



MDGF-1919: Enhancing Access to and Provision of Water Services with the Active Participation of the Poor

**Manual of Guidelines
for Baseline Survey of Thirty-Six Waterless Municipalities
*Volume IV. Manual of Guidelines
For Institutional Assessment***



March 29, 2010



**Department of the Interior and Local Government (DILG)
Office of Project Development Services (OPDS)
Water Supply and Sanitation Unit (WSSU)**

For more information, visit our website: www.dilg-mdgf1919.org.ph

ACRONYMS AND ABBREVIATIONS

BOD	Board of Directors
BT	Bantay Tubig
BWASA	Barangay (or rural) Water Supply and Sanitation Association
Cap Ass	Capacity Assessment
Cap Dev	Capacity Development
CBMS	Community-Based Monitoring System
CBP	Capacity Building Process
CE	Collection Efficiency
DENR	Department of Environment and Natural Resources
DILG	Department of the Interior and Local Government
DOF	Department of Finance
DOH	Department of Health
DPWH	Department of Public Works and Highways
EO	Executive Order
FGD	Focus Group Discussion
IA	Institutional Assessment
IEC	Information, Education & Communication
IPs	Indigenous Peoples
JP	Joint Programme
KII	Key Informant Interview
LCE	Local Chief Executive
LCP	League of Cities of the Philippines
LGU	Local Government Unit
LGU-RWD	Local Government Unit-Run Water Districts
LWUA	Local Water Utilities Administration
M&E	Monitoring and Evaluation
MDGF	Millenium Development Goal Fund
ME	Municipal Engineer
MHO	Municipal Health Officer
MLGOO	Municipal Local Government Operations Officer
MOA	Memorandum of Agreement
NEDA	National Economic and Development Authority

ACRONYMS AND ABBREVIATIONS

NRW	Non Revenue Water
O&M	Operation and Maintenance
OPW	Orientation and Planning Workshop
P3W	President's Priority Program for Water
PD	Provincial Director
PDMU	Project Development Management Unit
PIA	Participatory Institutional Assessment
PLGOO	Provincial Local Government Operations Officer
PPDO	Provincial Planning and Development Office
PWD	Person With Disability
PWSP	Private Water Service Providers
RWASA	Rural Water & Sanitation Association
SEHS	Socio-Economic Household Survey
SLWSC	Streams and Local Water and Sanitation Councils
TWG	Technical Working Group
UNDP	United Nations Development Programme
VI	Viability Index
WATSAN	Water and Sanitation
WDs	Water District
WSPs	Water Service Providers
WSSU	Water Supply and Sanitation Unit
WUAs	Water Users Associations

ACKNOWLEDGMENT

This Manual of Guidelines for the Baseline Survey of Thirty-Six Waterless Municipalities under the Joint Programme *Enhancing Access to and Provision of Water Services with the Active Participation of the Poor* is intended to be a tool for establishing the actual situation of water and sanitation in the target municipalities. It was prepared through the convergence of efforts and inputs from different stakeholder.

In this connection, the Department of the Interior and Local Government (DILG) wishes to acknowledge the participation and contribution of different stakeholders who have been involved in its drafting, pre-test and completion:

- the DILG Regional Offices, Water and Sanitation Focal Persons at Regional, Provincial and Municipal levels;
- the Provincial and Municipal Local Government Units participating in the Joint Programme and their respective Water and Sanitation (WATSAN) Teams;
- Non-governmental organizations which participated in deliberations;
- Our partner agencies – the National Economic and Development Authority, National Water Resources Board, Local Water Utilities Administration, to name a few;
- The Municipalities of Tungawan and Danggagan of the provinces of Zamboanga Sibugay and Bukidnon, respectively, which were the areas for the pre-test of guidelines for field level data gathering and assessment;
- Our donors- the United Nations Development Programme, the United Nations International Children’s Emergency Fund and the Government of Spain without whose support the preparations would have not been pursued;
- And all others who in one way or another made this output possible.

It is hoped that appropriate use of the guidelines contained herein would provide useful basis for sustainable development and management of water and sanitation programs.

INTRODUCTION

Referred to as MDGF 1919, the UNDP-assisted Joint Programme *Enhancing Access to and Provision of Water Services with the Active Participation of the Poor* focuses on institutional strengthening to complement the infrastructural interventions in the water and sanitation sector, mainly in thirty-six waterless municipalities. The main outcomes of the Joint Programme (JP), which are in line with the Philippine Water Supply Sector Road Map are: (1) Investment support mechanisms shall have been established for poor communities/municipalities to improve efficiency, access, affordability and quality of affordable water; and (2) enhanced local capacities to develop, operate and manage water utilities by fostering participation in decisions relating to water service provision.

Towards assuring sustainability, the JP needs to refer to baseline data and information on what is currently in place. The Baseline Survey is the first key component under outcome 2 (enhanced local capacities) that is envisioned to provide useful basis for planning the development efforts for water and sanitation. The survey focuses on three major components: technical inventory, assessment and mapping of existing infrastructures; profile and status of households; and profile and capacities of water users associations, local water service providers and local government units, particularly the water and sanitation councils.

