

Report No: AUS5518

Republic of the Philippines

Support to Rural Sanitation Scale Up under the Philippine National Sustainable Sanitation Plan (Synthesis Report and Lessons Learned)

(May 2015)

GWASE

EAST ASIA AND PACIFIC



Standard Disclaimer:

This volume is a product of the staff of the International Bank for Reconstruction and Development/ The World Bank. The findings, interpretations, and conclusions expressed in this paper do not necessarily reflect the views of the Executive Directors of The World Bank or the governments they represent. The World Bank does not guarantee the accuracy of the data included in this work. The boundaries, colors, denominations, and other information shown on any map in this work do not imply any judgment on the part of The World Bank concerning the legal status of any territory or the endorsement or acceptance of such boundaries.

Copyright Statement:

The material in this publication is copyrighted. Copying and/or transmitting portions or all of this work without permission may be a violation of applicable law. The International Bank for Reconstruction and Development/ The World Bank encourages dissemination of its work and will normally grant permission to reproduce portions of the work promptly.

For permission to photocopy or reprint any part of this work, please send a request with complete information to the Copyright Clearance Center, Inc., 222 Rosewood Drive, Danvers, MA 01923, USA, telephone 978-750-8400, fax 978-750-4470, <http://www.copyright.com/>.

All other queries on rights and licenses, including subsidiary rights, should be addressed to the Office of the Publisher, The World Bank, 1818 H Street NW, Washington, DC 20433, USA, fax 202-522-2422, e-mail pubrights@worldbank.org.

Table of Contents

EXECUTIVE SUMMARY.....	7
1.0 INTRODUCTION.....	13
1.1 Background and Purpose of the Document.....	13
1.2 Context and Challenges	13
1.3 Rationale for the TA.....	14
2.0 OBJECTIVES OF THE TA	15
2.1 Development Objective	15
2.2 TA Program Theory of Change.....	15
2.3 Scope and Implementation Approach	16
2.4 Intermediate Outcomes and Achievements	17
3.0 OUTPUTS AND KEY RESULTS.....	20
3.1 Enabling Environment.....	20
3.2 Demand Creation	34
3.3 Supply Side Strengthening	39
4.0 LESSONS LEARNED.....	44
4.1 Enabling Conditions to Scale Up and Sustain Rural Sanitation Programs	44
4.2 Key Elements of a Successful Programmatic Approach.....	44
4.3 Building Institutional Capacity and Implementation Systems	45
4.4 Fostering a Culture of Evidence-Based Learning.....	45
5.0 KEY RECOMMENDATIONS TO IMPROVE AND EXPAND PROGRAM GAINS	46
ANNEXES.....	49
Annex 1. List of TA Component Activities and Estimated Cost per Capita	49
Annex 2. Skills and Entrepreneurship Training Modules.....	Error! Bookmark not defined.
Annex 3. Summary of TA Activities supporting Evidence-based and Adaptive Learning Strategy to Scale up Rural Sanitation	51
Annex 4. Other Relevant Lessons from the TA	56

List of Figures

- Figure 1: WSP's Country Theory of Change
- Figure 2: Advocacy Handbook and the Local Legislative Process
- Figure 3: Categorization Tool in targeting ZOD Barangays
- Figure 4: Phases in the Graduated Approach
- Figure 5: Objectives for the Certification of Barangay ZOD Status
- Figure 6: Basic Criteria for Achieving Barangay ZOD Status
- Figure 7: Proposed M&E Data Collection and Processing for Rural Sanitation
- Figure 8: BCC Campaign Guidebook (UNLI Asenso pag may Inidoro)
- Figure 9: The eFDS Module and actual conduct of the session
- Figure 10: Sanitation Product and Sales Catalogue (Unli asenso pag may inidoro)

List of Boxes

- Box 1: Role of Policy Development in ZOD Program Implementation in Sarangani Province
- Box 2: Description of the Phased Approach in Rural Sanitation
- Box 3: Key Strategies for EH Strategic Plan, 2017-2022
- Box 4: Emerging Sanitation Business Models in the SURS Pilot Areas

List of Annexes

- Annex 1: List of TA component activities and estimated cost per capita
- Annex 2: Summary of TA activities supporting evidence-based and adaptive learning strategy to scale up rural sanitation
- Annex 3: Skills and Entrepreneurship Training Modules
- Annex 4: Other relevant lessons from the TA

Acronyms

AO	Administrative Order
BCC	Behavior Change Communications
BHW	Barangay Health Workers
CCT	Conditional Cash Transfer
CLTS	Community Led Total Sanitation
DILG	Department of the Interior and Local Government
DOH	Department of Health
DSWD	Department of Social Welfare and Development
EH	Environmental Health
EOHO	Environmental and Occupational Health Office
FHSIS	Field Health Service Information System
JMP	Joint Monitoring Programme of WHO/UNICEF
KALAHI-CIDSS	Kapit-Bisig Laban sa Kahirapan Comprehensive and Integrated Delivery of Social Services
LGU	Local Government Unit
MDG	Millennium Development Goals
ML	Municipal Link
M&E	Monitoring and Evaluation
NCDDP	National Community Driven and Development Program
NDHS	National Demographic and Health Survey
NHTS-PR	National Household Targeting System for Poverty Reduction
OD	Open Defecation
4Ps	Pantawid Pamilyang Pilipino Program
PHIES	Philippine Health Information Exchange System
PTWG	Provincial Technical Working Group
RHU	Rural Health Unit
SLP	Sustainable Livelihood Program
SURS	Scaling Up Rural Sanitation
TA	Technical Assistance
UNICEF	United Nations Children's Fund
USAID	United States Agency for International Development
WB	World Bank
WSP	Water and Sanitation Program (World Bank)
WaSH	Water Sanitation and Hygiene

Acknowledgments

This report is a synthesis of the Technical Assistance (TA) **“Support to Rural Sanitation Scale Up under the Philippine National Sustainable Sanitation Plan” (P132174)** carried out by the World Bank’s Water and Sanitation Program. This TA has been implemented in close collaboration and leadership of the Environmental and Occupational Health Office - Disease Prevention and Control Bureau of the Department of Health and in partnership with the Department of Social Welfare and Development and several Local Government Units. The Task Team Leader for this TA was Edkarl Galing. The paper benefited from the technical contributions of the following team members: Leodegario de Castro, Marieto Perez, Bernadette Undangan (Project Area Coordinators), Epifanio Paragas (Sanitation Marketing Specialist), Eric Baculi (M&E Expert), Teresa Pamela Palma (WaSH Integration Specialist), Jose Ignatius Pagsanghan (Process Evaluation Specialist), Joyce Gonzaga (Organizational Development Expert), and Vida Zorah Gabe (Knowledge Management Specialist). The following World Bank staff have provided valuable contributions to the report: Susanna Smets, Sitaramachandra Machiraju, Craig Kullman and Almud Weitz. The peer reviewers were Victor Vasquez, Maria Loreto Padua, and Rashiel Velarde.

EXECUTIVE SUMMARY

BACKGROUND AND PURPOSE OF THE DOCUMENT

This report summarizes the results and lessons learned from the Technical Assistance “Support to Rural Sanitation Scale Up under the Philippine National Sustainable Sanitation Plan” (P132174). The TA was carried out by the World Bank’s Water and Sanitation Program from July 2012 to March 2016, and is part of a larger programmatic assistance by the Bank to the Government of the Philippines in framing relevant institutional and financial reforms by key sector agencies and in strengthening the government’s capacity to accelerate delivery of basic water and sanitation services particularly to the poor. This synthesis report provides recommendations to consolidate and accelerate the scaling up rural sanitation initiative focusing on priorities for World Bank engagement and alignment with the incoming government’s overall strategic direction.

DEVELOPMENT OBJECTIVES

The development objective of the TA was to strengthen the capacity and resource mobilization of national and sub-national governments to implement an at-scale rural sanitation program to achieve universal access and stop open defecation aligned with the goals of the NSSP. The TA supported the Philippine Government in scaling up rural sanitation focusing on 3 key components:

- **Component 1:** *Strengthening the enabling environment and building local implementation capacities and systems to roll out the ZOD Program under NSSP.*
- **Component 2:** *Development of a programmatic approach that addresses sanitation demand creation.*
- **Component 3:** Strengthening sanitation supply chains and financing mechanisms for the poor.

The TA has assisted the Government in creating a learning and knowledge strategy throughout implementation. Lessons from the initial 9 pilot municipalities in 4 provinces (Quezon, Negros Occidental, Negros Oriental and Sarangani) were generated in a systematic manner with the active engagement of project partners and clients in both national and local governments. The lessons learned have been disseminated in varying forms to inform and strengthen policy and sector strategy. Evidence-based learning has advised and supported policy development and program guidelines.

INTERMEDIATE OUTCOMES AND RESULTS

The intermediate outcomes and corresponding achievements are summarized below. Out of the 10 intermediate indicators, the TA achieved 7 (2 surpassing the target) while 3 are still underway, contingent to the approval of a sector financing reform supported by the Bank (Unified Financing Framework, UFF) and the completion of a separate on-going impact evaluation study¹.

¹ Integrating Integrating Sanitation Programming in the Pantawid Pamilya Program in the Philippines (P150579)

Intermediate Outcomes	Indicators	Activities	Actual Achievements and Results
<p>Rural sanitation policy and programmatic approach developed with shared vision among central agencies</p> <p><i>(Component 1 – Enabling Environment)</i></p>	<ul style="list-style-type: none"> GoP consensus is built on ZODP Program goals, targets and strategies (Achieved) Formative research carried out to inform programmatic approach to improve sanitation service delivery through behavior change, CLTS and strengthened supply (Achieved) Programmatic approach based on scaling-up ZODP developed and implemented in 12 municipalities in 6 provinces by 2014, and scaled to 10 provinces by 2016 (Surpassed) Baseline and planning process, including financing and incentive mechanisms are harmonized among sector agencies (Achieved, financing mechanism underway) 	<ul style="list-style-type: none"> Facilitation of inter-agency coordination and program collaboration Baseline data gathering, desk review and building of evidence base; development of knowledge products and hosting of learning events Orientation on local public policy process; passing of ordinances and resolutions; organizing sanitation technical working groups; synchronization of local sanitation programs by DoH, DSWD and DILG; training on the use of M&E tools and reporting Development of sanitation plans, implementation strategies and budgets; verification and certification of ZOD LGUs; 	<ul style="list-style-type: none"> IACEH Resolution reconstituting the Sanitation Working Group composed of DoH, DSWD, DILG and DepEd adopting a shared vision on ZODP Implementation Strategy (phased approach) formally adopted by DoH and DSWD through Admin. Order and Guidance Notes, respectively; at-scale piloting and mainstreaming in 50 municipalities and 20 provinces as of Q1 2016 Standardized tools for baseline and planning processes; Financing framework underway contingent to UFF approval by NEDA (indirectly supported by this TA)
<p>At-scale capacity systems strengthened for implementation of rural sanitation component of the NSSP</p> <p><i>(Components 2&3 – Demand Creation and Supply Strengthening)</i></p>	<ul style="list-style-type: none"> Rural sanitation capacity building framework developed with clear institutional roles at different levels (Achieved) Capacities of 12 local governments (province/municipal) for planning, coordination, implementation and monitoring of ZODP 	<ul style="list-style-type: none"> Conduct of central and regional consultation workshops; strategic planning and coordination meetings Conduct training of CLTS facilitators and BCC campaign targeting households and communities; 	<ul style="list-style-type: none"> DOH's 5-Year Strategic Plan on Environmental Health defines institutional roles and capacity needs; DSWD's Guidance Notes on WaSH Integration defines rollout strategy Capacities of 70 local governments enhanced for planning, coordination,

Intermediate Outcomes	Indicators	Activities	Actual Achievements and Results
	<p>program developed (Surpassed)</p> <ul style="list-style-type: none"> • Medium-term strategic capacity development program integrated to large-scale health and social programs of GoP (Underway) 	<ul style="list-style-type: none"> • sanitation roadshows and caravans in municipalities and provinces, policy advocacy campaigns 	<p>implementation and monitoring of ZODP program developed</p>
<p>Rural sanitation subsidy policy and delivery mechanisms for poor households developed and implemented</p> <p>(Component 3 – Supply Strengthening)</p>	<ul style="list-style-type: none"> • Financing schemes and incentive mechanisms to leverage sanitation funding reviewed and opportunities for leveraging these schemes in Philippines assessed (e.g. OBA facility) (Underway, IE results by late 2017) • Funding gap and investment requirement for sanitation subsidies targeting poor households assessed (Underway, contingent on UFF and IE results – both outside of this TA's scope) • Operational pilots conducted to integrate sanitation in CCT and CDD national programs scaling strategy developed and operational manuals adopted (Achieved) 	<ul style="list-style-type: none"> • Piloting of service business models and local enterprise development; • Partnership with micro-finance institutions on household financing arrangements. • Development and testing of low-cost sanitation products and related services • Development of WaSH Integration Guidance Notes; • Training of municipal links on conduct of enhanced sanitation module on FDS; skills training for masons/ carpenters on toilet fabrication/ production and installation 	<ul style="list-style-type: none"> • Overall sector framework supported by the Bank through the Unified Financing Framework Study (UFF) – endorsed by the National Economic and Development Authority • Study on sanitation subsidies and financing underway through an independent Impact Evaluation to be completed in late 2018 • Operational pilots on WaSH Integration in DSWD's core programs tested in , WaSH Integration Guidance Notes developed

LESSONS LEARNED

1. Enabling conditions to scale up and sustain rural sanitation programs

Mainstreaming sanitation in the legislative-executive agenda of local governments was a critical factor in raising the profile of WaSH. As demonstrated in the pilot Provinces of Quezon, Negros Occidental, Negros Oriental, and Sarangani, the development and adoption of local policies have set in place the priorities and secured the allocation of resources for program implementation. Furthermore, a good information system enabled a culture of evidence-based planning and decision-making. The testing and operationalization of an M&E tool and system for rural sanitation has improved data collection and enhanced analysis and interpretation of sanitation data in the 4 pilot provinces and within the bureaucracy of DoH. The practical application of an M&E system in the towns of Malungon and Buenavista provided informed choices and has influenced decision-making of local chief executives in the planning and budgeting process that eventually helped in the achievement of municipal-wide ZOD status.

