Chapter 12

MONITORING FOR MEDIUM-TERM DEVELOPMENT PLAN

12. MONITORING FOR MEDIUM-TERM DEVELOPMENT PLAN

12.1 General

Many of the systems constructed earlier have operated in a limited way because of insufficient monitoring and post-construction technical support, aside from the problems in promotion of self-reliance and local community management. This Chapter seeks to recommend a focused, practical, viable, creative approach to strengthen sector and project monitoring. The development of a coordinated monitoring system is one of the key components of an effective management system.

12.2 Sector Monitoring

Sector monitoring refers to the overall water and sanitation situation in the province. One may readily use a demand-supply model for sector monitoring. Demand would be indicated by such indicators as gaps in coverage, health conditions, and standards for water consumption. Supply would be indicated by the water resources situation, actual coverage of existing facilities, output volume, types and condition of facilities, by the available funding, and by water/sanitation associations organized to undertake sector activities.

(1) The monitoring system must support a well-defined and accepted sector development process-model. There are four general aspects of sector monitoring which will be addressed:

1) Establishing the database: This involves identifying the types, level, and form of the information to be extracted regarding the performance of the sector's service development, service delivery, and service maintenance systems.

2) Data collection and transmittal system: This defines the methods and assigns responsibilities for the recording and relaying of the data from source to the concerned recipients, from raw data to consolidations and reports at the various levels of the hierarchy of sector management.

3) Data analysis: This prescribes how and by whom the data will be processed, and the purpose of the outputs of the various analysis and reports. The purpose or uses of the data will determine when or how frequently a report will be generated, as well as the parties who should receive the report.

4) Response system: This defines the responsibility, authority and discretion of the recipients of the data flow to take actions, make decisions, alter plans, or take such measures as are appropriate given the performances indicated by the data. This system feeds into and is essential to the management and regulatory structures of the sector.

(2) Sector performance deficiencies demand that serious thought be given to innovations to reduce costs in achieving the provincial sector plan. With the monitoring system, the sector should be able to take an objective view of the way to meet current strategies. For example, does community management of systems really work? Do low-cost technologies make sense? Under what conditions and how? How can the target be achieved for low-income communities? A sector monitoring system should be flexible to support planning and research studies on such specific policy and operational issues.

(3) In putting together a relevant sector monitoring system, the following should be seriously looked into:

1) It should reinforce the linkage between water, sanitation and health. This implies that coverage should be measured for availability of both water and sanitation for a household. Thus, a household can be categorized as having both water and sanitation, water only, sanitation only or none of either. At later stages, health practices can be included in the monitoring.

2) It should be reliable and involve the beneficiaries. This mechanism could provide the data quality control, which is missing in existing systems. Distortion of information may occur when implementors are the monitors. The barangay will be the basic data capture level.

3) Monitoring will succeed only with interagency support, particularly in the initial stages. It should be accepted by all sector agencies. A unified set of figures and indicators will greatly help in planning.

4) It should be practical and implementable. It should start with the current monitoring capacity situation and move up with a clear vision of what the monitoring system should be. This implies phasing and gradual expansion and strengthening of the system and training of staff.

5) The system should be followed through with effective feedback. It should develop creative ways of providing feedback to the field. The current way in which data is processed is by consolidation. The field sources' only feedback is, for example, national coverage figures. In the course of consolidation, opportunities for specific feedback useful to project implementors on performance are lost.

It would be useful to have a series of workshops among the different levels of the sector's management structure, to achieve the following:

1) Training on project monitoring and data use in the water sector.
2) Development of initial database (identification of the type of data and reports that the participant-managers need in their respective areas of concern.)
   After the database is established, a team will draft the Management Information System (MIS), which will be an input to the next series for workshops.
3) Review of MIS draft, revisions, and commitments to test.
4) Sharing/reviewing of experiences with MIS draft system. Recommendation on adjustments to MIS for 2nd field testing period.
5) Sharing/review of experiences.
   Final recommendations to be incorporated into Final Draft of MIS system by the MIS Team.
6) Review of Final Draft System to be presented by MIS Team of adoption.