To guide the DILG Water and Sanitation Unit and its counterpart teams at Regional, Provincial and Municipal levels in undertaking such task, the Baseline Survey Manual is compiled in four volumes containing general and specific guidelines and tools for activities at field level : **Volume I** The MDGF 1919 Complete Manual of Guidelines for Baseline Survey of Thirty-Six Waterless Municipalities; **Volume II** The Manual of Guidelines for Facilities Mapping, Technical Inventory and Assessment; **Volume III** The Manual of Guidelines for Household Survey; and **Volume IV** The Manual of Guidelines for Institutional Assessment. Another separate package, **Volume V**, shall be issued towards the culmination of the Baseline survey to serve as guide for data management, preservation, updating and retrieval.

It is hoped that these guidelines could best help in accomplishing the desired outputs. Our office will welcome any further comments and suggestions as the survey progresses.

GENERAL GUIDELINES FOR CONDUCTING THE MDGF 1919 BASELINE SURVEY

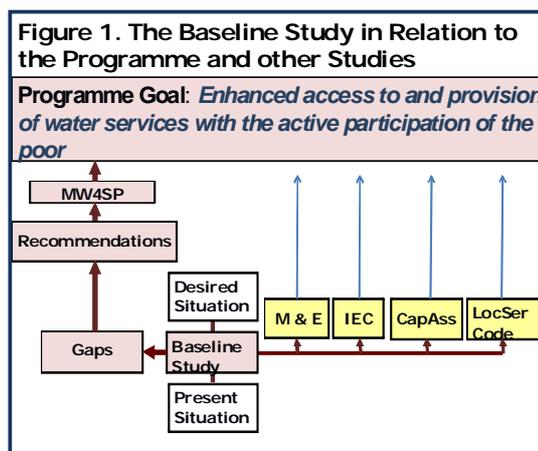
1 Background and Introduction

1.1 Anchorage: The Joint Programme

The United Nations, the Government of Spain and the Government of the Philippines pursues the Joint Programme (JP) “Enhancing Access to, and Provision of Water Services with the Active Participation of the Poor”. The JP shall complement the existing infrastructure programs on potable water supply, particularly the President’s Priority Program on Water (P3W) by providing the “soft” components. The main outcomes of the JP, which are in line with the Philippine Water Supply Sector Road Map are: (1) Investment support mechanisms shall have been established for poor communities/municipalities to improve efficiency, access, affordability and quality of affordable water; and (2) enhanced local capacities to develop, operate and manage water utilities by fostering participation in decisions relating to water service provision.

Towards assuring sustainability, the JP needs to refer to baseline data and information on what is currently in place: inventory and mapping of existing infrastructures; profile and capacities of water users associations and/or local water service providers; and factors which hinder or facilitate the access to, and provision of water services with special focus on the poor and the disadvantaged.

An assessment of the local situation in connection with water supply will best support the direction for sustainable development in the sector by establishing the gaps and corresponding recommendations which would be useful reference for the preparation of Municipal Water Supply, Sewerage, and Sanitation Sector Plan (MW4SP). The study, simply called the *MDGF 1919 Baseline Survey*, would be coordinated with other components of the Joint Programme – Monitoring and Evaluation, Information, Education and Communication, Capacity Assessment, and Local Service Code. This is illustrated in Figure 1.



1.2 Purpose of the MDGF 1919 Baseline Survey

The MDGF 1919 Baseline Survey is envisioned to be a conscientious situation analysis which could serve as useful baseline data and information on Water and Sanitation in the target municipalities. Key question to be answered is:

“What factors facilitate or hinder the access to and provision of water services to beneficiaries, especially the poor?”

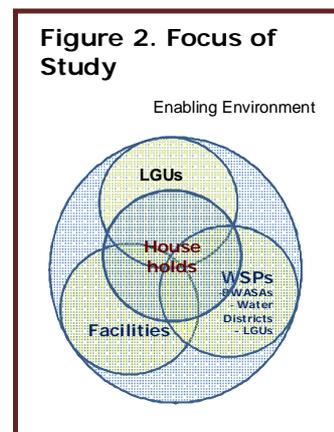
Specifically, the Survey aims to establish the current situation in terms of:

- Current state of the infrastructure facilities whether : (1) fully functional; (2) partially functional; or (3) non-functional;
- Profile, status of the households, with special focus on women and children, the extent by which they access, or are served by the water supply facilities, and the extent by which they are involved in decision-making;
- An assessment of water users’ associations, roles and capacities to engage in local governance processes (decision-making, planning and implementation); demand accountabilities; and practice gender equality;
- An assessment of water service providers in terms of roles and capacities: 1) in providing safe, adequate, affordable and continuous water services; 2) ensuring gender equality and integrity in the provision of water services; 3) and regularly consulting and providing information to the community;
- An assessment of the Municipal Water and Sanitation (WATSAN) Councils’ roles and capacities: as a) local oversight body on water matters and engaging the community in regular dialogues and consultations; b) in promoting gender equality in policies and plans; and c) in ensuring integrity in the whole local water governance and the rights of its local citizens to water is promoted, protected and fulfilled.

1.3 Focus of the Study

The Study, therefore, focuses on:

- 1) the households
- 2) the physical facilities
- 3) the Water Service Providers (WSPs) and the Local Government Units (LGUs); and
- 4) the enabling environment – external factors such as policies, relationships, the environment, and others which affect the households, the facilities, the water service providers, the LGUs and their relationships in the course of accessing/delivering water services.



1.4 Target Municipalities

The target municipalities for baseline survey are listed below.