2. Key elements of a successful programmatic approach

Building on existing large-scale programs provided promising opportunities for scale up. Integrating WASH into the DSWD's core programs (Pantawid Pamilya, KC-NCDDP and SLP) has proven to be an effective strategy for reaching the "last mile" in rural sanitation, providing an effective and impactful vehicle for reaching the poor at scale and leveraging on the priorities and converged resources of 3 large social protection programs of the government. Current piloting in 17 provinces covering 41 municipalities will benefit at least 280,000 poor households. The TA local pilots have provided concrete examples of how barangay-level Community-Led Total Sanitation, and *Pantawid Pamilya* Family Development Session generated systematic demand for sanitation by increasing knowledge and community motivation to improve sanitation, complemented by the supply-side packages that helped address supply constraints by increasing the availability, affordability and desirability of latrines on the market.

3. Building institutional capacity and implementation systems

Effective mobilization of program strategies relied on the adequacy of local capacity systems. The TA has supported the development of an overarching implementation strategy, including the field testing of accompanying instruments, tools, procedures and manuals to support implementation of specific sanitation interventions. Training packages that focus on strengthening skills and performance of managers, technical staff and frontline field workers with harmonized program approaches ensure quality of implementation. Inter-agency cooperation and collaboration are sustained when complemented with analytical work for informed decision making and capacity building on top of usual policy directives.

4. Fostering a culture of evidence-based learning

Capitalizing on existing collaborations provides opportunities to enrich knowledge sharing and cross-learning. Knowledge sharing among national government agencies, LGUs and other sector stakeholders is deemed important as it serves as an effective vehicle for deepening collaboration and partnership. Collaborative platforms of public and private institutions are likewise potential avenues for enriching know-how, professionalization of services and facilitation of technology transfer and innovation. The

peer-to-peer learning as demonstrated between the Provincial Technical Working Groups of Sarangani and Negros Oriental has accelerated the development and adoption of provincial ordinances and has opened continuous learning on effective enforcement and cascading of policy initiatives at municipal and barangay levels. Furthermore, a **Community of Practice on sanitation ensures quality of implementation and outputs**. The development and prototyping of toilet design models have benefited from the inputs by a small group of sanitation practitioners and experts from both government and academia. This TWG has provided valuable inputs in identifying minimum design principles and standards as well as practical criteria relevant for rural context. The TWG is expected to convene regularly to support DoH in dealing with emerging issues on the refinement and adoption of technical standards for rural sanitation. WSP will maintain its role in providing focus and strategic alignment with the larger practice, fostering a culture of learning that will adopt a structured and purposive approach that encourages individual and shared accountability.

KEY RECOMMENDATIONS TO IMPROVE AND EXPAND PROGRAM GAINS

Develop more holistic programming between the sectors of health, nutrition, poverty reduction and WaSH. Given that the Philippine Government has large-scale national programs that systematically target poor households and communities, leveraging into the infrastructure of such programs provides a natural vehicle to potentially improve sanitation service delivery. In this regard, the Philippines provides a fertile ground to integrate sanitation into poverty reduction programs. The next Programmatic ASA of the Water Practice should further sharpen the WaSH integration piloting in DSWD's social protection programs gearing towards a national rollout. While piloting on this area have commenced, there is still a need for the Bank to broaden the linkages across various sectors to maximize the impact of public investment.

Strengthen further institutional mandates of key national agencies for harmonization of goals, approaches and standards to sustain the good progress achieved in rural sanitation. The newly-formed Sanitation Working Group under the IACEH is a strategic high-level platform that will further strengthen programming, coordination and implementation. There is an opportunity for the Bank to package support for the systematic rollout of the implementation strategy following the phased approach, alongside with the standardization of tools and procedures for operations and local implementation, aligned with DOH's 5-Year Strategic Plan.

Use the TA learnings to inform development and piloting of the Unified Financing Framework (UFF). The current Impact Evaluation on Integrating Sanitation Programming in the Pantawid Pamilya Program provides an excellent opportunity to analyze that integration and household financing strategies in a rigorous manner. A critical component of the IE is the conduct a formative research that would help understand the appropriateness of financial products to be accessed by households to address affordability constraints. The evaluation will refine targeting mechanism and validate funding gap and subsidy mechanisms for poor households.

Promote DSWD's WASH integration initiative which has strong potential for scale of impact. The integration of WaSH as a convergence platform in DSWD currently covers 6 regions in 17 provinces covering 41 municipalities, and it is very likely that DSWD will scale up the initiative to nationwide implementation by 2017. The Pantawid Pamilya program alone covers 4.4 million households. The

greatest challenge of integrating WaSH in the 3 core programs can be addressed by focusing on more effective and sustainable collaboration among local implementers and partners, aiming for institutionalization of the WaSH programs at all levels as one of the key social services to be delivered.

Develop further rural sanitation market and industry to reach the poorest. WSP's Global Program on scaling up rural sanitation has tested various sanitation business and service delivery models in countries that involved both public and private actors. These include: traditional private entrepreneurs, municipal enterprise, MFI-led, franchising, one-stop-shop, and cooperative. These models have to be further tested and supported in the context current government policies and programs. A community of practice to be formally organized and led by DoH will need further assistance to develop basic strategies, technical manuals and learning areas on sanitation marketing that will target potential investors, producers, installers, and partners alike.

Support harmonization of current M&E Systems in various sector projects. The on-going support to DOH's Knowledge Management and Information Technology System provides an inroad to harmonizing the M&E systems of key sector agencies supporting rural sanitation. The harmonization of systems will result in defining key performance indicators that will rely on the quality of reporting flows and synchronization of timelines between the various responsible local government offices and data sources.

1.0 INTRODUCTION

1.1 Background and Purpose of the Document

This report summarizes the results and lessons learned from the Technical Assistance “Support to Rural Sanitation Scale Up under the Philippine National Sustainable Sanitation Plan” (P132174). The TA was carried out by the World Bank’s Water and Sanitation Program from July 2012 to March 2016, and is part of a larger programmatic assistance by the Bank to the Government of the Philippines in framing relevant institutional and financial reforms by key sector agencies and in strengthening the government’s capacity to accelerate delivery of basic water and sanitation services particularly to the poor. This synthesis report provides recommendations to consolidate and accelerate the scaling up rural sanitation initiative focusing on priorities for World Bank engagement and alignment with the incoming government’s overall strategic direction.

In addition to the Synthesis Report, the following materials have been produced and made available to the client under this TA:

- 5-Year Strategic Plan for DoH - Environmental and Occupational Health Office
- CLTS Field Implementation Manual
- BCC Campaign Guidebook and promotional materials
- Sanitation Advocacy Guidebook for Local Government Officials and Community Leaders
- ZOD Verification and Certification Tool and Guidelines
- Rural Sanitation Product and Service Models (including 4 operating manuals)
- M&E Tool and Manual for Rural Sanitation Program
- DSWD WaSH Integration Guidance Notes
- DSWD Family Development Session Module on Proper Sanitation Behaviors

1.2 Context and Challenges

The Joint Monitoring Programme of the UN reported that the country made good progress in improving sanitation coverage to 74% but fell short of the MDG target of 78% in 2015. Compared to its East Asian neighbors, rural sanitation coverage of the country is above the regional average. It was the nation’s strong economic growth over the last two decades, and higher household incomes that have contributed to progress on sanitation.

In spite of these gains, access is not entirely inclusive, and sanitation problems and challenges continue to pervade the Philippines: more than 3 million people still practice open defecation mostly in poor rural communities; lack of appropriate, safe and hygienic sanitation facilities; improper hygiene behaviors; and low levels of basic on-site access, all leading to contamination of water resources, high incidence of water-borne diseases and negative impact on the environment. The capacity of local governments to plan and manage sanitation interventions is generally low, while political support and resource mobilization do not provide an enabling environment to implement and sustain water, sanitation and hygiene (WaSH) programs.

The evolution of several sector institutions such as DOH, DILG, DPWH, and LWUA have created overlapping roles and responsibilities towards actual service provision, policy development, regulation,

planning, funding, and implementation at various levels of governance. The resulting institutional fragmentation and phasing out standards for management of rural sanitation options contribute to current disparities in achieving universal access to water and sanitation access as reported by the JMP. There has been confusion between oversight and coordination roles across central agencies over urban and rural programs and projects, which further complicates implementation by LGUs.

Rural sanitation statistics in the Philippines mask stark regional disparities highlighting the Autonomous Region of Muslim Mindanao (ARMM – 37%), the 3 Visayas Regions (Region 6 – 11%; Region 7 – 18% and Region 8 – 19%) and Region 5 (Bicol - 14%) with the highest percentages of households defecating in the open and using unimproved facilities². There is also a clear case of inequity when the rural sanitation data is disaggregated by wealth and income poverty showing that those who do not have any access (open defecation) are largely concentrated among the two poorest wealth quintiles. The data validates that the practice of open defecation is largely a phenomenon among the poorest households in rural areas.

From the 2012 Family Income and Expenditure Survey, access to improved sanitation in rural areas have increased to 88% (from 69% in 2009), which leaves around 6.53 million people still living under unsanitary conditions, with 3.32 million of them defecating in the open and 3.21 million using unimproved toilets. Under the new Sustainable Development Goals (SDGs), Target 6.2, the Government will have to reach the remaining 26% of the population without basic access to achieve universal access in the country.

1.3 Rationale for the TA

Lack of access to sanitation translates into economic losses: WSP's Economics of Sanitation Initiative estimated that in 2008, the Philippines lost the equivalent of US\$1.4 billion per year of 1.5% of the country's GDP in 2005 prices. The driving factor of these losses is related to health impacts amounting to \$1 billion or more than two thirds (72%) of the overall economic impacts, coming from rural areas (64%) and urban areas (36%). Improvement in access to basic sanitation in the country has not been inclusive, neglecting the poorest households mostly living in rural areas.

Prior to 2010, there have not been any large-scale systematic sanitation improvement programs in the Philippines. Previous large rural WASH programs were heavily focused on rural water supply development with little emphasis and resources allocated to sanitation improvement. Efforts by development partners and NGOs to implement more effective approaches to sanitation improvement have been limited with little evidence of any large-scale rural sanitation programming implemented through local governments. As a result, program methodologies suitable for large-scale implementation have not been tested extensively, government implementation capacity has not been adequately developed, public funding and local budget allocations have not been institutionalized, while monitoring and evaluation system remain weak.

With the official adoption of the National Sustainable Sanitation Plan (NSSP) as a national policy and priority program in 2010, the Department of Health (DOH) has rolled out a nationwide system to provide adequate sanitation support to local governments in program planning, implementation and coordination; advocacy, capacity building; research and development; knowledge management, and

² Family Income and Expenditure Survey, 2012

monitoring and evaluation. For rural sanitation, priority targets for communities to achieve universal access have been reviewed to inform at-scale implementation of the Zero Open Defecation (ZOD) Program.

