation Programs improved.	LGU has moved up from Level 0 to Level 2 in the Institutional Sustainable Sanitation Capacity Continuum	LGU has low level of awareness, knowledge, ability and reinforcement to mainstream and implement Drinking Water Protection Program (DWPP)					
Outputs by 2010							
4. LSSP adopted by SB and used as basis for designing sanitation-related programs.	Major stakeholders consulted	No Sanitation plan; no budget for sanitation program					
	Baseline survey used						

## Annex D



Expected results	Objectively verifiable indicators	Baseline data	Actual performance in July 2009	Rating 5= all OVs achieved 3= major OVs achieved 1= some OVs achieved	Weight	Weighted rating	Overall rating
	Plan approved by Local Chief Executive implementation of the plan						
	LSSP translated into an Action Plan	No Action Plan					
5. LSSPP adopted by SB.	Series of consultations conducted	No LSSPP					
	LSSPP adopted by SB.	No LSSPP					
	IEC materials distributed	No IEC materials					
6. Drinking Water Protection Program (DWPP) adopted by SB; implemented by the Municipal Health Office.	Potential drinking water contamination identified and analyzed.	Not yet fully established					
	Drinking Water quality monitoring & surveillance process, roles and responsibilities are established.	No DWQMSS prior to SuSEA					
	Drinking Water quality monitoring & surveillance monthly reports are generated and acted upon.	DWQMSS not functional					
	Drinking water protection program (DWPP) is evidence based.	No program					
	DWPP adopted by SB.						

## Dagupan City

(Completed by Dagupan City M &amp; E Team last July 30, 2009)

Expected results	Objectively verifiable indicators	Baseline data	Actual performance in July 2009	Rating 5= all OVIs achieved 3= major OVIs achieved 1= some OVIs achieved	Weight	Weighted rating	Overall rating
Ultimate outcome							
1. Improved health condition in Dagupan.	50% reduction in water and food-borne diseases in Dagupan	▪		1			
Immediate outcomes							
2. Improved HH access to hygienic latrines & model use of low-cost waste-water treatment facility.	25% reduction in AGE incidence in 10 priority barangays	▪		1			
Immediate outcomes by 2010							
3. Institutional Capacity of Dagupan towards implementing prioritized Local Sustainable Sanitation Programs improved.	LGU has moved up from Level 0 to Level 2 in the Institutional Sustainable Sanitation Capacity Continuum (money allocated for Septage Management; developed process for implementation of the SMP)	LGU has low level of awareness, knowledge, ability in the implementation of AGE-STH Disease Prevention and Control Program and Zero Open Defecation Program					
Outputs by 2010							
4. LSSP adopted by SB and used as basis for designing sanitation-related programs.	Major stakeholders consulted	No Sanitation plan; no budget for sanitation program					
	Baseline survey used						
	Plan approved by Local Chief Executive						
	Plan adopted by the SB through a resolution						

# Annex D



Expected results	Objectively verifiable indicators	Baseline data	Actual performance in July 2009	Rating 5= all OVIs achieved 3= major OVIs achieved 1= some OVIs achieved	Weight	Weighted rating	Overall rating
	through a resolution						
	Budget allocated for the implementation of the plan						
	Plan used as basis for designing sanitation – related programs						
5. LSSPP adopted by SB and implemented.	Series of consultations conducted	No LSSPP					
	LSSPP adopted by SB.	No LSSPP					
	IEC materials distributed	No IEC materials					
	Improved level of hygienic practices						
6. Baseline studies completed and used as basis for decision making.	Consultations conducted						
	Findings analyzed and presented.						
7. Disease Prevention and Control Program implemented by City Health Office	Surveillance reporting systems installed and functional	Surveillance system not fully functional; activated only during outbreaks.					