Table 1. List of Thirty-Six (36) Waterless Municipalities for Baseline Survey

Region	Province		Municipality
II	1	Cagayan	1 Abulug
			2 Alacapan
			3 Ballesteros
			4 Lasam
			5 Pamplona
			6 Sto. Niño
V	2	Isabela	7 Palanan
	3	Camarines Norte	8 Basud
IX	4	Camarines Sur	9 Capalonga
			10 Garchitorena
			11 Siruma
			12 Gutalac
			13 Jose Dalman
			14 Kalawit
	5	Zamboanga del Norte	15 Katipunan
			16 Siayan
			17 Siocon
			18 Sirawai
			19 Alicia
			20 Payao
	6	Zamboanga Sibugay	21 Titay
			22 Tungawan
			23 Lapuyan
			24 Midsalip
			25 Tigbao
	X	8	Bukidnon
27 Don Carlos			
28 Kadingilan			
29 Kibawe			
30 Kitaotao			
31 Sultan Naga Dimaporo			
CARAGA	9	Lanao del Norte	32 Baliangao
			33 Sinacaban
CARAGA	10	Misamis Occidental	34 Claveria
			35 La Paz
CARAGA	11	Misamis Oriental	36 Sibagat
			12

2 Users and Uses of the Baseline Survey Guidelines

These guidelines provide the requirements, processes and tools in pursuing the baseline survey, adopting unified approach and methodology that espouse participatory concepts and strategies. Basic roles and responsibilities of different groups are also identified, as well as reporting form. *WATSAN Teams may be*

allowed to undertake subject to a prior notification and agreement with the Water Supply and Sanitation Unit (WSSU).

Table 2. Specific Users and Uses of the Baseline Survey Guidelines

Users	Uses
DILG-OPDS/WSSU and DILG regional, provincial and municipal level offices	Provision of guidance for implementing teams Monitoring of progress of activities and expected outputs
Provincial and Municipal LGUs	Reference for related decisions
Provincial and Municipal WATSAN Teams	Guide for the conduct of baseline survey activities Reference for the implementation and supervision of activities
Enumerators/Technical Inventory Teams	Guide for data gathering

3 Key Activities

The activities for the baseline survey is grouped into five phases involving the different focus of attention:

- ✚ capacity building for WATSAN teams and those to be involved in data gathering
- ✚ data gathering with the use of prescribed tools and procedures
- ✚ analysis – processing and analysis of data culminating in participatory analysis at LGU level
- ✚ ownership – consisting of presentation of findings and generation of further from WATSAN Teams, LGUs, communities and other stakeholders
- ✚ reporting – involves the incorporation of findings, analysis and recommendations in a report per municipality.

The outline of activities and description of details are shown in the next pages.