The TA provided a comprehensive set of support in rolling out the ZOD Program implementation based on a programmatic approach that combines demand creation through collective behavior change at the community level using Community-Led Total sanitation (CLTS) with complementary activities to promote behavior change, strengthening of sanitation supply chains to improve access to product and services and strengthening of enabling environment for effective delivery of water and sanitation services by national and local governments. This programmatic approach has been a practical model in reaching out the last mile population without access to basic sanitation services.

Given the strong link of sanitation access with poverty, the TA assisted in developing a framework to integrate rural sanitation program with social protection programs leveraging on the existing Pantawid Pamilya Program and Kalahi-CIDDS-NCDDP for effective targeting and empowerment of local communities for enhanced WaSH planning and delivery of social services to include health, nutrition and education. At the national level, WSP-supported the facilitation of a high level inter-agency platform to improve sector coordination, including analytical work for informed decision making and capacity building to operationalize collaborative program implementation. At the local level, the TA also assisted in the development and implementation of the rural sanitation programmatic approach in 6 provinces as pilot demonstration for at-scale “learning lab” leveraging on both the Government’s flagship programs and the Bank’s Global Practices.

2.0 OBJECTIVES OF THE TA

2.1 Development Objective

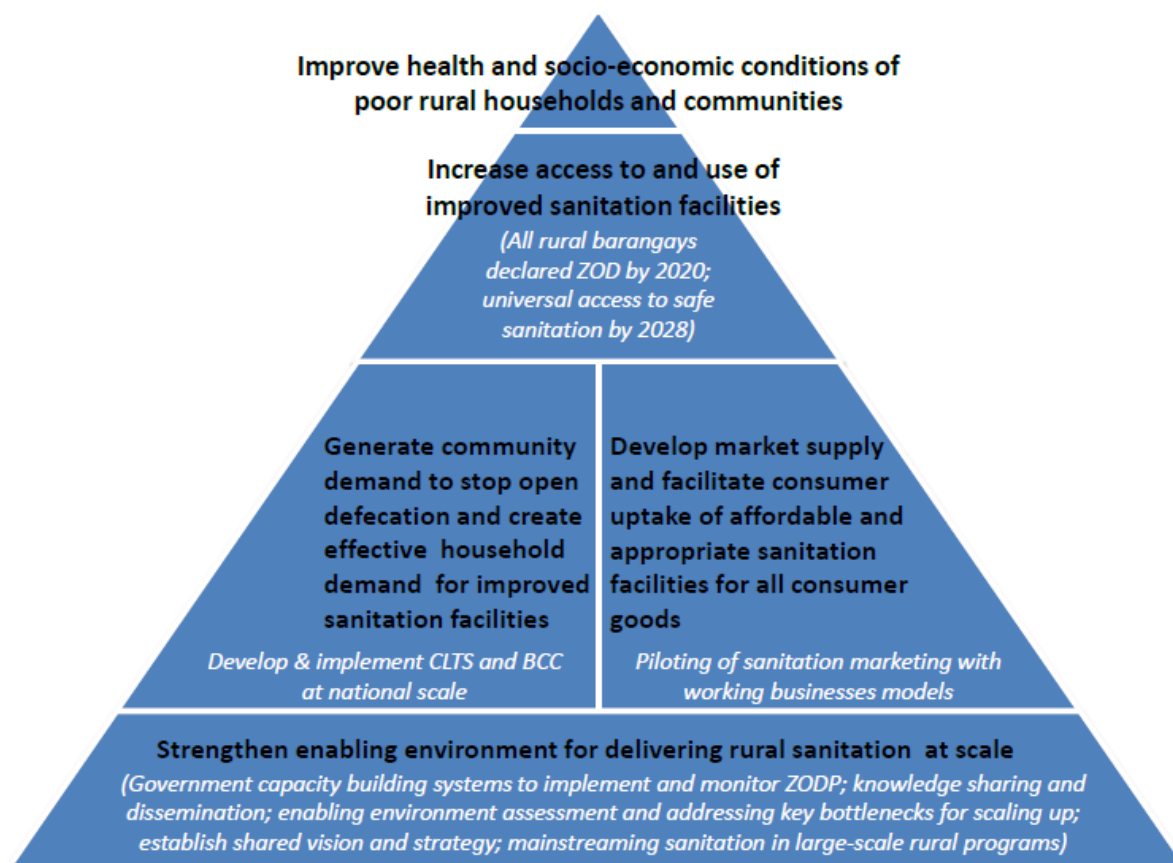
The development objective of the TA was to strengthen the capacity and resource mobilization of national and sub-national governments to implement an at-scale rural sanitation program to achieve universal access and stop open defecation aligned with the goals of the NSSP. The TA supported the government in focusing on developing an enabling environment and national and sub-national capacities for the scaling up of the ZOD Program that specifically addresses the rural challenges, focusing on intermediate targets (2016) of the NSSP, namely:

- i) All local government units (LGUs) have declared sustainable sanitation as their policy; and
- ii) At least 60% of all barangays have been declared Zero Open Defecation (ZOD).

2.2 TA Program Theory of Change

To support the Philippine government in scaling up rural sanitation to reach universal coverage, WSP’s Scaling Up Rural Sanitation (SURS) Program Theory of Change is grounded on establishing an enabling environment for scaling-up that supports the development and strengthening of linkages between demand creation for households and communities for improved sanitation facilities, through effective behavior change approaches, and supply chain for affordable, appropriate and aspirational sanitation products. WSP’s global experience in rural sanitation was adopted and strengthened, building on earlier, although limited demonstrations of rural approaches in the Philippines. Figure 1 illustrates the theory of change.

Figure 1. Scaling Up Rural Sanitation Theory of Change for the Philippines



Strengthening the enabling environment for delivering rural sanitation at scale was a foundational aspect of the country program design. WSP, in cooperation with UNICEF, examined the key dimensions of the enabling environment necessary to institutionalize rural sanitation policies, approaches, and implementation arrangements. Capacity building of lead government agencies to plan, implement and monitor ZOD Program was a key dimension. Another relevant aspect during program implementation was to support effective capturing, sharing and dissemination of knowledge. The gaps in the enabling environment was the focus of WSP's programming through FY16. All the above interventions have guided the process of framing a long-term rural sanitation program at scale.

2.3 Scope and Implementation Approach

WSP supported the government in scaling up rural sanitation on 3 TA components that embody WSP's Theory of Action:

Component 1: Strengthening the enabling environment and building local implementation capacities and systems to roll out the ZOD Program under NSSP. Specific support activities related to this component include: facilitation of inter-agency coordination and program collaboration; orientation of local officials on public policy process and crafting of ordinances and resolutions; development of sanitation plans, implementation strategies and budgets; setting up and mobilization of sanitation technical working groups and committees; verification and certification of ZOD LGUs; formulation of guidance notes on WaSH integration piloting; synchronization of local sanitation programs; and training

on the use of M&E tools and reporting; All these component activities are complemented by an evidence-based and adaptive learning approach to inform strategies within other national programs to scale up rural sanitation.

Component 2: Development of a programmatic approach that addresses sanitation demand creation.

The suite of activities under this component consist of: conduct of hands-on training on community-led total sanitation (CLTS) for rural sanitary inspectors and frontline health workers; behaviour change communication (BCC) campaign for households and communities; sanitation roadshows and caravans in municipalities and provinces, policy advocacy campaigns; and training of municipal links on conduct of enhanced sanitation module on family development session (FDS).

Component 3: Strengthening sanitation supply chains and financing mechanisms for the poor.

Typical package of interventions covered under this component include: development of low cost sanitation products; skills training for masons/carpenters on toilet fabrication/production and installation; piloting of service business models and local enterprise development; development and promotion of product and sales catalogue; partnership with micro-finance institutions on household financing arrangements. The Unified Financing Framework (UFF) is not part of this TA but was a broader support by the World Bank to NEDA aimed at rationalizing financing of water and sanitation projects.

Annex 1 provides a complete list of the TA component activities with corresponding estimated cost per capita.

The scope of the TA focused mainly in supporting the DOH's Zero Open Defecation Program that established a learning laboratory-at-scale covering 13 municipalities within 5 provinces, as well as national level support and mainstreaming into key national flagship programs implemented by the Department of Social Welfare and Development (DSWD) and the Department of the Interior and Local Government (DILG)³. The last year of TA implementation demonstrated the scaling up of the ZOD Program through the integration of sanitation programming in DSWD's WaSH integration piloting that covered 6 regions in 17 provinces and 41 municipalities⁴.

2.4 Intermediate Outcomes and Achievements

Tabulated below is the project intermediate outcomes, indicators and corresponding activities and achievements. Out of the 10 intermediate indicators, the TA achieved 7 (2 surpassing the target) while 3 are still underway, contingent to the approval of a sector financing reform supported by the Bank (UFF) and the completion of an on-going impact evaluation.

³ The 13 municipalities are as follows: Buenavista, Gumaca, and Quezon in Quezon Province; Calatrava in Negros Occidental; Bindoy and La Libertad in Negros Oriental; Alabel, Glan and Malungon in Sarangani; and Aroroy, Cawayan, Milagros, and Monreal in Masbate Province. The 4 municipalities in Masbate Province have received support from the UNICEF WASH Program.

⁴ The 6 Regions and corresponding 17 Provinces are as follows: 1) Cordillera Autonomous Region – Benguet and Ifugao Provinces; 2) Region 4A – Quezon Province; 3) Region 4B – Romblon Province; 4) Region 5 – Masbate, Camarines Norte, Camarines Sur Provinces; 5) Region 7 – Negros Oriental, Cebu and Bohol Provinces; and 6) Region 8 –Samar, Eastern Samar, Biliran and Leyte. Negros Oriental, Sarangani and Davao Sur are parallel pilots.

Intermediate Outcomes	Indicators	Activities	Actual Achievements and Results
<p>Rural sanitation policy and programmatic approach developed with shared vision among central agencies</p> <p><i>(Component 1 – Enabling Environment)</i></p>	<ul style="list-style-type: none"> GoP consensus is built on ZODP Program goals, targets and strategies (Achieved) Formative research carried out to inform programmatic approach to improve sanitation service delivery through behavior change, CLTS and strengthened supply (Achieved) Programmatic approach based on scaling-up ZODP developed and implemented in 12 municipalities in 6 provinces by 2014, and scaled to 10 provinces by 2016 (Surpassed) Baseline and planning process, including financing and incentive mechanisms are harmonized among sector agencies (Achieved, financing mechanism underway) 	<ul style="list-style-type: none"> Facilitation of inter-agency coordination and program collaboration Baseline data gathering, desk review and building of evidence base; development of knowledge products and hosting of learning events Orientation on local public policy process; passing of ordinances and resolutions; organizing sanitation technical working groups; synchronization of local sanitation programs by DoH, DSWD and DILG; training on the use of M&E tools and reporting Development of sanitation plans, implementation strategies and budgets; verification and certification of ZOD LGUs; 	<ul style="list-style-type: none"> IACEH Resolution reconstituting the Sanitation Working Group composed of DoH, DSWD, DILG and DepEd adopting a shared vision on ZODP Implementation Strategy (phased approach) formally adopted by DoH and DSWD through Admin. Order and Guidance Notes, respectively; at-scale piloting and mainstreaming in 50 municipalities and 20 provinces as of Q1 2016 Standardized tools for baseline and planning processes; Financing framework underway contingent to UFF approval by NEDA (indirectly supported by this TA)
<p>At-scale capacity systems strengthened for implementation of rural sanitation component of the NSSP</p> <p><i>(Components 2&3 – Demand Creation and Supply Strengthening)</i></p>	<ul style="list-style-type: none"> Rural sanitation capacity building framework developed with clear institutional roles at different levels (Achieved) Capacities of 12 local governments (province/municipal) for planning, coordination, implementation and monitoring of ZODP 	<ul style="list-style-type: none"> Conduct of central and regional consultation workshops; strategic planning and coordination meetings Conduct training of CLTS facilitators and BCC campaign targeting households and communities; 	<ul style="list-style-type: none"> DOH's 5-Year Strategic Plan on Environmental Health defines institutional roles and capacity needs; DSWD's Guidance Notes on WaSH Integration defines rollout strategy Capacities of 70 local governments enhanced for planning, coordination,