(4) Regarding sector development indicators, some important indicators will be more difficult to collect than the others because the sector is not ready to gather them. The LGUs will group indicators into phases based on availability of data and/or ease with which such information can be collected with improved systems. A review of the objectives set for the sector almost exclusively shows a focus on coverage. It is important to get sector objectives stated beyond coverage terms in order to encourage use of additional indicators. Based on past experience, requiring too much information leads to start-up difficulties. A three-phase build-up meeting sector requirements is outlined in the following sections:

1) Phase 1 Indicators
   - Access to both adequate water and sanitation
   - Water and sanitation associations duly organized to undertake sector activities
   - Water and sanitation facilities in schools
   - Capital development costs

- Sources of capital development funds
- Incidence of diarrhea
- Water availability and water quality maps
- Unit cost (per capita or per facility)

2) Phase 2 Indicators
   - Household hygiene habits and practices
   - Water stored in house covered? food covered? grounds free of faeces, garbage, wastewater cesspools? animals in the house? mother's and children's hands clean?
   - Existence of barangay spot maps and facilities ledger cards
   - Existence of O&M arrangements
   - Current costs to households and willingness to pay for improved service

3) Phase 3 Indicators
   - O&M Costs
   - Financial efficiency and stability indicators
   - Institutional development indicators
   - Low-income groups benefiting from improvements

(5) NEDA has issued a Board Resolution in 1995 providing a practical definition of terms for planning and monitoring. The definitions were arrived at after exhaustive discussions and consensus with the implementing agencies.

(6) Recommended institutional responsibilities for sector monitoring: Monitoring is best left to parties not directly involved in delivery of the services. The best monitors are the community members themselves since accurate monitoring reports is in their best interest. At the data capture level, the PHO structure, with its midwives and BHW volunteers, is in the best position to take the lead in data gathering.

1) Provincial Level: The PPDOs, through its Research and Evaluation Division, will play the lead role in organizing the field data collection effort in coordination with the field offices of national agencies, NGOs and the water districts. The Monitoring Specialist, with the PST/PWSU, will assist the PPDO.

2) Municipal Level: The Municipal Development Coordinator has the mandate of monitoring all development activities in the municipality. The municipal sector

liaison will therefore coordinate the preparation of the reports with the MPDO, supported by PHO and NGOs, as needed.

3) Barangay Level: There are several institutional options for leading the monitoring at the barangay level, such as the barangay health stations, the barangay council, etc. The municipal liaison will take the lead in establishing the barangay monitoring responsibilities.

(7) Computerization of the system can come at later stages. This should be gradually phased in as the sector agencies strengthen their monitoring mode. This will also discourage a ground swell of requests for computer hardware. Computer facilities are available at the provincial level.

(8) A new sector database program was designed and is currently under review. A Sector Database Center was established within the DILG-PMO. The system was successfully piloted in three provinces and replication in other priority provinces will begin shortly. (Note: This database does not go down to the project level. It was primarily set up to determine supply/demand and financial capabilities of LGUs to absorb costs.)

12.3 Project Monitoring

Sector monitoring refers to the overall water and sanitation situation in the province, on the other hand, project monitoring looks at progress of specific activities or projects. Indicators would thus include; disbursements, percent completion, cost overruns/underruns, etc.

(1) At the provincial level, project monitoring shall include projects classified under any of the following:

- foreign and nationally-funded projects which are implemented or located in two or several municipalities in the province or implemented or located in the province;
- other projects implemented and managed at the provincial level with funding generated from provincial sources.

(2) Project Monitoring Committees (PMCs) at the provincial and municipal levels are to be tasked with the monitoring of local government projects funded from national and local government funds, and composed of representatives from different organizations, from NGOs, the administration, the ruling party and the opposition. From these representatives, the Provincial Governor selects the chairman and the others as members.

The PPDO can be delegated to serve as the secretariat and the PMC manages with the assistance of the non-government organizations in the monitoring and validation of project implementation.

(3) The specific roles and responsibilities of the various units in the implementation of the monitoring system are as follows:

The Project Monitoring Committee:

- Provides the list and schedule of all projects to be monitored to the NGOs involved in monitoring;
- Collects and processes reports of implementors; NGOs monitor the status of project implementation for the information of the development council and next higher level project monitoring committee;
- Pinpoints problems and verifies information to be submitted for analysis and action of the development council;
- Provides feedback on the remedial actions of the development council and follows-up their implementation;
- Prepares and disseminates periodic project monitoring report on the status of project implementation; and
- Elevates to higher level bodies problems/issues which are not resolved at their level.

The PMC Secretariat:

- Prepares the monitoring program to be undertaken by the PMC during any given fiscal year, which will include, among others, the lists of projects and schedule of implementation based on submission of implementing agencies;
- Provides chief executives with information on the projects to be monitored by the local PMC's;
- Facilitates inter-agency, inter-governmental and field headquarters coordination whenever necessary.

The Project Implementors:

- Submit periodic reports to the monitoring committee on the status of project implementation base on suggested reporting forms;
- Provide authorized monitors assistance in getting access to more detailed information on project implementation (e.g. detailed work program);
- Submit to next higher level office of line agency reports on status of implementation;

- Implement/institute remedial measures on problems/issues identified as suggested by the development council.

(4) The following is the process flow of project monitoring.