Figure 1. Outline of Baseline Survey Activities

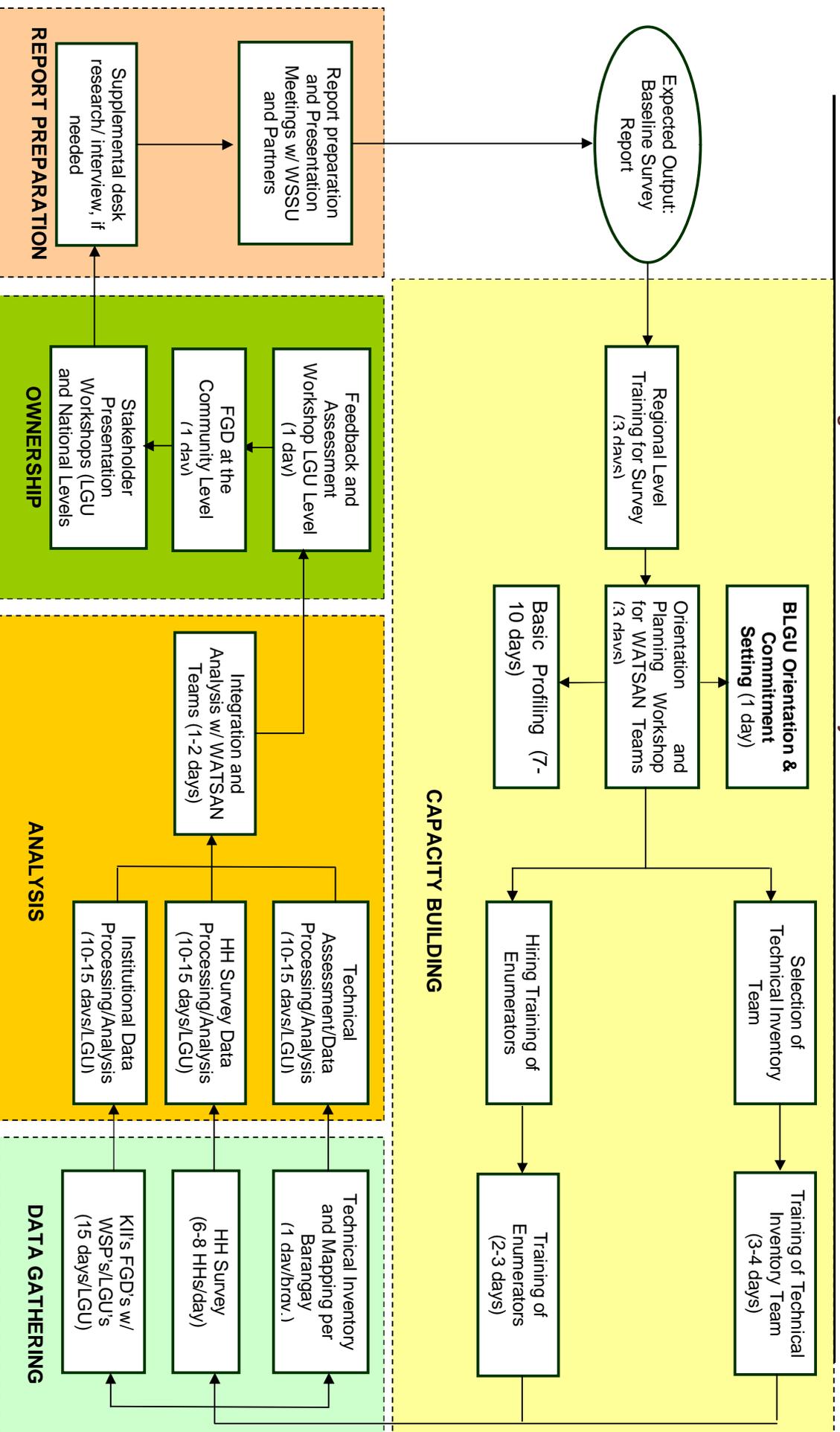


Table 3. Description of Specific Activities for the Baseline Survey

Activity/Key Outputs	Specific Objectives	Specific Activities	Who Will Do It	Target Source/ Participants
CAPACITY BUILDING PHASE				
1. Regional level training for Baseline Survey <u>Key outputs:</u> Regional Detailed Work Plan for Baseline Survey	Orient the Regional counterparts on the guidelines for survey	Review of agreements and schedules during regional JP orientation	WSSU and consultants	WATSAN Teams at Regional and Provincial levels
	Enable preparation of specific action plans and strategies	Discussion of Baseline Survey guidelines		Municipal WATSAN Teams
	Enable subdivision of tasks among WATSAN teams	Contextualization of questionnaires; strategy formulation		
		Detailed planning		
		Role Delineation		
Reporting system				
2. Orientation and Planning Workshops for WATSAN Teams <u>Key outputs:</u> P/MWATSAN Work Plans for Baseline Survey Task Subdivision within teams	Orient the Provincial and Municipal WATSAN Teams on Baseline Survey Guidelines	Review/contextualization of Baseline Survey Guidelines		
	Enable preparation of specific work plans and strategies	Assessment of local situations and available resources		
		Work Planning		
Agree on operating norms, including reporting	General Interaction			
3. BLGU Orientation and Commitment Setting	Orient BLGU and generate commitment and work plans for the conduct of survey	Overview of the Baseline Survey: background, purpose, activities	Municipal WATSAN Team	BLGU key officials (at least the Brgy. Chairperson, Chairperson of Infrastructure Committee, Brgy. Secretary)
		List of activity schedules and action requirements from BLGU		
		BLGU scheduling of activities: -Basic Profiling -technical inventory and mapping -Household survey -Community Feedback meeting/FGDs -others		
4. Basic profiling <u>Key Outputs:</u> -Basic Profiles	Establish extent of coverage of water and sanitation services	Review of records at municipal and/or barangay levels	Municipal WATSAN Team/Barangay leaders	WATSAN Records, barangay profiles, project

per Municipality				records
5. Selection of Technical Team	Assign team to undertake technical inventory and assessment	Clarification of tasks	Municipal WATSAN team	
		Formal designation		
7. Selection/hiring of enumerators	Assign team to undertake household census and survey	Clarification of tasks and qualifications	Municipal WATSAN Team	BHW, BPO or equivalent, designated/hired enumerators
		Formal designation		
8. Training of Enumerators and Technical Inventory Team	Install, observe knowledge and skills in the conduct of activities	Orientation/ classroom training	Municipal WATSAN Team	Assigned/hired technical team and enumerators
		On-the-job training/guided practice		
DATA GATHERING PHASE				
9. Technical inventory/assessment and mapping per barangay	Gather data requirements	Inventory/assessment of source, facilities and service areas	Technical team	Water source, water supply facilities, sanitation facilities, key informants
10. Census and Survey		Interviews	Enumerators	Sample households
11. Institutional Assessment		Documents review, key informant interview, FGDs	Consultant/WATSAN Teams	Key informants from WSPs, LGUs, etc.
ANALYSIS PHASE				
12. Processing and analysis of data	Analyze data and information gathered	Review, editing, encoding, tabulation, analysis	WSSU and consultants	
13. Integration and analysis at WATSAN level	Undertake overall analysis and interpretation	Discussion of findings Incorporation of inputs from WATSAN Teams	WSSU/PDMU	WATSAN Teams
OWNERSHIP PHASE				
14. Feedback and assessment workshop at LGU level	Promote LGU ownership of findings	Presentation of findings Further situation analysis (gaps, factors and constraints)	WSSU/PDMU	LGU management and staff
15. FGD at the community level	Provide feedback on survey results and generate community assessment of WATSAN	Presentation of findings - Potentials - Gaps - Factor/ Constraints - Opportunities	WATSAN Teams	Sample inhabitants; If there are IPs, IPs must have separate FGD
16. Feedback meeting at LGU level	Present, discuss baseline survey results and generate list of next steps by LGUs	Half day meeting	MWATSAN Team with support from WSSU/PDMU	LGU LCE and key LGU management and staff
REPORTING PHASE				
17. Supplemental	To support, validate	Documents review,	Consultants	

Desk Research/ Interview	or probe findings as may be necessary	Interviews, research	or e-		
18. Report preparation and Presentation Meetings	To present findings, incorporate further views of partners and stakeholders	Presentation Workshops; preparation/ packaging	Report	Consultants with WSSU	Partner institutions, other stakeholders

4 Directory of Tools

The tools for the baseline survey consist of:

- ✚ instructional guidelines (general and specific guidelines). The specific guidelines accompany each specific data gathering form and questionnaire
- ✚ data gathering forms
- ✚ questionnaires, and
- ✚ Activity guides.