<i>Intermediate Outcomes</i>	<i>Indicators</i>	<i>Activities</i>	<i>Actual Achievements and Results</i>
	<p>program developed (Surpassed)</p> <ul style="list-style-type: none"> • Medium-term strategic capacity development program integrated to large-scale health and social programs of GoP (Underway) 	<ul style="list-style-type: none"> • sanitation roadshows and caravans in municipalities and provinces, policy advocacy campaigns 	<p>implementation and monitoring of ZODP program developed</p>
<p>Rural sanitation subsidy policy and delivery mechanisms for poor households developed and implemented</p> <p>(Component 3 – Supply Strengthening)</p>	<ul style="list-style-type: none"> • Financing schemes and incentive mechanisms to leverage sanitation funding reviewed and opportunities for leveraging these schemes in Philippines assessed (e.g. OBA facility) (Underway, IE results by late 2017) • Funding gap and investment requirement for sanitation subsidies targeting poor households assessed (Underway, contingent on UFF and IE results – both outside of this TA's scope) • Operational pilots conducted to integrate sanitation in CCT and CDD national programs scaling strategy developed and operational manuals adopted (Achieved) 	<ul style="list-style-type: none"> • Piloting of service business models and local enterprise development; • Partnership with micro-finance institutions on household financing arrangements. • Development and testing of low-cost sanitation products and related services • Development of WaSH Integration Guidance Notes; • Training of municipal links on conduct of enhanced sanitation module on FDS; skills training for masons/ carpenters on toilet fabrication/ production and installation • 	<ul style="list-style-type: none"> • Overall sector framework supported by the Bank through the Unified Financing Framework Study (UFF) – endorsed by the National Economic and Development Authority • Study on sanitation subsidies and financing underway through an independent Impact Evaluation to be completed in late 2018 • Operational pilots on WaSH Integration in DSWD's core programs tested in , WaSH Integration Guidance Notes developed

3.0 OUTPUTS AND KEY RESULTS

3.1 Enabling Environment

One of WSP's key contributions in rural sanitation programming is the introduction of a framework for assessing the enabling environment (EE). The EE represents the set of conditions needed to scale up and sustain a rural sanitation program at national and local levels. The EE framework consists of eight essential dimensions: Policy, Strategy, Institutional Arrangement, Program Methodology, Implementation Capacity, Availability of Tools and Products, Financing, Cost-effective Implementation, and Monitoring/Evaluation. UNICEF in partnership with WSP commissioned a study in late 2011 to assess in detail the 8 dimensions of the EE framework in the context of the Philippines. Results from the assessment were finalized in May 2012 and were locally adopted as initial diagnostic tools in the respective pilot areas.

3.1.1 Public Policy Process and Advocacy Handbook

Coherent with the BCC Campaign on *UNLI Asenso pag may Inidoro*, an Advocacy Handbook for was developed in guiding local policy-makers pursue the goal of ending the practice of open defecation in rural communities. The Handbook targets local government officials and community leaders, highlighting their role in the public policy process to build awareness and generate action towards the eradication of open defecation in their area.

Sanitation advocacy requires political activity that involves influencing decision-makers within the community to champion desired outcome of ZOD. It involves initial processes such as identifying and championing issues to get them on policy agendas, including the presentation of persuasive arguments to policymakers and other stakeholders. The advocacy would also necessitate educating officials and citizens on the identified issues, mobilizing support from both stakeholders and citizens, and creating coalitions to influence and make internal changes in organizations to be able to do all of the above.

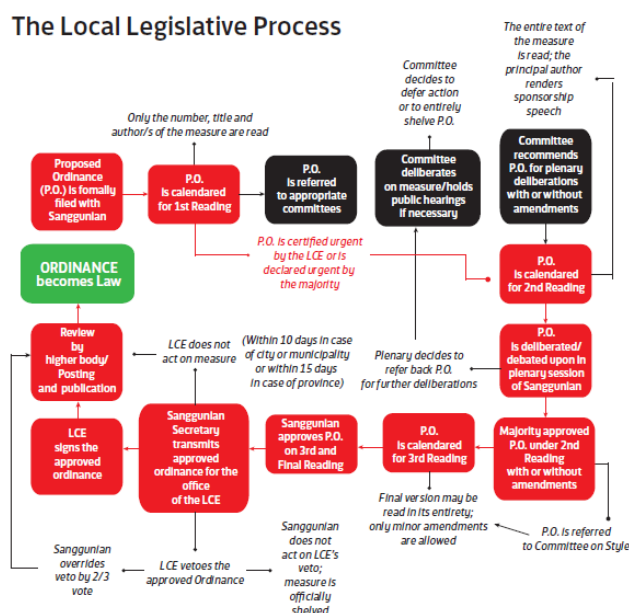
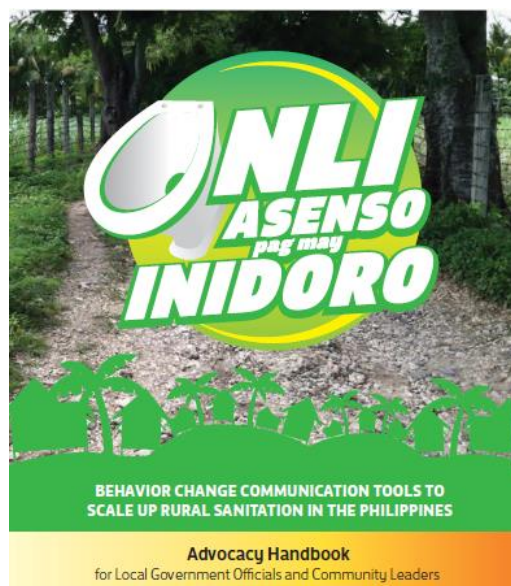
The Handbook outlines nine guidelines to implementing an effective Advocacy Campaign:

- Identify priorities & issues
- Understand the policy issue
- Understand the policy decision-making process
- Identify decision-makers & stakeholders
- Comprehend the political environment
- Understand the group's strengths & limitations
- Develop a comparative advantage
- Identify allies and the support they can provide
- Develop communication strategies & capacities

In the 4 pilot provinces and 9 pilot municipalities of the TA, policy development was demonstrated through the creation and ratification of local legislation against open defecation. The resulting ordinances delivered a clear message to other local governments and the constituency that communities must consider sanitation as a serious issue requiring urgent actions. Local leadership action in this regard also reinforced mindsets within the community that the practice needs to be rejected. There were a total of 208 local chief executives, council members and technical staff who were directly trained by the TA on public policy development.

A generic process of local legislation has been outlined in the Guidebook as a reference to local legislators (see Figure 2).

Figure 2. Advocacy Handbook and the Local Legislative Process



Results

Public Policy Workshops leading to adoption of provincial and municipal sanitation ordinances. WSP's direct policy support to its pilot areas have helped local implementers develop a set of procedures, rules and allocation mechanisms which provided the basis for sanitation programs and service delivery. The resulting policies have set the priorities influencing allocation of resources for implementation. Policies were expressed into local ordinances, articulating economic incentives and the assignment of rights and responsibilities for program implementation.

In 2013, a series of Public Policy Workshops for Sanitation were organized for the 4 partner provinces and 9 municipalities. These workshops have proven to be learning resource for local leaders to begin the process of creating strategies and action plans to eradicate Open Defecation. Looking beyond the solutions offered through public policy development process, the workshops have led to building stronger programs and identification of complementary activities towards effective enforcement of the policies. For example, in various municipalities in Negros Island Region, significant advancement have been made in the campaign for ZOD:

- The Municipality of Calatrava, Negros Occidental worked on passing an ordinance to prohibit open defecation in order to achieve their specific goal: achieving 60% ZOD by the year 2016
- The Municipality of La Libertad, Negros Occidental strengthened their Information and Education Campaign through more CLTS Triggering, training of frontline workers who will engage the households, and Barangay General Assemblies or community events. They also sought to provide incentives for Barangays who can achieve ZOD

- In the Municipality of Bindoy, Negros Oriental, local leaders worked towards greater collaboration, promoting the integration of the sanitation advocacy and ordinance into the different programs of other agencies.

As of January 2016, there are 12 out of 25 LGUs in the Province of Negros Oriental who had passed their local ZOD ordinances⁵. The lead Provincial Board Member has authored the provincial ordinance and in September 2015, she led a public hearing that was attended by representative from different sectors. The ordinance has been scheduled for 3rd hearing in the first quarter of 2016. In Negros Occidental, 3 out of 32 LGUs passed their respective ZOD ordinances⁶. The provincial ordinance for the province of Negros Occidental was approved in the 2nd quarter of 2015.

Results of Policy Advocacy Trainings in Quezon Province have paved the way for the passing of both Provincial and Municipal Ordinance on ZOD and the allocation of budget by the Municipal Council and Provincial Board through the Committee on Health. For instance the proactive support by the legislative council in the Municipality of Buenavista have resulted in the achievement of it ZOD status – which marks the first ZOD Municipality in the Province of Quezon. In the same manner, the other pilot areas, Gumaca and Quezon towns, are doing good progress in closing the gap on toilet access. The Provincial Health Officer of Quezon, being an active member of the WASH Technical Working Group, has steered the collaborative work on ensuring an enabling policy for the implementation of the rural sanitation program as contributory to the attainment of the NSSP objectives.

The ZOD campaign in Sarangani Province has been like a wild fire progressively spreading from one barangay to another with varying forms of strategies and mechanisms producing the following:

- a. Engaged all officials to support ZOD;
- b. All municipalities and the Province now have ZOD Ordinance with Funding and incentive schemes;
- c. 51 barangays with functional Local health Boards;
- d. Sanitation multi-stakeholder meetings have rolled-out in NON WORLD BANK pilot municipalities creating more allies;
- e. Other stakeholders were engaged to support our ZOD
- f. M&E tool has been enhanced to capture household-level survey

⁵ These are the LGUs of Bindoy, La Libertad, Pamplona, Siaton, Valencia, Zamboangita, Dauin, Tanjay, Manjuyod, Mabinay, Ayungon and Basay.

⁶ These are the LGUs of Calatrava, San Carlos City and Murcia.

Box 1: Role of Policy Development in ZOD Program Implementation in Sarangani Province

In Sarangani Province, drafting of the Provincial ZOD Ordinance and the creation of a sanitation roadmap, alongside other health programs have helped prioritize various sanitation campaign activities and resource allocation. Moreover, the Province has developed several strategies and mechanisms as mandated in the provincial ordinance to ensure effective and efficient program implementation such the creation of Provincial ZOD Task Force that oversees the preparation and implementation of provincial and municipal sanitation management plans, also prescribing sanitation-related policies. Different levels of institutional arrangements from municipal down to the barangay level has been developed to define roles and responsibilities of actors at all levels to implement ZOD program and coordinate activities. One of the commendable efforts by the Province is the institutionalization of *Barangay Local Health Board* that serves as the advisory committee to the barangay council concerning health and sanitation.

To institutionalize fund allocation, the Provincial Government as stated in the ZOD Ordinance have apportioned fund for sanitation of at least 1% of the 20% development fund. Moreover, at least 15% of sanitary fees and the like levied by the LGUs will also be allocated for sanitation related projects and activities such as BCC campaigns and promotions, policy development and others as stated in the Municipal Sanitation Action Plan. At the barangay level, through the recommendation of the Barangay Local Health Board, annual budget for sanitation can be allocated based on the formulated Barangay Sanitation Plan.

The Province established a monitoring and evaluation system to determine household access to sanitary toilets and to track changes for improvement and sustainability of health programs. This mechanism provided a sense of urgency to the local officials to give sanitation a priority in their political agenda.

The Province also developed a performance based incentive system, giving recognition to municipalities and barangays that achieved ZOD. Recently, the Provincial Government through the Provincial Health Office announced that Php50,000 worth of medicines and supplies will be given to first 50 barangays who achieved ZOD. Also, the Office of the Vice Governor will award 10,000 cash incentive to 1st 50 ZOD barangays. At the municipal level, the LGUs have various forms of incentives and recognition (both cash and in-kind) given to their barangays who achieved ZOD.

3.1.2 ZOD Implementation Strategy

In 2012, WSP and UNICEF jointly supported the development of an implementation strategy to assist DoH in rolling out the ZOD Program. The sanitation implementation strategy defines clear targets and timelines for a local government unit (LGU) to achieve ZOD status and beyond. The strategy applies basic profiling of barangays within a municipality with the aim of assigning appropriate interventions to address a specific sanitation condition. Through the oversight of a Municipal WASH Task Force, the overall sanitation gap is determined, leading to a systematic categorization of barangays according to the sanitation needs and characteristics of the households (see Figure 3).