# Annex D



Expected results	Objectively verifiable indicators	Baseline data	Actual performance in July 2009	Rating 5= all OVIs achieved 3= major OVIs achieved 1= some OVIs achieved	Weight	Weighted rating	Overall rating
	Monthly reports of AGE-STH generated	Irregular reporting system; data not disaggregated					
	Actions taken	Actions taken when there is outbreak only					
8. Zero Open Defecation Program implemented by selected barangays as demo sites	Priority barangays have ZOD						
9. Septage management plan approved by City Council	Plan completed by end of 2009 Plan approved by City Council by 2010	No Septage management plan; no septage management facility at all					



## General Santos City

(Completed by Dagupan City M & E Team last July 21, 2009)

Results chain	Objectively verifiable indicators	Baseline data	Actual performance in July 2009	Rating 5= all OVIs achieved 3= major OVIs achieved 1= some OVIs achieved	Weight	Weighted rating	Overall rating
Ultimate outcome							
1. Reduced pollution loading from General Santos to Sarangani Bay (Tuna capital) and Silway River.	10% reduction in BOD Loading to Silway River	To be established by December 2009					
Intermediate outcome							
2. Utilization of STF in Alabel by GenSan HH	% yearly increase in the utilization of STF by GenSan HH from the current number of HH with septic tanks; 2010= increase by 200 septic tanks	Out of the potential 16K potential HH from GenSan with desludger tanks from 8 barangays, only 7/120,000 households HH of desludger tanks in Alabel STF.					
3. Utilization of STF in Alabel by GenSan Industries	All industries must comply with septage ordinance standards and put up waste water treatment facilities	32 industries (17 canneries, 5 hogfarms, 3 hospitals, 1 Prawns farm, 1 bottling Company, 1 mall and 2 others)/ _____ industries have waste water treatment facilities					

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Results chain	Objectively verifiable indicators	Baseline data	Actual performance in July 2009	Rating 5= all OVIs achieved 3= major OVIs achieved 1= some OVIs achieved	Weight	Weighted rating	Overall rating
4. Utilization of STF in Alabel by GenSan desludgers	All four desludgers must comply with Septage management ordinance/ must dispose septage to authorized facilities e.g., ALABEL STF	None dispose because it is an additional cost					
Immediate outcome							
5. Improved Institutional capability of GenSan LGU to implement the water quality program and septage management program and WQMA compliance plans.	LGU has moved up from Level 0 to Level 2 in the Institutional Sustainable Sanitation Capacity Continuum	LGU has limited capability to implement STF marketing program.					
Outputs							
6. LSSP	Major stakeholders consulted;	No sanitation planning undertaken prior to SuSEA					
	LSSP team formed by EO – GenSan SuWM Board	CHO, CPDO, NGOs, barangay captain president					
	Baseline survey used.	No organized database for sustainable sanitation planning					
	LSSP Approved by Local Chief Executive	No Sanitation Plan for LCE to approve					



# Annex D



Results chain	Objectively verifiable indicators	Baseline data	Actual performance in July 2009	Rating 5= all OVIs achieved 3= major OVIs achieved 1= some OVIs achieved	Weight	Weighted rating	Overall rating
	Plan is adopted by the SB through a resolution	No Sanitation Plan for SB to adopt					
	Budget was allocated for the implementation of the plan	No dedicated budget for sanitation, but subsumed under health or general services					
7. LSSPP adopted by SB; IEC materials produced and used by the Municipal Environment and Natural Resources Office.	LSSPP document completed	No LSSPP					
	Official adoption of the LSSPP by SB/approved by the Mayor	Alabel has its own Communication Plan focused on the dissemination of the STF Ordinance; there were also consultations on the STF Ordinance; related to the marketability of the STF					



# Annex D



Results chain	Objectively verifiable indicators	Baseline data	Actual performance in July 2009	Rating 5= all OVIs achieved 3= major OVIs achieved 1= some OVIs achieved	Weight	Weighted rating	Overall rating
Adoption of the septage management program	Officially adopted by the LGU	Some forms of septage management exists in the slaughterhouses and city hospitals; but systems have to be put in place;	Annex D				
		Legal framework, technology options, multistakeholder coordinations and behavior change communications					
	Septage Management Ordinance passed by SP/Mayor and disseminated to the communities	Non-existing					
Adoption of the water quality management program	WQMA governing board/ multi-stakeholder group established and functioning	Non-existing					
	Water quality monitoring stations established and regularly monitored	Non-existing					