For easier reference, the tools are packaged according to the users and categories of data/information to be gathered. Shown in the next page is the directory of data gathering tools

Table 4. Directory of Data Gathering Tools for the Baseline Survey for MDGF 1919

	Title	Code	Main User/s
A	General Guidelines	MDGF-BS-GGL	All
B	Guide for BLGU Orientation	MDGF-BS-BLO	P/MWATSAN Teams
C	Guidelines for Basic Profiling	MDGF-BS-PGL	
	Assessment of Water Supply Coverage	MDGF-BS-PWS	WSSU-Regional Coordinators (RCs)/WATSAN Teams
	List of Health and Sanitation Facilities	MDGF-BS-PSF	
	General Information on Water Service Providers (WSPs)	MDGF-BS-PSP	
D	Guide for Selection and Training of Technical Assessment Team and Enumerators	MDGF-BS-STE	PMWATSAN Teams
E	Technical Assessment		Technical Inventory/ Assessment Team
	Guidelines for Spot Mapping of Water Supply and Sanitation Facilities	MDGF-BS-SMP	
	Guidelines for Technical Inventory and Assessment of Water and Sanitation Facilities	MDGF-BS-TGL	
	Forms:		
	- General Information on Water Supply Facilities	MDGF-BS-GWS	
	- Level I Facilities Technical Information	MDGF-BS-WS1	
	- Level II Facilities Technical Information	MDGF-BS-WS2	
- Level III Facilities Technical Information	MDGF-BS-WS3		

	- General Information on Sanitation Facilities	MDGF-BS-SF1	
	- Technical Information on Sanitation Facilities	MDGF-BS-SF2	
	- Guide for Computerized Entry of Technical Data	MDGF-BS-TDC	
F	Guidelines for Conducting Household Survey	MDGF-BS-SGH	Enumerators and Household Survey Supervisors,
	Interview Schedule	MDGF-BS-HSQ	
G	Guidelines for Institutional Assessment		Institutional Assessment Team
	Plan and Guidelines for Institutional Assessment	MDGF-BS-PGI	
	Detailed Guidelines for Data Gathering	MDGF-BS-DGI	
	Data Generation Tools	MDGF-BS-GTI	
	Key Informant Interview Questionnaires and Guides	MDGF-BS-KII	
	Focus Group Discussion (FGD) Guide	MDGF-BS-FGD	

5 Roles and Responsibilities

Table 5. Roles and Responsibilities of Groups in the Baseline Survey

Pre-Implementation	Implementation	Post-Implementation
WSSU		
<p>Orient/train regional/provincial WATSAN Teams</p> <p>Disseminate policies/guidelines and information materials</p> <p>Prepare simple monitoring reports (physical and financial)</p>	<p>Monitor progress of baseline survey</p> <p>Participate in consultation/sharing sessions with consultants</p> <p>Coordinate baseline activities with other components</p> <p>Review/analyze outputs of consultants and of WATSAN Teams, participate in review sessions/workshops</p>	<p>Reproduce, disseminate survey outputs</p> <p>Facilitate utilization of survey results in MW4SP preparation and other tasks under JP</p> <p>Maintain data bank of baseline – related data and information</p> <p>Undertake relevant advocacy, information sharing and dissemination</p>
Baseline Consultants		
<p>Participatory preparation of survey guidelines/tools including activity designs</p> <p>Assist WSSU in the conduct of JP orientation and planning</p>	<p>Install capacities for the conduct of baseline survey including data management</p> <p>Provide technical assistance and supportive monitoring to WATSAN Teams in coordination with WSSU and the PDMU</p> <p>Prepare/submit progress reports</p> <p>Prepare/submit baseline survey reports in accordance with the TOR requirements</p> <p>Conduct review sessions</p>	<p>Turnover relevant documents and data to WSSU upon task completion</p>

	in collaboration with the WSSU Project Officer and RCs	
PDMU		
<p>Initiate planning for baseline survey within the region</p> <p>Mobilize manpower and resources</p>	<p>Coordinate the baseline activities and related support at the regional and provincial levels including those with NGOs and other stakeholders</p> <p>Initiate preparation of work plans by WATSAN Teams</p> <p>Monitor progress of activities within the region, submit progress reports to WSSU</p> <p>Centralize the documentation and reporting system, submit reports to WSSU</p>	<p>Centralize regional level documentation and other relevant documents for reference purposes</p> <p>Initiate project development activities as may be identified during implementation phase</p> <p>Undertake continuing monitoring of gaps, recommendations and actions identified during baseline survey implementation</p>
Provincial WATSAN Teams		