Figure 3. Categorization Tool in Targeting ZOD Barangays



For the first two categories of barangays, a mix of interventions involving behavior change communications (BCC), sanitation marketing and an enabling environment for proper sanitation are required to reach ZOD. For the remaining categories, BCC, sanitation marketing and enabling environment interventions must be accompanied by extensive CLTS efforts to effectively achieve and sustain ZOD status. For all types of barangays, regular monitoring and evaluation (M&E) is conducted. Having baseline data and M&E reports at regular intervals ensure the ability to keep track of the progress.

The implementation strategy for the ZOD Program recognizes that ZOD is just one stage in a graduated approach. Reaching ZOD is important but it is not the ultimate goal or the end of improving sanitation conditions of the community or municipality. Success is only fully achieved once the barangay and entire municipality have attained Total Sanitation or Grade 3. Achieving Grade 3 entails municipal-wide water and sanitation interventions, to include septage and solid waste management requiring comprehensive systems approach, going beyond the scale of a barangay. The phases of the graduated approach is shown in the matrix below with its corresponding description and criteria.

Figure 4. Phases in the Graduated Approach



Box 2 : Description of the Phased Approach in Rural Sanitation

Grade 0 Barangay (G0): Sanitation conditions are clearly inadequate. There is high prevalence of households practicing OD, lack of access to sanitary toilet facilities, toilet sharing arrangements among several households or families for use of one toilet, and people using unsanitary toilets that endanger their health.

Grade 1 Barangay (G1): ZOD has been achieved, meaning 100% of all households use a sanitary/hygienic toilet to defecate (i.e. the toilets are odor free and fly-proof), no one is defecating in the open; the feces of babies and elderly are properly managed; soap and water for hand washing are readily available, and that there is an existing barangay sanitation action plan for sustainability.

Grade 2 Barangay (G2): All households (100%) use a sanitary toilet, soap, and water; all institutions have a sanitary toilet and everyone applies the practice of desludging to sustain the efficiency of sanitary toilet facilities when pits/septic tanks are full. At G2 Level, there is also an improvement of toilet/latrine standards and positive behaviors for ZOD status are sustained over time. Regular monitoring by the BHWs and RSIs is important in ensuring that ZOD barangays continuously improve and progress from the Grade 1 to Grade 2 level, making the barangay a Sustainable Sanitation Barangay.

Grade 3 Barangay (G3): Barangay practices like solid waste management (segregation, collection, disposal), wastewater management (drainage improvement), and backyard (purok level) gardening is present. There is 100% sanitary toilet coverage, local ordinances on sanitation are diligently enforced, and regular monitoring is conducted by BHWs and RSIs. Barangays that have reached the G3 level are considered Total Sanitation Barangays and can qualify for the DOH's National Search for Best Barangay Sanitation Practices.

3.1.3 ZOD Verification Tool and Certification Guidelines

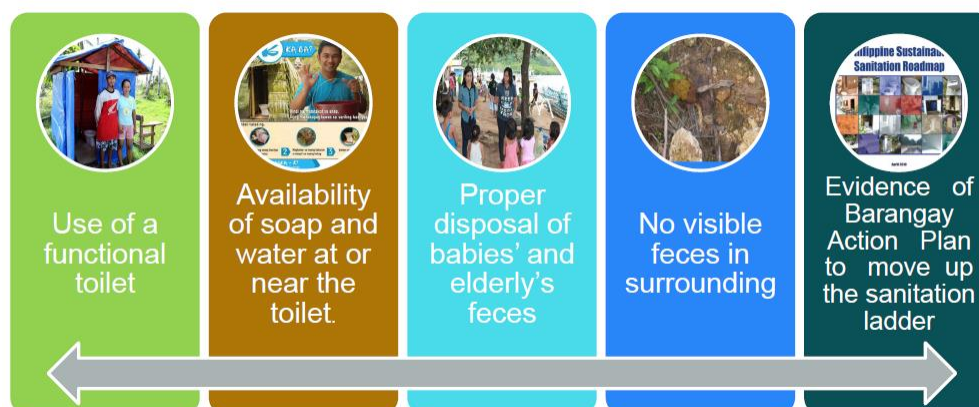
WSP supported the development and field testing of a verification tool which was adopted by DoH into official Guidelines on Verification and Certification of Barangay for ZOD Status through *Department Memorandum No. 2015-0021*. The guideline sets the ZOD verification and certification standards and procedures to streamline process for government and non-government WASH actors as well as empower communities to take actions to move to the next ladder of sanitation, to sustain and improve the health and well being of the people.

Figure 5. Objectives for the Certification of Barangay ZOD Status



For the Barangay to be certified ZOD status, the following characteristics should exist in the community at the time of the assessment towards certification:

Figure 6. Basic Criteria for Achieving Barangay ZOD Status



Results

Pilot demonstration of the implementation strategy leading to ZOD status. Sarangani Province demonstrates the best practice in sanitation programming leading to the achievement of ZOD status by 2016. The province is among the 15th poorest provinces in the country with poverty incidence rate of 46.5%. Based on the data from the Provincial Health Office in 2010, gastroenteritis is the 3rd leading cause of morbidity for people of all ages and the 4th leading cause of mortality among infants, with

these cases prevalent among indigenous households with no access to sanitary toilets. Sanitation has become a very relevant agenda in Sarangani particularly to women, prompting the Provincial Government of Sarangani to commence a campaign under its poverty reduction program Sulong Sarangani. Related to this, a ZOD campaign coined JINKEENATION or Joint Initiative in Keeping Ecology Noble Action Towards Improving Our National Sanitation, headed by the Office of the Vice Governor was launched.

The Sarangani Provincial Government continued its advocacy and triggering activities both at the municipal and barangay levels. Various forms of promotional and fund-raising activities were conducted such as the “Dance for a Cause” in the Municipality of Maitum; partnership with a cooperative in Alabel; and private sector engagement like the RD Corporation in Maasim. In parallel, convergence efforts by the different government agencies like DSWD, TESDA, Armed Forces of the Philippines and other actors have contributed to significant results: to date the province has declared a total of 51 ZOD barangays out of its total 141 barangays (36%).

Among the 7 municipalities in Sarangani, Malungon surpassed the others despite its challenges in terms of population and land area. Malungon achieved its ZOD status in less than 2 years from the date of aggressive sanitation campaigning in 2013. In March 24, 2015, the Provincial Board session unanimously approved Resolution No. 2015-08-035 declaring the municipality of Malungon as the 1st LGU to have achieved ZOD status in the Province.

In the Province of Quezon, the Provincial Government has adopted the ZOD Program and its implementation strategy. Through the leadership of the Integrated Provincial Health Office, the ZOD Program is being linked to the “Hi-5 Program” of the DOH, which is locally dubbed as “Quezon 1,000 Days” or Q1K, an initiative addressing chronic malnutrition and ensuring that mothers and their babies are not exposed to unsanitary environment. The program is a conscious effort by the IPHO to solve, in particular, stunting of children in poor families. Consistently, this is indicated in the policy articulation and recognition of the Provincial Government by providing program package as a form of incentive for any municipality that will achieve ZOD by the current administration under the leadership the incumbent Provincial Governor. The Provincial awarding and recognition is timed during the annual State of the Province Address (SOPA). The first recipient of such award is the Municipality of Buenavista, which was verified and certified using the new DOH Guidelines on verification and certification for Barangay achieving ZOD status. Most recently, the Municipality of Agdangan has also been certified as ZOD Municipality while several other municipalities are demonstrating consistent implementation of the ZOD program. The province and its municipalities have adopted the phased approach to reach Grade 1 status as ZOD for all barangays and starting to move up the sanitation ladder towards G2 and G3 status.

3.1.4 DSWD Guidance Notes on WaSH Integration in the 3 Core Programs

The TA assisted the DSWD in crafting Guidance Notes for integrating WASH into the Department’s three core programs- Kalahi-CIDSS (KC), Pantawid Pamilya, and the Sustainable Livelihood Program (SLP). The Guidance Notes strengthened overall enabling environment for WaSH in DSWD as it formalized the Department’s commitment to WASH integration, as well as articulated how integration is deemed to happen. Further to the Guidance Notes, the DSWD also formed a central and regional WASH Technical Working Groups to direct the Municipal Action Teams (local convergence of 3 programs) to spearhead WaSH piloting at the field level.

WaSH integration has mapped out innovative interventions and provisions in making services, resources and utilities more viable and beneficial to the poorest households in the communities, and further make them socially aware and responsive to WaSH related issues and development. The integration initiative was designed to strengthen the promotion of community participation and decision-making to comply with the conditions of the program towards accessing sustainable water, sanitation and hygiene services.

Through the TA, WASH convergence and implementation in 3 core programs provided the means for local government units to legislate laws relevant to sustainable water, sanitation and hygiene; presented practical options through technical innovations and employment opportunities to local communities and partner organizations.

3.1.5 M&E Framework, Tools and Operating Manual

In late 2012, a monitoring and evaluation framework for scaling-up rural sanitation has been conceptualized based on a comprehensive review of existing and available M&E tools and systems at the national and local levels. The resulting framework defined key performance indicators and attempted to synchronize deliverables for sanitation programs, projects and activities under the NSSP and the ZOD Program.

The M&E Tool was initially tested in the WSP-supported pilot areas to track the progress of the sanitation program implementation. This was eventually rolled-out to five provincial LGUs (Quezon, Negros Oriental, Negros Occidental, Sarangani and Davao del Sur), covering 93 municipalities and 21 city governments. At present, it is being utilized by the same provincial, municipal and city health offices coupled with the regular field data surveys by rural sanitary inspectors and health workers at the barangay level.

Through this TA on M&E, WSP has trained 114 sanitary inspectors on the actual application of the Tool. As projected by DOH once the system is set to full operations, the M&E system will generate sanitation data for 2,923 barangays. The same M&E Tool has been extended for use of the DSWD's Municipal Links, wherein sanitation data for the Pantawid Pamilyang Program has been integrated. The larger WaSH Integration initiative of DSWD will eventually converge the monitoring and information system of KC-NCDDP and SLP into a single dashboard aligned with the M&E Framework to be hosted by DoH.

Gathering all the field lessons and desk review until late 2013, WSP supported DoH in developing an M&E Manual for Scaling-Up Rural Sanitation. The Manual serves as a basic reference for DoH national and regional staff in performing their task to monitor and evaluate the ZOD Program. The Manual is also utilized by Municipal and Provincial Health Offices in guiding them how M&E is conducted at their respective levels.

A strategic objective for the rollout of the Manual is to facilitate the development of a responsive M&E culture so that timely information is made available to the DOH management, oversight and partner agencies, donor institutions, and other relevant organizations. By this, it is implied that monitoring and evaluation is seen as a key component in the delivery of social sector interventions and that there is a formal process within DOH to support the undertaking of M&E on a regular basis. Above all, decisions concerning social interventions (with a focus on sanitation) are based on credible data.

IN late 2015, the M&E Manual has been endorsed by the Environment and Occupational Health Division of DOH for adoption into the Department's umbrella system called the Philippine Health Information Exchange System (PHIES), which is being managed by the Knowledge Management and Information Technology Service of DoH.