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Results chain	Objectively verifiable indicators	Baseline data	Actual performance in July 2009	Rating 5= all OVIs achieved 3= major OVIs achieved 1= some OVIs achieved	Weight	Weighted rating	Overall rating
	LGU Action plans and compliance plans formulated						
	Reduction in pollution loading						
	LGU WQMA TF continue to be operational						
	Program approved by DENR Secretary						
Capability plan implemented	Number of training conducted on WQMA TF roles defined/basic principles explained	<ul style="list-style-type: none"> <li>Key LGU officials were trained on WQMA by EMB</li> </ul>					
		Legal framework, technology options, multistakeholder coordinations and behavior change communications					
	Septage Management Ordinance passed by SP/Mayor and disseminated to the communities	Non-existing					



# Annex D



Results chain	Objectively verifiable indicators	Baseline data	Actual performance in July 2009	Rating 5= all OVIs achieved 3= major OVIs achieved 1= some OVIs achieved	Weight	Weighted rating	Overall rating
Adoption of the water quality management program	WQMA governing board/ multi - stakeholder group established and functioning	Non-existing					
	Water quality monitoring stations established and regularly monitored	Non-existing					
	LGU Action plans and compliance plans formulated						
	Reduction in pollution loading						
	LGU WQMA TF continue to be operational						
	Program approved by DENR Secretary						
Capability plan implemented	Number of training conducted on WQMA TF roles defined/basic principles explained	<ul style="list-style-type: none"> <li>Key LGU officials were trained on WQMA by EMB</li> </ul>					



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Results chain	Objectively verifiable indicators	Baseline data	Actual performance in July 2009	Rating 5= all OVIs achieved 3= major OVIs achieved 1= some OVIs achieved	Weight	Weighted rating	Overall rating
		through a technical consultant					
	Funding the WQMA						
	Training Septic tank builder on building septic tanks						
	LGU on Water quality management						
	Info dissemination on WQMA for targeted communities along the watershed						

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Guiuan

(Completed during the M & E Workshop conducted last July 30, 2009)

Results chain	Objectively verifiable indicators	Baseline data	Actual performance in July 2009	Rating 5= all OVIs achieved 3= major OVIs achieved 1= some OVIs achieved	Weight	Weighted rating	Overall rating
Ultimate outcome							
Access by poor Filipinos to sustainable sanitation services enhanced.	25% reduction in AGE incidence in priority barangays in GUIUAN						
Intermediate outcome: 2010 -2015							
Improved compliance to disease surveillance protocols and management of AGE & STH in GUIUAN							
Improved HH access to hygienic latrines, & model use of low-cost waste-water treatment in Guiuan							
Immediate outcomes by 2010							
Institutional Capacity of Guiuan towards implementing prioritized Local Sustainable Sanitation Programs improved.	LGU has moved up from Level 0 to Level 2 in the Institutional Sustainable Sanitation Capacity Continuum	LGU has low level of awareness, knowledge, ability and reinforcement to mainstream and implement sustainable sanitation programs					



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Results chain	Objectively verifiable indicators	Baseline data	Actual performance in July 2009	Rating 5= all OVIs achieved 3= major OVIs achieved 1= some OVIs achieved	Weight	Weighted rating	Overall rating
Disease prevention and control program implemented	Number of clustered HH/ barangays triggered for CLTS						
	Number of barangays declared as ZOD areas	<ul style="list-style-type: none"> <li>2/11 CLTS sites have ZOD</li> </ul>					
	Quarterly AGE/STH surveillance reports prepared/ compiled/ analyzed	Inactive MESU, FHSIS reports often incomplete	MESU & Field Health Service Info System reports (routine reports) Plus barangay	Routine MESU & FHSIS data collection and reporting	Quarterly for FHSIS, weekly or monthly for MESU	RHM/PHN for FHSIS, BHW/BSV & RHM/PHN for MESU	
	Timely incident reports on AGE filed and investigated for appropriate action	Inactive MESU, incident reports filed only after outbreak	MESU reports	Routine MESU report & investigation	Weekly as needed	Municipal Epidemiologic Surveillance Unit/ assisted by Barangay Health Workers & Barangay Sanitation	