<p>Support, assist the Municipal WATSAN Teams in plan and strategy preparation</p> <p>Coordinate with PDMU Mobilize resources at provincial level, if necessary</p>	<p>Support, assist the WATSAN Teams in the implementation of survey</p> <p>Coordinate the activities at provincial level</p> <p>Mobilize resources at provincial level, if necessary</p> <p>Consolidate reports from Municipal WATSAN Teams, submit to PDMU with analysis and recommendations</p> <p>Provide technical guidance and inputs during workshops, conferences and similar sessions.</p>	<p>Initiate provincial level policies and plans in support to the results of baseline survey</p> <p>Provide support to MLGUs on actions in relation to Baseline survey results</p>
<p>Municipal WATSAN Teams</p>		
<p>Prepare plans and strategies for the implementation of baseline survey</p> <p>Facilitate preparation/ submission of pre-baseline survey implementation requirements</p> <p>Identify/recommend enumerators, members of technical inventory team, and other necessary personnel</p>	<p>Supervise, enforce baseline survey guidelines</p> <p>Check, validate outputs of data gathering, ensure completeness and compliance with requirements and guidelines</p> <p>Prepare/submit progress reports</p> <p>Attend sharing/assessment sessions as may be called for.</p> <p>Undertake advocacy and information sharing/dissemination at Municipal level</p>	<p>Initiate provincial level policies and plans in support to the results of baseline survey</p> <p>Advocate for related local water-related advocacy funds</p> <p>Propose for related studies for the furtherance of relevant survey findings.</p>

6 Reporting

The WATSAN Teams shall report the progress of activities to the Project Development Management Unit (PDMU) of the DILG Regional Office. The PDMU shall in turn submit reports to the WSSU. Frequency of reporting shall be monthly. Reports shall be submitted via email to WSSU through the Regional Coordinator every 5th working day of succeeding month.

Format shall be as follows:

Progress Report on Baseline Survey for MDGF 1919: Enhancing Access to and Provision of Water Services with the Active Participation of the Poor					
Region					
<i>For the month of</i>					
Date start of activities					
Target date of completion					
	Outputs	Targets		Accomplishment	
		Qty	Date	Qty	Date
1	Enumerators assigned/hired				
2	Technical team				
3	Trained Enumerators and technical team				
4	Spot Maps				
5	Households Surveyed				
6	Key Informant Interviews				
7	Focus Group Discussions				
	others				
Issues/Concerns					
Submitted by:				Date Received by WSSU:	
PDMU					



MDG ACHIEVEMENT FUND IN THE PHILIPPINES

**MDGF 1919: Enhancing Access to
and Provision of Water Services with the
Active Participation of the Poor**

Baseline Survey of Thirty-Six Waterless Municipalities

Guide for BLGU Orientation

MDGF-BS-BLO

GUIDE FOR BLGU ORIENTATION

1. Why Conduct the BLGU Orientation

- ✚ To orient the Barangay LGUs, through its leaders, on the purpose, activities and requirements of the Baseline Survey, including the needed support and participation from them
- ✚ To generate initial commitment to provide support for, and participate in, the Baseline Survey activities
- ✚ To facilitate schedules/work plans for Barangay level activities

2. Participants

- ✚ At least the Barangay Chairpersons of target barangays, that is, the barangays covered by the target municipality; at most, the Barangay Chairperson and the chairpersons of relevant Barangay Committees, ex., infrastructure, health, population committees

3. Strategy for Implementation

- ✚ Half to one-day live-out conference
- ✚ Venue may be the municipal hall, or other strategic places for a one-batch activity; any other strategic places for other schemes of implementation such as clustered municipalities

Key pointers: Materials be translated into the local dialect

**Dry-run/preparatory meeting be conducted by the
WATSAN Team to level off roles and working norms**

**Disseminate notifications/invitations within ample time
prior to date of conduct. Notification/invitation shall
contain date, venue, time, purpose/agenda**

4. Content Areas/Suggested Program

See next page



MDG ACHIEVEMENT FUND IN THE PHILIPPINES

**MDGF 1919: Enhancing Access to
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Baseline Survey of Thirty-Six Waterless Municipalities

Guide for BLGU Orientation

Suggested Program for the BLGU Orientation

Estimated Duration	Activities	In-Charge
30 min	Arrival and Registration	Conference Secretariat
30 min	Overview of the Baseline Survey: Background, Purpose, Coverage, Uses of the Results	Head, MWATSAN Team
30 min	General Guidelines for Baseline Survey	MPDC
30 min to 1.0 hr	Guidelines for Basic Profiling	Technical Member of MWATSAN Team
30 min to 1.0 hr.	Schedule of Baseline Survey Activities and Needed Action from BLGU	Head, MWATSAN Team
30 min	Open Forum	MPDC
1.0 to 1.5 hrs.	Scheduling of Barangay level activities to include among others: <ul style="list-style-type: none"> - Basic Profiling - Technical inventory and mapping - Scouting for potential enumerators - FGDs 	MPDC
30 min	Wrap up	

Possible strategies:

- Conduct the orientation during meetings of Barangay leaders, ex., ABC meetings/conferences, and other activities where Barangay leaders/officials are convened
- Orientation by cluster of barangays
- One-on-one orientation



MDG ACHIEVEMENT FUND IN THE PHILIPPINES

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Baseline Survey of Thirty-Six Waterless Municipalities

Guide for BLGU Orientation

5. Materials (minimum requirements)

- ✚ Visuals or leaflets showing key information on the Baseline Survey - Overview of Baseline Survey (attached), list of target barangays per target municipality
- ✚ Guidelines/forms for Basic Profiling (see specific Guidelines and Forms for Basic Profiling) and other forms as may be necessary

6. Documentation and Report Requirement

The Municipal WATSAN Team shall submit immediately to the DILG-OPDS Water Supply and Sanitation Unit through appropriate Channels a post – conference Completion Report with Highlights, Results/Agreements, specially the schedule of Barangay Level activities. Attendance sheets and other supporting data/documents shall be attached to the report. The report must be received by the WSSU in no more than ten (10) working days after the conference.