Results

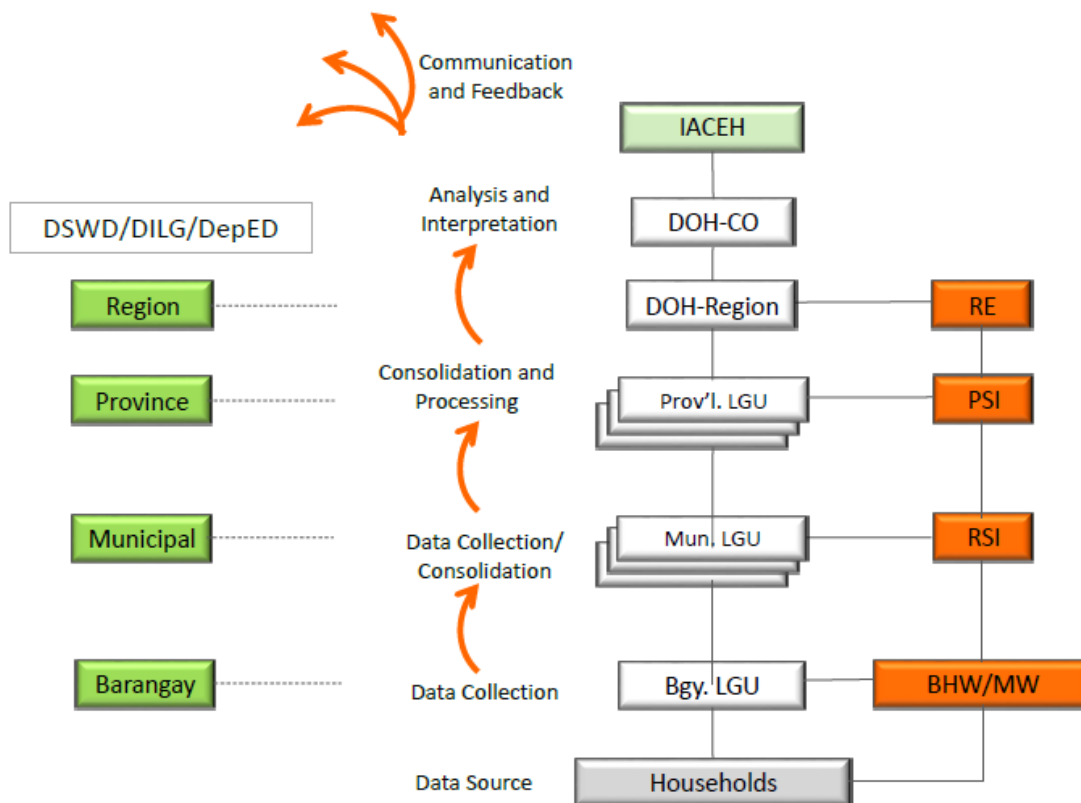
Operationalization of an Inter-Agency M&E System for Rural Sanitation. The operationalization of an M&E system for rural sanitation has improved data collection and enhanced analysis and interpretation of sanitation data within the bureaucracy of DoH. It has significantly raised the capacities of local government units in utilizing evidenced-based data and information which feed into the planning and budgeting process at the local level. Further, the system has enriched the level of data capture involving 18 key sanitation indicators which allow for a more extensive analysis of the state and progress of rural sanitation programming. The existing Field Health Service Information System (FHSIS) of the DOH has 6 indicators on sanitation.

The application and adoption of the M&E system has gone beyond the DOH and has been gradually integrated in to the DSWD's monitoring system for the three core programs: 4Ps, SLP and KC-NCDDP.

In the TA pilot areas, M&E hands-on training were organized to introduce the LGU participants to foundational concepts, procedures and methodologies of monitoring and evaluation. Specifically, the exercise was aimed at improving the capability of the Rural Sanitary Inspectors and Barangay Health Workers to collect data; process and manage information; and analyze and interpret sanitation data through the utilization of the monitoring tool.

The expected result was to contribute to the institutionalization of the ZOD Program monitoring tool throughout the various levels of the local government (Provincial, Municipal and Barangay) in order to ensure a seamless interface of information to the Regional and Central Offices of the Department of Health. The training also led to the firming-up of key performance indicators on sanitation and defining of reporting flows and timelines between the various LGU M&E focals.

Figure 7. Proposed M&E Data Collection and Processing for Rural Sanitation



3.1.6 Development of the DoH 5-Year Strategic Plan for Environmental Health (2017-2022)

The TA assisted the DOH in developing a 5-Year Strategic Plan for their Environmental Health Division covering the period 2017-2022. The EH Strategic Plan articulates two contexts where strategies are most needed: 1) the office context of the Environmental Health where it seeks its efficient, effective and relevant operations through the strategies crafted; and 2) the program context where the formulated strategies shall be used by Environmental Health's core programs to ensure efficient and effective program performance. The identified core programs under Environmental Health include

- i. Water Supply Program (Water Safety and Local Drinking Quality Monitoring)
- ii. Environmental Sanitation Program (Zero Open Defecation Program or ZODP and National Sewerage and Septage Management Program)
- iii. Special Program (Bottom Up Budgeting and Climate Change)

The formulated strategies of EH were configured from the in -depth analysis of the external and internal contexts of EH (threats, opportunities, strengths and weaknesses). These strategies present an integrative perspective as EH operates as a whole providing guidance and anchor to all programs of the environmental health, paving the way for cross -cutting activities and initiatives to make the programs work. The plan then highlights program strategies and program-specific performance targets, key activities and timeline.

In the process of developing the 5-Year EH Strategy, WSP hosted dialogues and meetings with DoH senior- and middle management level and technical staff. WSP also organized 4 major regional consultations (2 in Luzon, 1 in Visayas, and 1 in Mindanao) that involved the participation of regional and provincial counterparts of DoH.

Results

Adoption of the DoH 5-Year Strategic Plan on Environmental Health. The overall support of the TA has strengthened the Department of Health's strategic role in progressing the sanitation sector through the implementation of the NSSP, under which the Environmental Sanitation Program (ZODP and National Septage and Sewage Management Program) takes shape within the context of implementing the Plan. The 5-Year Strategic Plan has become an overarching framework in ensuring achievement of the NSSP goals.

Within the Disease Prevention and Control Bureau, the EOHO has clearly delineate its responsibility to develop plans, policies, programs and strategies to manage health hazards and risk associated with environmental and work related factors. The EOHO operates on a very lean team managing not only the sanitation-related activities at national level, but also a large number of other environmental and occupational health services and activities. The rollout of their 5-Year Strategic EH Plan will systematically leverage on the resources and reach of the Department's regional counterparts.

The Regional Offices of DoH are the operational hub for local health systems development and service delivery in the country, which include advocacy, capacity building and program implementation for rural sanitation. The Regional Offices s will largely rely on EOHO guidance and support to dispense their functions in: a) policy direction, strategy formulation; b) project supervision; c) technology and innovation; d) institutional and capacity building; and e) monitoring and evaluation.

Agreement on Joint Programming and Implementation through IACEH Rural Sanitation Working Group. The Department of Health has declared sustainable sanitation as a national policy and priority program through DOH Administrative Order 21-2010. The Administrative Order (AO) has been widely used to invoke support by local governments in program planning, implementation and coordination; capacity building; research and development; knowledge management and advocacy and monitoring and evaluation. The AO has been an effective policy instrument for DoH central and regional authorities to guide prioritization, targeting and planning of local governments and communities in achieving ZOD status, thereby contributing to overall improvement of environmental health conditions.

While the DoH AO was gaining internal traction and recognition, in parallel DSWD's integration of WaSH in its core programs was beginning to take shape in late 2014. This initiative became the impetus for conceptualizing an inter-agency body that would address the rural sanitation agenda and establish partnership and cooperation among national government agencies implementing WaSH programs. DoH and DSWD further began reaching out to DILG and DepEd to strengthen coordination and program implementation on rural sanitation, initially forging a joint memo circular for the 4 agencies to define their respective roles and responsibilities towards converging actions to accelerate WaSH development, implementation and sustainability in poor rural households.

Given the existence of the Inter-Agency Committee on Environmental Health (IACEH), which is a national inter-agency platform legislated through EO 489 in 1991, the DoH proposed to fuse the newly

formed inter-agency TWG into the IACEH umbrella. With the IACEH having a similar core function of coordination, monitoring and evaluation of environmental health programs and development projects, DOH proposed to adopt a Rural Sanitation Working Group through a resolution. The said resolution shall institutionalize a Rural Sanitation Working Group under the Water and Sanitation Sector of the IACEH. The said IACEH Working Group shall establish a shared vision and strategy, securing high-level political will to implement rural sanitation programs and projects at-scale. The formal adoption of the IACEH Resolution is targeted in March 2016.

Box 3: Key Strategies for EH Strategic Plan, 2017-2022

Communication and Promotion. Increasing awareness on environmental and occupational health is imperative to ensure behavior change as a sustainable way to prevent the onset of environmental and occupational health diseases.

Advocacy and Lobbying. There is a need to advocate further the policies developed in order to lobby for support and mainstream them into DOH's various level of budget allocation as well for the strict enforcement of laws and policies

Capacity Development. Capacity Building Program for EOH Program Managers, C/MHOs, SEs and SIs is needed to upgrade/improve and develop the skills and competencies for quality performance of environment and occupational health programs.

Technical Assistance. Strengthen technical assistance to Regional Offices to ensure efficiency and effectiveness of programs particularly in areas of capacity building, research and monitoring and evaluation.

Policy Review, Enhancement and Development. Reviewing the provisions of Sanitation Code is necessary to ensure timely and relevant policy guidance for environmental sanitation related programs and projects. Develop new policies as necessary.

Monitoring and Evaluation. Strengthen M&E to make it an efficient and effective oversight for regulation, feedback, planning, monitoring and evaluation for environmental sanitation and other EOH related programs.

Guidelines and Standards Development. Develop, implement and effectively enforce guidelines and standards to ensure quality of EOH programs, initiatives and activities.

Human Resource Management. Facilitate human resource upgrading and support in areas of building strong collaboration and develop team performance indicators for efficient and effective implementation of programs.

Database Management. Develop a strong IT supported database management system to ensure sound, accurate and reliable data for evidenced-based programming on EOH.

3.1.7 Rural sanitation subsidy policy and delivery mechanisms for poor households

Impact Evaluation on Integrating Sanitation Programming in 4Ps. Formative research confirms that rural and poorer populations in the Philippines face the most barriers to gaining access to basic sanitation services, and disproportionately feel the greatest economic and human capital losses of living in unsanitary and unhygienic environments. With limited capacity for investment from local

governments, and the unsustainable nature of top-down subsidies, the TA has explored sustainable and economically viable approaches to increase access to sanitation, especially to base-of-pyramid (BOP) households.

A key knowledge gap in the sector is how best to address the financial constraints the poorest face in acquiring sanitation products and services. While financing and saving products can enable households that cannot afford a lump sum payment to smooth this cost over time, some households will never have enough cash to afford a toilet. For these households subsidies may be their only means of acquiring adequate sanitation.

To address these knowledge gaps in increasing sanitation among the poor, WSP is currently conducting an impact evaluation to evaluate the effectiveness of leveraging an existing poverty targeting system to identify households in need of financial support and mainstreaming sanitation promotion and demand generation into a large-scale CCT program that could substantially reduce the transaction costs of targeting sanitation services to the poor. The evaluation works in the context of existing sanitation demand generation and supply of affordable and aspirational sanitation products, in the same regions of the DSWD WaSH integration pilots. The approach has vast potential to increase take-up and motivate use and maintenance of household latrines among the poor.

The intervention under evaluation combines for the first time the largest national anti-poverty and social protection program in the Philippines, the Pantawid Pamilyang Pilipino Program (Pantawid Pamilya or 4Ps), with rural sanitation demand generation and supply side strengthening. The Impact Evaluation just completed a baseline survey in January 2016 and is planned to be completed in December 2017.

3.1.8 Dissemination of real-time learning to wider sector stakeholders

Throughout the implementation period of the TA, WSP generated relevant knowledge and lessons, in collaboration with partners such as UNICEF, WHO, NGO partners, academic and research institutions and partner agencies at central and regional levels and local governments. These lessons were widely disseminated to inform and strengthen policy and rural sanitation strategy development and implementation. Evidence-based learning have advised and supported sector reforms, resulting in broad impacts on scaled-up rural sanitation programs. WSP's work program have progressively identified key learning areas with the key client agencies and program partners during pilot implementation.

The major knowledge events and learning activities organized (and co-organized) by WSP are summarized below. A full description of these events and activities is presented in **Annex 2**.

- GoP Delegation to the Southeast Asia Knowledge Exchange on Rural Sanitation (September 2014)
- Sanitation Learning Exchange (SANLEX, January 2016)
- Peer to Peer Learning – Provincial TWG KE between Negros and Sarangani (September 2015)
- Study Tour on Sanitation Marketing – Polanco Toilet Production Farm (February 2014)
- Knowledge Exchange (KE) on ZOD Verification/Certification Tools and M&E Manual (March 2015)
- Technical Working Group on Product Development and Technical Design Standards (2014-2016)
- Sanitation Nation - Quarterly Newsletter on Rural Sanitation (January 2016)

3.2 Demand Creation

Generating demand for improved sanitation was facilitated mainly through the scaling up CLTS and further developing strategic behavior change communications for sanitation and hygiene. Complementing activities on demand creation were implemented by DOH's roll out of the ZOD Program.

3.2.1 Behavior Change Communication (BCC) Campaign

In 2011, an evidence-based behavior change communication (BCC) campaign was developed to complement CLTS efforts in accelerating demand for sanitation. The campaign, entitled “**UNLI Asenso pag may Inidoro**” (Unlimited Progress with a Toilet), aims to put an end to the practice of open defecation within rural communities in the Philippines by targeting rural households practicing open defecation, as well as households with unimproved toilets. By educating audiences about social, sanitary, security and developmental implications, the end goal is to convince households to want to acquire, build and use hygienic toilets or upgrade to improved sanitation options for the improvement of their quality of life and for the betterment of the entire community.