1) The PMC secretariat provides the NGOs with the monitoring plan, containing information on projects to be implemented at the provincial level;
2) PMC prepares its monitoring program for the calendar year;
3) Project implementors undertake projects, prepare and submit status reports on project implementation to the PMC;
4) NGOs submit project exception reports to the PMC, with copy furnished the project implementors;
5) PMC assesses reports of implementors and NGOs and conducts project visits of projects identified in the monitoring work program;
6) PMC processes reports of various implementors and provides the provincial development council with a consolidated report on status of project implementation in the province;
7) PMC evaluates problems, recommends solutions during its regular or special meetings, and refers same to the Provincial Development Council for appropriate action;
8) PDC assesses reports and takes proper action (problem solving, referral to appropriate agencies/council);
9) Implementors take remedial action on problems/issues encountered in project implementation. (If after a reasonable period of time, no remedial measures/ appropriate action have been taken on the problems referred to the concerned agency/local development council, the PMC forward the issue to that RDC.);
10) PMC provides feedback to concerned implementors, LGUs, NGOs, and other concerned agencies and follow-up implementation of remedial measures; and
11) PMC forwards consolidated status report on project implementation in the province to the Regional Project Monitoring Committee (RPMC).

(5) The PMC determines the schedules for the submission of reports. Reports are submitted to the PMC who will forward the consolidated reports to the Provincial Development Council (PDC). Submission of the consolidated report from the provincial PMC to the regional PMC is usually undertaken on a quarterly basis. The PMC furnishes the Provincial Governor with a copy of the reports for his reference and action.

12.4 Evaluation of Plan Implementation and Updating the PW4SP

(1) This PW4SP should be updated at least every five years. This will be the responsibility of the PWSU in close coordination with the PPDO. Based on the sector monitoring reports, the PWSC will review the progress of the sector compared with objectives and the efficiency with which these objectives were achieved. This will be followed by a reformulation of objectives, strategies, new policies and policy revisions and an updated sector investment program.

(2) To initiate the implementation of this sector monitoring system, the Phase I indicators (See 12.2) shall be used. Formats have been drafted for this purpose (See Table 12.4.1, Supporting Report). Specifically, the information to be collected are as follows:

1) Access to both adequate water and sanitation as a measure of demand: This indicator can be taken from the Field Health Service Information System (FHSIS) Annual Environmental Sanitation Survey reports, which are prepared by the PHO midwives. These annual surveys are summarized by municipality by the sanitary inspectors. NSO population projections will be utilized.

2) Water and sanitation associations (RWSAs/BWSAs/other community-based associations) organized: This indicator can be collected from the Cooperative Development Authority (Municipal or Provincial Chapters) in as much as all water cooperatives and/or associations are required to register with the CDA.

3) Water and sanitation facilities in schools: This indicator can be collected from the various school district offices; consolidated at the division (provincial level). Although a system is in place for regular inventory of facilities by DECS, actual inventories are seldom implemented and the LGUs may have to institute a supporting data gathering activity.

4) Capital development costs: The LGUs may have to gather information from the local DEO of DPWH, the various municipalities and the water districts.

5) Sources of capital development funds: Data sources are the same as those of item 4).

6) Incidence of diarrhea: This information can be taken from Form M-2 of the FHSIS. (Collection and processing of the data form is similar to that of item 1).

7) Water availability and water quality maps: These maps should be continually updated based on field reports on water quality and quantity as they are received from operations reports studies. Areas where, for example, salinity is increasing should be indicated. Areas suitable for shallow wells, for deep wells and for possible spring sources can be indicated.

8) At the conclusion of every project, the monitoring specialist prepares a report on actual unit costs incurred. This would include, for example, the cost of drilling for shallow or deep wells per meter depth; the cost of pipeline per linear meter, etc.

(3) Municipal level consolidation: For every reporting period, the municipal sector liaison gathers all the barangay level data including those reports of the municipal health officer (and sanitary inspectors), the DECS division offices. A municipal sector report will be thus prepared. Further refinements of this report may be needed in view of future development initiated at the national level.

The municipal sector report is reviewed by the Mayor and then submitted to the Governor for further consolidation. Salient sections of this report would be furnished to DILG, which is tasked with coordinating a national sector performance report for NEDA and for the President.

(4) Feedback: Based on these reports, the PST/PWSU will draft a consolidated report on the performance of the sector during the period including the opportunities and constraints met and a set of recommendations for policy revision. Municipalities which have made outstanding progress and associations, which have introduced creative innovations in their operations would be cited.

Annual reviews shall be organized to analyze not only the attainment on the physical project targets, but more significantly, whether the vision is being attained. These reviews could also provide the opportunity to sharpen or revise the vision and the mission statement and distill lessons learned from the implementation experiences.

JICA