Overview of Baseline Survey: Basic Orientation Material/Contents

 <p>MDG:IF MDG ACHIEVEMENT FUND IN THE PHILIPPINES MDGF-1919</p> <p>ENHANCING ACCESS TO AND PROVISION OF WATER SERVICES WITH THE ACTIVE PARTICIPATION OF THE POOR</p> <p>OVERVIEW OF THE SOCIO-ECONOMIC HOUSEHOLD SURVEY AND ASSESSMENT</p> <p style="text-align: right;">1</p>	<p>Purpose</p> <p>Establish current situation, Establish gaps and factors Identify recommendations in terms of: facilities households/users water service providers LGUS, other stakeholders</p> <p><i>In relation to access to and provision of water services</i></p> <p style="text-align: right;">2</p>
<p>Expected Results</p> <p>Current state of the infrastructure facilities whether : (1) fully functional; (2) partially functional; or (3) non-functional</p> <p>Profile, status of the households, with special focus on women , disadvantaged people and children, and the extent by which they are <u>served</u> by the water supply facilities, and the extent by which they are <u>involved</u> in decision-making</p> <p style="text-align: right;">3</p>	<p>Expected Results</p> <p>An assessment of water users' associations roles and capacities to engage in local governance processes (decision-making, planning and implementation); demand accountabilities; and practice gender equality</p> <p>An assessment of water providers in terms of roles and capacities: 1) in providing safe, adequate, affordable and continues water services; 2) ensuring gender equality and integrity in the provision of water services; 3) and regularly consulting and providing information to the community</p> <p style="text-align: right;">4</p>

Expected Results

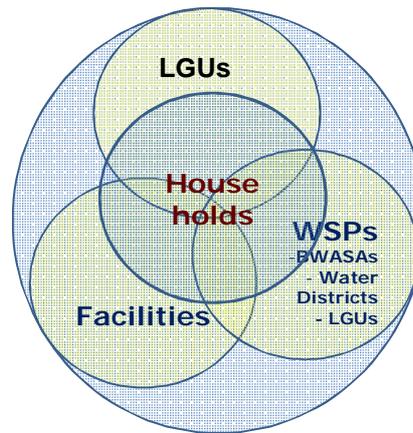
An assessment of the Municipal Water and Sanitation (WATSAN) Councils' roles and capacities as

- a) local oversight body on water matters and engaging the community in regular dialogues and consultations;
- b) in promoting gender equality in policies and plans; and
- c) in ensuring integrity in the whole local water governance and the rights of its local citizens to water is promoted, protected and fulfilled

5

Focus of Study

Enabling Environment



6

General Approach

Participatory and consultative
Location-specific adjustments
Cascading approach of technology transfer

Activities

- Review of documents/ experiences
- Participatory questionnaire preparation, pre-test, finalization
- Orientations/consultations/training
- Spot mapping/physical inventory
- Household survey
- Key Informant Interviews
- FGDs

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Questionnaires and Tools consist of:

- Profile Sheets per Municipality and per Barangay – Facilities (Water and Sanitation), Households/Population, Water Service Provider
- Physical/Facilities inventory sheets per water system
- Spot maps indicating facilities, water source, households and other related community resources
- Questionnaires for Key Informant Interviews and Household Survey
- Activity Designs for Focus Group Discussions, trainings, workshops
- Instructional Guides

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**Guide for Accomplishing the Forms
For Basic Profiling**

MDGF-BS-PWS: Assessment of Water Supply Coverage

1	Objective	To establish the extent of coverage of water supply facilities/services within the municipality
2	Uses	Reference for : detailed planning of survey activities; spot mapping of facilities; sampling of respondents for household survey
3	Specific Activities	Basic Profiling: Collection of available data from records at DILG Head Office, Regional, Provincial and/or Municipal levels
4	Responsible	WSSU Regional Coordinators
5	Sources of Data/Information	Main sources: Water and Sanitation Profiles at DILG Head Office, Regional, Provincial and/or Municipal levels
		Secondary sources: Municipal LGUs
6	Explanation of Entries	
	Heading	In the space provided for, enter name of Region, Province and Municipality
	Column (1) Barangay	Name of Barangay. (Assign number for each barangay in the space provided at the left)
	Barangay Coverage	This is intended to establish the whole coverage of the Barangay
	Column (2) No. of HHs	Number of households where one household means a single family or an extended family residing in one abode
	Population	
	Column (3) Total	Total number of people in the barangay
	Column (4) Female	Out of the total population, how many are female?

Column (5)	Identify projects or fund sources which have facilitated or supported the establishment of water supply facilities
Service Level	This is intended to establish the coverage of water facilities per service level
Level I	
Column (6) No. of Facilities	Number of Level I facilities
Column (7) HHs	Number of Households served by the Level I facilities
Column (8) Total Pop	Total population/number of persons served by the Level I facilities
Column (9) Female	Out of the total population served, how many are female.
Level II	
Column (10) No. of Facilities	Number of Level II facilities
Column (11) HHs	Number of Households served by the Level II facilities
Column (12) Total Pop	Total population/number of persons served by the Level II facilities
Column (13) Female	Out of the total population served, how many are female.
Level III	
Column (14) No. of Facilities	Number of Level III facilities
Column (15) HHs	Number of Households served by the Level III facilities
Column (16) Total Pop	Total population/number of persons served by the Level III facilities
Column (17) Female	Out of the total population served, how many are female.