The BCC campaign concept and messages was developed through the commissioning of a creative and production firm (SFX Production, Inc.) in late 2013. The campaign used physical, emotional, and social drivers that focused on the benefits of owning a toilet, namely: safety, pride/enhanced social status, convenience, and progress⁷. Through a series of stakeholder consultations and pre-testing, a package of media mix and “leave behind” household collaterals were developed, which consisted of campaign guidebook large format flip charts, campaign logos, customized videos, bags, shirts, wall calendars, stickers.

Figure 8. BCC Campaign Guidebook (UNLI Asenso pag may Inidoro)



A secondary audience to the campaign were key decision makers, such as municipal mayors, senior administrators and technical staff, who were targeted to advocate for greater attention to sanitation agenda and allocate funds from their local budgets.

⁷ Understanding Drivers and Barriers to Improved Household Sanitation in the Philippines, Water and Sanitation Program Publication, 2016.

Two-day training for local health and social workers were conducted on use of the BCC and marketing materials for the campaign as part of community meetings and interpersonal communications during household visits. The specific objectives of the training were to orient frontline workers on the campaign concept and materials in each toolkit and for them to understand the different communication models suited to different types of target audiences and situations, and learn to assess the situation of target audiences and identify the behavior targeted for change. Actual trainings were conducted in 3 provinces (Quezon, Negros Occidental and Sarangani) participated by 100 rural health workers in 8 municipalities.

In the same pilot areas, a community-wide (activation) event for purposes of raising awareness of the ZOD campaign was held following the two-day BCC training. Designed to reach the goal of ZOD, households without toilets, households with unimproved toilets, and households who share public toilets were invited. Local officials were also invited as a way of securing their public commitment and support to the campaign. A program for a half-day event that appropriated a mix of fiesta, concert, celebrity, and political rally, the activation event featured: song and dance numbers, games and videos that promoted the ZOD campaign, interviews of local residents, marketing using the product catalogue and display of actual toilet models, and speeches by local officials. The municipal events were participated by 350-500 local villagers per area, gaining strong support by local leadership and health officials and workers.

3.2.2 CLTS Field Manual and its Rollout

One of the ways through which the DOH and its partners are working towards addressing open defecation in the Philippines is by creating effective demand for sanitation through the Community-Led Total Sanitation (CLTS) approach. CLTS aims to raise consciousness on the impact of OD among rural populations and urges them to collectively work towards stopping the practice in their respective areas through “triggering sessions” designed to elicit strong emotional reactions to the practice of OD. Through CLTS, communities are transformed through a participatory process of analyzing their sanitation profile, defecation practices, and its adverse consequences. The focus is on bringing about behavioral change and igniting communities to collectively act to stop the practice of open defecation.

WSP supported the DOH in developing a CLTS Field Manual that is primarily intended for people who will comprise the CLTS Team and are tasked with facilitating CLTS sessions in the rural communities. Members of the CLTS Team are typically from the rural health unit led by the municipal health officers and supported by rural sanitation inspectors, barangay health workers, midwives, nurses, or the natural community leaders. The said team is responsible in implementing demand creation activities that will result in the ZOD status of the entire municipality.

DOH’s main objective of rolling out the Manual is to familiarize the intended users with the CLTS approach and serve as a guide in facilitating CLTS sessions. The Manual is a tool for CLTS facilitators to be empowered in their work and observe a standardized implementation of the CLTS process across their areas. While variations have been introduced depending on the individual styles of facilitation, users of the Manual are directed to follow basic processes and use the prescribed tools in order to achieve a unified CLTS approach. The developed Manual can be read and understood even by those without CLTS training.

The Manual is divided into four main sections: The first chapter provides a brief overview of the rural sanitation program in the Philippines and the role of CLTS as a component of this program; the second chapter details the implementation strategy used in the rural sanitation program and, again, situates CLTS within this strategy. The third chapter, which comprises the bulk of the manual, details the various steps and requirements needed to facilitate a CLTS session; sharing the various tasks CLTS team members will have to undergo in the pre-triggering and triggering stages, respectively. Finally, the fourth chapter discusses the related initiatives and programs the CLTS team can take advantage of and work with to complement their CLTS approach and strengthen their local ZOD program.

Through the TA, 1,843 central and local government officials, technical staff and frontline workers have been trained and equipped in the facilitation of CLTS and use of the Manual. The CLTS hands-on training were either conducted through DoH and DSWD programs or regular provincial and municipal sanitation activities.

Results

At-scale demand creation approaches through CLTS and BCC interventions. The provincial CLTS training in Negros in August 2013 participated by the pilot towns of Calatrava in Negros Occidental La Libertad and Bindoy, Negros Oriental have paved the way for province-wide models of implementing CLTS and BCC interventions. By the end of 2015, 10 out of 22 Barangays have reached ZOD status in Bindoy Municipality while only 2 out of 27 barangays in La Libertad Municipality. Bindoy and La Libertad have reached 96% and 85% toilet access rates, respectively, although both towns still have households sharing toilets and unimproved facilities. It is noteworthy to mention that Calatrava leaped 17% percentage point in less than 2 years from 32% in 2013 to 49% by end of 2015. The LGU had also allocated P 1.5M (USD 31,600) to support household toilet construction for 2016.

Expansion of CLTS and BCC activities was strengthened with the series of trainings held in late 2014 in San Carlos City, Negros Occidental. These trainings have engaged the support of rural health unit staff from the towns of San Carlos City, Don Salvador Benedicto, Toboso, Murcia, San Enrique, and Valladolid. The trainings were further cascaded to re-train more rural health staff and frontline workers in the same towns. As of end of 2015, the Province have pooled 32 active CLTS team members that regularly conduct triggering. San Carlos City allocated P 1M (USD21,000) for toilet construction for 2016. In November 2015, the PHO of Negros Occidental conducted CLTS trainings for rural health staff for the municipalities of Kabankalan, Ilog, Himamaylan, Candoni, Isabela, and Cauayan, with minimal WSP assistance.

Structured learning exercises on the BCC trainings in the pilot provinces have produced insightful written outputs from the local participants, identifying key factors that support and hinder reaching their ZOD goals, resulting in municipal communication action plans. Although behavioral outcomes in the ZOD barangays where the BCC campaign was piloted cannot yet be determined, it is encouraging to note that other NGOs such as Samaritan's Purse and OND Hesed Foundation Inc. have adopted the BCC campaign and utilized the tools in the water and sanitation promotional activities conducted in their respective project areas. The use of the BCC tools has also been replicated and integrated as part of the Department of Social Welfare and Development's 4Ps.

In the four pilot provinces and nine municipalities, the display of commitment by the local chief executives was remarkable. Partnership with local implementing partners (e.g. DSWD, DILG, MFIs,

NGOs, etc.) is also making a difference in the rate of progress and quality of interventions, including the leveraging and sharing of resources.

3.2.3 Enhanced Family Development Session (eFDS) Manual on Sanitation

The Pantawid Pamilyang Pilipino Program or 4Ps is a Conditional Cash Transfer program implemented by the DSWD that provides short-term income support to the poor to help them meet their immediate needs while enhancing their human capital to overcome future poverty. Linking sanitation to this program is important given that on average 55% of households registered in this program do not have access to an improved toilet. The 4Ps provides a mechanism for outreach to households through Family Development Sessions (FDS) and Parents Effectiveness Seminars that are regularly held with households, also offering a transparent and efficient mechanism to deliver some form of ‘smart’ subsidy (e.g. voucher) that can easily be monitored in cases where financial constraint is a major barrier for cash strapped households.

In late 2014, WSP explored potential pathways for strengthening sanitation inputs within the 4Ps program, both through the creation of an enhanced FDS module and further leveraging of the National Household Targeting System for Poverty Reduction (NHTS-PR). The objective of the pilot is to reduce transaction costs of targeting poor households with information on the benefits of sanitation, available latrine product options and specially designed financial products geared toward purchase of household latrines. In achieving this objective, strengthening local partnerships between DSWD and LGUs were explored, together with potential social entrepreneurs and suppliers, which can drive better linkages between expanded awareness through FDS with opportunities to invest in affordable latrine options.

The Proper Sanitation Behaviors Module is an enhancement of the FDS module on sanitation that is included as part of the current Protection of the Environment (“Pangangalaga sa Kapaligiran”) Module. In the enhancement of this module, WSP in partnership with DSWD organized writeshops to involve central office and field staff; pre-tested, revised and critiqued the working draft manual. The final version of the Manual was submitted to the Secretary for official approval and adoption in 4Ps FDS modules.

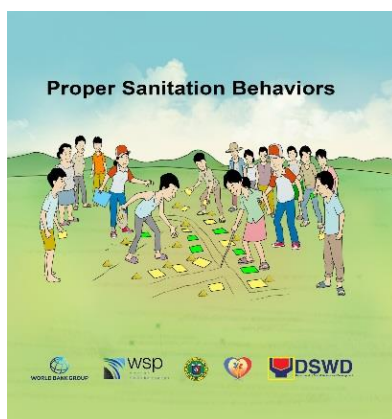


Figure 9. The eFDS Module and actual conduct of the session



The development of Proper Sanitation Behaviors module institutionalized WSP’s sanitation integration support in the Pantawid Pamilya operations. The module aims to build awareness for the negative implications of Open Defecation and to create demand for improved sanitation facilities using the concepts of CLTS such as triggering or the shame, shock and disgust communications and BCC

engagement tools such as flipchart, stickers, and sanitation marketing catalogue. In early 2015 the Proper Sanitation Behaviors module has been officially adopted in Pantawid Pamilya's Guide to the Development of the Filipino Family – a compilation of several modules used by the Pantawid Pamilya in their Family Development Sessions.

Through DSWD's Pantawid Pamilya Program, WSP assisted in further piloting of the Proper Sanitation Behaviors Module in five provinces that included Quezon, Negros Occidental, Negros Oriental, Siquijor and Sarangani, which reached thousands of Pantawid grantees that comprise the poorest households in the Philippines. The roll out started with Facilitators' Training among selected field staff - Municipal Links, SWO3s, PLs and some Regional Pantawid Staff. This was followed by cascading of the trained Pantawid personnel to other MLs, LGU partners and eventually among the Pantawid family clusters. The roll out was complemented by follow-up and monitoring to track overall progress of piloting, including commitments made by households that translated into actions on the ground.

Provincial BCC training for DSWD's City/Municipal Links (C/MLs) of Negros Occidental commenced in August 2014. C/MLs representing 32 LGUs of the province attended the 3 day CLTS Training. Upon return to their respective City and municipality, they rolled out the training to their team members. In some of the LGUs, MLs worked hand in hand with RSI during triggering activities, rolling out the knowledge on CLTS in the process. Similar training was held for DSWD's C/ML of Negros Oriental in October 2014. C/MLs representing 25 LGUs of the province attended the 3 day CLTS Training. Provincial Links of Cebu and Bohol provinces as well as representatives from DSWD Region 7 Field Office attended the training.

Results

Scaling up strategy with strong poverty focus through DSWD WASH Integration. Based on the results of a rapid assessment⁸ on the roll out of the Proper Sanitation Behaviors module, it was concluded that the eFDS piloting was an effective method in creating demand for sanitation through behavior change as compared to traditional supply- or subsidy- driven sanitation approaches, which rely mainly on dole out or outright distribution of toilet bowls without community involvement and monitoring.

In the areas covered by the assessment, uptake of sanitation facilities increased within a range of 10-29% for households exposed to the eFDS session, with variations in adoption rate that were strongly influenced by the type of support received by the municipality. The breakdown of sanitation uptake rates per province shows 17-29% for Negros Occidental and 10-12% for Quezon, excluding the municipality of Agdangan, where uptake rate was 82%. The case of Agdangan Municipality is an exception since the local chief executive strongly supported the implementation of the ZOD program, which directly lead to a much higher sanitation uptake rate and the construction of improved sanitation facilities (i.e. pour flush toilets). However, in pilot areas where support from the local government unit is weak, uptake rates are much lower and facilities being built are mostly closed pits.

The success of the triggering process can be gleaned from the vivid recollection of the grantees of the key sanitation messages leading them to build their own. As one grantee recalled during the triggering activity "...we put heaps of rice husk and did the transect walk. Together with the Municipal Link, we

⁸ Harder, Dieldre. Integration of Sanitation into the Pantawid Pamilya Pilipino Program Operations Rapid Assessment Report. April 2015.

went to areas where we defecate. We were embarrassed and we finally understood why we needed to have our own toilet. We realized that we are eating our own feces.”