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Results chain	Objectively verifiable indicators	Baseline data	Actual performance in July 2009	Rating 5= all OVIs achieved 3= major OVIs achieved 1= some OVIs achieved	Weight	Weighted rating	Overall rating
						Volunteers	
	Database on AGE/STH improved (combination of public and private providers; currently data comes only from the public sector)	Database of doubtful accuracy & timeliness	MESU reports	Routine MESU reporting system  Data base review/ assessment	Weekly as needed	MESU team assisted by BHW/ BSV	
Capability plan implemented	Refresher course for sanitary inspectors						
	Training of barangay sanitary volunteers on their roles						
	Municipal Epi (MESU) to be linked to DOH training on updates on epi surveillance / new protocols						
	Training on CLTS for expansion barangays						





(Completed by the Polomolok M & E Team during the M & E Workshop conducted last July 30, 2009)

Expected results	Objectively verifiable indicators	Baseline data	Actual performance in July 2009	Rating 5= all OVIs achieved 3= major OVIs achieved 1= some OVIs achieved	Weight	Weighted rating	Overall rating
Ultimate outcome							
1. Improved environmental condition in Polomolok, South Cotobato.	10% reduction in Polomolok BOD loading to Silway River	Ongoing					
Immediate outcomes							
2. Improved compliance to prescribed effluent standards by industries and establishments.	% increase in number of industries complying to prescribed standards (i.e., Clean Water Act, Department AO 34 & 35)	To be established					
3. Improved access to sanitation facilities.	% increase in number of households with access to sanitation facilities.	2007 Baseline data showing 12% of HH have no access to sanitation facilities.					
Immediate outcomes by 2010							
4. Institutional Capacity of Polomolok towards implementing prioritized Local Sustainable Sanitation Programs improved.	LGU has moved up from Level 0 to Level 2 in the Institutional Sustainable Sanitation Capacity Continuum	LGU has low level of awareness, knowledge, ability and reinforcement to mainstream and implement sustainable sanitation programs					

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Expected results	Objectively verifiable indicators	Baseline data	Actual performance in July 2009	Rating 5= all OVs achieved 3= major OVs achieved 1= some OVs achieved	Weight	Weighted rating	Overall rating
Outputs by 2010							
5. LSSP adopted by SB and used as basis for designing sanitation-related programs.	Major stakeholders consulted	No Sanitation plan; no budget for sanitation program					
	Baseline survey used						
	Plan approved by Local Chief Executive						
	Plan adopted by the SB through a resolution	No LSSP					
	Budget allocated for the implementation of the plan						
	Plan used as basis for designing sanitation – related programs						
6. LSSPP adopted by SB and implemented.	Series of consultations conducted	No LSSPP					
	LSSPP adopted by SB.	No LSSPP					
	IEC materials distributed	No IEC materials					
7. Baseline studies completed and used as basis for decision making.	Consultations conducted	No baseline data					
	Findings analyzed and presented.						



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Expected results	Objectively verifiable indicators	Baseline data	Actual performance in July 2009	Rating 5= all OVIs achieved 3= major OVIs achieved 1= some OVIs achieved	Weight	Weighted rating	Overall rating
8. Water pollution prevention and control program of Polomolok (WPPCP) adopted by SB	Pollution sources identified and mapped out.	No program					
	Stakeholders specifically EMB, industries, LGU representatives at the municipal and barangay levels, are involved in the drafting of the WPPCP.	Drafting has not yet started.					
	Multi-partite Monitoring Committee (MMC) formed by October 2009.	Not yet formed.					
	WPPCP action plan formulated by October 2009.	No Action Plan					
	WPPCP adopted by SB by December 2009.	No WPPCP					
	WPPCP Action Plan implemented by 2010.	No Action plan					



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Expected results	Objectively verifiable indicators	Baseline data	Actual performance in July 2009	Rating 5= all OVIs achieved 3= major OVIs achieved 1= some OVIs achieved	Weight	Weighted rating	Overall rating
9. Adoption of the water quality management program	WQMA governing board/ multi-stakeholder group established by September 2009	Still to be formed		1			
	34. Quarterly WQMA governing board meeting conducted	Still to be formed					
	Water quality monitoring stations established and regularly monitored from March 2009 onwards.	On-going since March 2009;					
	LGU Action plans and compliance plans formulated	None					
	Local quality area management fund established	None					
	LGU WQMA TF is operational	None					
	WQMA Program approved by DENR Secretary	None					