MDGF-BS-PSF : List of Sanitation Facilities

1	Objective	To establish the extent of coverage of sanitation facilities/services within the municipality
2	Uses	Reference for : detailed planning of survey activities; spot mapping of facilities; sampling of respondents for household survey
3	Specific Activities	Basic Profiling: Collection of available data from records at DILG Head Office, Regional, Provincial and/or Municipal levels
4	Responsible	WSSU Regional Coordinators/WATSAN Teams
5	Sources of Data/Information	Main sources: Water and Sanitation Profiles at DILG Head Office, Regional, Provincial and/or Municipal levels
		Secondary sources: Municipal LGUs
6	Explanation of Entries	
	Facilities	State type of facility or the name given to it by the community
	Barangay	Self-explanatory
	Purok	Self-explanatory
	No. of HHs served	Number of households served or using the facility. Estimates will be acceptable.
	Population	Total population using the facility. In some cases, it may be difficult to get exact number. Estimates will be acceptable.
	Female	Of the total population using the facility, indicate number of female using or served by the facility.
	No. of Children	Of the total population using the facility, indicate number of children using or served by the facility

	Managed by	State who manages the facility – barangay (name of barangay) school (name of school), etc.
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MDGF-BS-PSP: General Information on Water Service Providers

1	Objective	To establish the extent of coverage of sanitation facilities/services within the municipality
2	Uses	Reference for : detailed planning of survey activities; spot mapping of facilities; sampling of respondents for household survey
3	Specific Activities	Basic Profiling: Collection of available data from records at DILG Head Office, Regional, Provincial and/or Municipal levels
4	Responsible	WSSU Regional Coordinators
5	Sources of Data/Information	Main sources: Water and Sanitation Profiles at DILG Head Office, Regional, Provincial and/or Municipal levels
		Secondary sources: Municipal LGUs
6	Explanation of Entries	
	Name Of Water Service Provider	Enter full/official name of WSP. In the case of LGU as Water Service Provider, indicate the name of LGU
	Purok/Barangays Covered	Self-explanatory
	Contact Person, Address/ Contact Number	Self-explanatory
	Coverage	
	For Level I	Enter the number of level I facilities, Number of Households, Total number of population and number of female out of the total population covered/served by the level I facilities

	For Level II	Enter the number of level II facilities, Number of Households, Total number of population and number of female out of the total population covered/served by the level II facilities
	For Level III	Enter the number of level III facilities, Number of Households, Total number of population and number of female out of the total population covered/served by the level III facilities

Guide for Selection and Training of Technical Assessment Team and Enumerators

Selection of Technical Inventory Team

Tasks	Undertake inventory of WATSAN facilities – location, coverage, and conditions affecting performance
	Locate facilities and relevant institutions in the spot map
	Facilitate assessment of facilities in coordination with other aspects of the baseline survey
	Document findings in the prescribed forms and spot maps
Composition and Qualifications	At least one infrastructure engineer with experience in design, construction, operation or assessment and evaluation of WATSAN facilities
	At least one rural health/social worker or equivalent with experience in community assessment of rural infrastructure preferably WATSAN facility
	Barangay level chairman or member of infrastructure committee
	One representative from Water Service Provider in target barangay
	Able and willing to work in extended hours of the day

Selection of Enumerators

Tasks	Prepare a demographic survey of households in the target area in accordance with the prescribed survey form
	Interview target households using the interview schedule

	Submit to the supervisor/WATSAN Team the accomplished questionnaires within the agreed time frame
Qualifications	Experienced in conducting similar surveys, e.g., CBMS, etc.
	Good interviewing skills – high capability in motivating responses, keen in note-taking, analytical
	Highly familiar with the local situation in target area.
	Able and willing to work in extended hours of the day

The Supervisors

Technical Supervisor	
Who	Preferably from the PWATSAN Team (from PMEO)
Tasks	Orient/train the technical inventory team on the requirements and procedures of data gathering, inventory, mapping and assessment
	Check the outputs of the technical team
	Facilitate transmittal of data to WSSU
HH Survey Supervisor	
Who	Preferably from MWATSAN Team experienced in conducting/supervising HH Surveys (1 supervisor: 4-5 enumerators)
Tasks	Assist in the conduct of sampling
	Facilitate translation of interview schedules/questionnaires into the local dialect
	Orient/train the enumerators on the requirements, procedures and quality of interview, including note-taking
	Conduct spot check of surveys being undertaken
	Check completeness and quality of entries to the

	interview schedule
	Compile the outputs according to the assigned codes
	Submit accomplished questionnaires and other reports/documents as may be required to WSSU

Training of Technical Assessment Team and Enumerators

Objective	To equip the technical inventory team and enumerators with appropriate knowledge, attitude and skills for the Baseline survey
Responsible	MWATSAN Team
Participants	Technical Inventory Team and Enumerators
Venue and Duration	Within the municipality, 3 days
Classification	Combination of classroom training and guided practice
Content Areas	
Classroom training	Orientation on Joint Programme – 1 hr
	Orientation on Baseline Survey - 2 hrs
	Discussion of Guidelines - 2 to 4 hrs
	Simulation - 2 to 3 hrs
On-field	Guided practice 1 to 2 days
Materials and Tools	Briefs on the Joint Programme Baseline Survey Guidelines Interview Schedules for use in guided practice Workshop Materials – Whiteboard or Manila paper, markers, LCD Projector, computer, writing pads, ball pens and pencils, notebooks