In the course of rolling out of the enhanced FDS (*“Proper Sanitation Behaviors”*) module of Pantawid, an opportunity and necessity to converge efforts of the three core programs of DSWD, namely KC-NCDDP, SLP, and Pantawid emerged strongly. WaSH became a platform for their convergence strategy that clearly links the Department’s Social Welfare and Development Indicators (SWDI), whereby the family’s access to sanitary toilet facilities is taken into account as a sub-component on water and sanitation, under the component on Social Adequacy. The 2014 results of the Social Welfare Indicator (SWI) show that there are 584,373 households still without improved access to toilets. Through complementation of resources, the initiative was intended to address a key development issue having a positive impact on improving the level of well-being of 2.3 million Pantawid Pamilya participants.

The successful roll out of the Proper Sanitation Behaviors module in Pantawid operations further validated the proposal to broaden the household sanitation intervention to a broader community-wide engagement on WaSH, building on sanitation demand creation activities. In January 2015, the idea led to the conceptualization of a convergence strategy of DSWD’s core social protection programs. A framework in converging the core programs was conceptualized to support the integration of WASH as a means to improved access to water and sanitation to the poor and vulnerable sectors of the society.

Maps generated by NHTS and FIES show that the areas where open defecation is most prevalent are also generally the same areas where concentration of poverty is greatest. Moreover, the people in these “pockets of poverty” (concentrated in Regions 4-A, 4-B, 7, 7 and 8) are the hardest to convince to abandon the practice of open defecation. These people constitute the so-called “last mile” in terms of sanitation coverage.

3.3 Supply Side Strengthening

The strategy to strengthen the supply of products and services for rural sanitation focused mainly on understanding the entire sanitation value chain and the types of business models that best suit the conditions of rural Philippines. The TA provided assistance in assessing the supply side gaps and used this as evidence to further discuss and develop potential sanitation marketing interventions among partners and implementing agencies. WSP’s TA primarily supported product development using human centred design principles, development of conceptual business models and support systems, and implementation of the same models through coaching and training, establishment of associations and a combination of the above. Promotional strategies, smart subsidies and innovative financing options were explored in framing a sanitation marketing component, with special interest on poorest segments of the population.

3.3.1 Rural Sanitation Product and Service Models

The Rural Sanitation Product and Service Model Development activity component of the TA commenced in February 2014 and was completed in August 2015. This TA component was a direct support to the DOH in partnership with a locally-commissioned NGO – the ABCDE Foundation. The assignment entailed the development of a basic portfolio of field-tested rural sanitation product prototypes that meets DOH established sanitation technical standards. The sanitation options developed were aimed to provide poor households with affordable, functional, and aesthetically

acceptable alternatives that can meet their sanitation requirements given their specific physical living conditions.

The product concepts and designs developed have been documented via the “Rural Sanitation Product and Service Models” Report adopted by DoH. The report comes with 4 operating manuals designed to provide valuable information to implementers:

- a. “Investor’s Guide to a Rural Sanitation Business” – developed to give would-be investors the needed information to venture into the rural sanitation business;
- b. “Installation Manual” – developed to ensure proper installation of the rural toilets to meet quality and hygienic standards;
- c. “Skills Training Organizer’s Guide” – developed to assist Local Government Units and other interested groups to organize a brief but comprehensive sanitation skills training seminar (see **Annex 3**)
- d. “Toilet Care and Maintenance Manual” – developed to give households tips to ensure a long service life for their toilets.

In addition to the 4 operating manuals, the TA also developed complementing sanitation services to further support strengthening of the supply chain:

- a. Development of a Skills Training Program that can equip masons/carpenters with additional skills to produce quality and tested sanitation products and properly install them. Efforts are being made for the Technical Education and Skills Development Authority to adopt the program.
- b. Development of a prototype manual desludging equipment for low capacity waste receptacles like concrete rings and plastic drums. The aim is to package small-scale desludging services in the rural context, affordable to poor households.
- c. Implementation of pilot runs for MFI-initiated loan packages in cooperation with the Negros Women for Tomorrow Foundation.
- d. Development of other supply strengthening business models, in addition to the traditional channels, which can further be explored such as municipal enterprises in the case of Malungon and Gumaca towns; and the One-Stop-Shop model in Polanco, Zamboanga del Norte.

3.3.2 Sanitation Product and Sales Catalogue

WSP supported the development of a second edition, full color, informed choice Product Catalogue, primarily targeted to households without toilets and those with unimproved toilets. The Catalogue is intended for these target population to avail of affordable and aesthetically appealing toilets that will meet their particular requirements, whether situated in coastal, riverine, upland, and plain areas, or waterless conditions.

The marketing strategies adopted ties-up with the overall “Unli-Asenso Pag May Inidoro” campaign, that shows the different options available with price range indications, including brief but comprehensive descriptions, and specifying the applicability of each option. Also included is an illustrative computation of the cost of a complete set-up given the possible combinations that a household may decide to purchase and use. The desired overwhelming message to the households is:

The Sanitation Product and Sales Catalogue (see Figure 10) are mainly used by the frontline workers like Rural Sanitary Inspectors, Barangay Health Workers, DSWD Municipal Links, private suppliers/enterprises, and other advocates, in their advocacy presentations and has been effective in making households realize that there are now affordable and aspirational products available to them.

Simple comparison on estimating the cost of toilet construction

Para sa kumpleting ng kahaliling pagpapaliang, makikipagkanyay sa Young Bangkay Health Center (certified bathroom owner) at certified Master Plumber Institution (MPI).

Ang madali na pagpapaliang ng malaking kumpleting kanyay sa Young Bangkay Health Center, (certified bathroom owner), a certified Master Plumber Institution.

ASENSE CHOICE CATALOG

ASENSE CHOICE CATALOG

ASENSE CHOICE CATALOG

Simple comparison on estimating the cost of toilet construction

Para sa kumpleting ng kahaliling pagpapaliang, makikipagkanyay sa Young Bangkay Health Center (certified bathroom owner) at certified Master Plumber Institution (MPI).

Ang madali na pagpapaliang ng malaking kumpleting kanyay sa Young Bangkay Health Center, (certified bathroom owner), a certified Master Plumber Institution.

ASENSE CHOICE CATALOG

ASENSE CHOICE CATALOG

ASENSE CHOICE CATALOG

Simple comparison on estimating the cost of toilet construction

Para sa kumpleting ng kahaliling pagpapaliang, makikipagkanyay sa Young Bangkay Health Center (certified bathroom owner) at certified Master Plumber Institution (MPI).

Ang madali na pagpapaliang ng malaking kumpleting kanyay sa Young Bangkay Health Center, (certified bathroom owner), a certified Master Plumber Institution.

ASENSE CHOICE CATALOG

ASENSE CHOICE CATALOG

ASENSE CHOICE CATALOG

Emerging Sanitation Marketing Business Models. In the course of developing the Rural Sanitation Product and Service Models, six emerging business models to strengthen the sanitation supply chain have been supported and recommended for further development. The business models will become relevant as national agencies and local governments continue to build demand for rural sanitation products that meet quality sanitary standards.

Under the Municipal Enterprise Model, the Municipal Health Office utilizes graduates of the Skills Training program to serve as the production arm of the Municipality, with the MHO soliciting the orders for training and/or bowls and rings and toilet installations. Currently, the ME model is being implemented in the Municipality of Malungon, Sarangani Province while a modification of the model is being implemented in Calatrava, Negros Occidental. In the modified model, graduates of the Skills Training orient far-flung barangays on the rural sanitation technologies, independently negotiating with and receiving payment from the barangays.

Micro-Finance Led Model (MF)

Implemented by the Negros Women For Tomorrow Foundation (NWTF), the Micro-Finance Led Model provides loans to households looking to improve their sanitation facilities. As of November, 2015, about 400 toilets have been constructed under the Sanitation Loan program mostly in the Negros province with average loans ranging from PhP8,000 to PhP10,000 (\$168-\$418) payable in 12 months. The sanitation loan defaults, according to NWTF, has been nil so far. Aside from NWTF, ABCDE Foundation also offers toilet loans with interest rates and the basic application procedures similar to that of NWTF. However, unlike NWTF, ABCDE Foundation accepts non-cash or “in-kind” payment for loans, such as farm produce, which they in turn sell at a price agreed at by both parties. NWTF likewise made a limited testing of franchising toilet production to local potential producers but have refrained from continuing due to complex and operational challenges

Franchising Model (FM)

Through a Franchising Model, an “open system” franchising program accredits masons or carpenters recommended by a microfinance institution’s member. These accredited mason or carpenters are the only ones in the area authorized to build the toilets of members with approved loans. As of November 2015, there are more than 120 accredited masons in Negros Province where the NWTF implements the Franchising Model with the help of four in-house masons conducting training and certifying the masons who are part of the production pool. The franchisee masons are governed by pricing policies and quality standards of NWTF.

One Stop-Shop Model (OSS)

The One-Stop-Shop Model allows households to get everything they need in constructing a toilet from one place. In Dipolog, Zamboanga del Norte where the one-stop shop model is employed, a store run by ABCDE Foundation, provides households not just construction materials and supplies but also extended services such as actual construction services, loan facility and even desludging and toilet repair services, should this be needed.

Cooperative Model (Coop)

The sanitation cooperative is a business model in which individuals are grouped together to meet the common needs and aspirations of its members, primarily to provide access to appropriate and affordable sanitation products by its members and the community in general. Under the model, each member will contribute a certain amount of equity and share capital to run the business. In Glan, Sarangani Province where the model is being piloted, one barangay (Barangay Calabanit) achieved ZOD through the help of the cooperative when it tapped the Coop for the fabrication of 400 toilet bowls and distributed these to each of the households without a toilet.

Emerging Financing and Subsidy Arrangements

In 2014, WSP engaged the Negros Women For Tomorrow Foundation (NWTF), a microfinance institution operating in the Visayas. These talks led to NWTF’s offer of toilet loans to members of at least 2 years with an interest rate of 2.5% per month and terms ranging from 3 to 12 months. Members who apply for the loan have the option to create their own toilet set (superstructure, mid-structure, and substructure) or choose between two packages.⁹ Members can also opt to have their toilet made by NWTF’s in-house mason (trained by ABCDE Foundation on low-cost product technology) or hire a mason of their choosing. NWTF also allows good standing members to become “franchisees” of their toilet loan program. These franchisees are trained on low-cost technology and tasked to install and supply toilets in far-flung areas not usually serviced by NWTF’s in-house masons. The franchises are given a loan of P15,000 (about US\$320) as seed capital, payable in 1 year. Franchisees can offer their

⁹ Package A costs P6,200-7,200 for a toilet with corrugated sheets, plywood, good lumber, water sealed pour flush toilet bowl, concrete slabs, and concrete rings; while Package B costs P5,000 – P6,000 for corrugated sheets, amakan, good lumber, water sealed pour flush toilet bowl, concrete slab, and concrete rings

services with a mark-up of about P1,800 (about US\$39) per toilet (24%; about 5 to times the local minimum daily wage rate).

As of the end of 2015 (after a year of operation) NWTF has constructed about 400 toilets under their loan program, mostly in their home base provinces of Negros Occidental and Negros Oriental. They also have four in-house mason/carpentry trainers in- charge of training and certifying masons and more than 120 accredited masons. NWTF is set to expand their toilet loan program outside of the Negros Island Region in 2016.

Another MFI, ASA Philippines, has also partnered with WSP in the implementation of the Impact Evaluation, an independent activity aimed to measure the impact of offering appropriate financing products, subsidies, and a combination of both to poor households. Even before their formal engagement with WSP, ASA had already awarded 109 toilet loans in WSP pilot areas, mostly in Region 5.

Although LGUs are slowly opening up to the idea of toilet loans from MFIs, many LGUs continue to resort to subsidies to accelerate the achievement of ZOD in their areas. The case of Malungon town in Sarangani Province, is one example. In 2013, Malungon still had 1,034 families who had no access to sanitary toilets and 798 families with unsanitary toilets. This accounted for about 9% of the total households in the municipality. To reach ZOD, the Sanitation Unit of the Municipal Health Office took the lead in conducting CLTS and BCC activities at the barangay level. To help households cope with the expenses of constructing their own toilets, the LGU provided technical inputs and labor for toilet bowl production through a group of local masons who were trained in the production of the low cost toilets with funding support from the Municipal government. The Municipality developed a cost-sharing scheme whereby a household is given two concrete toilet bowls (perceived value of at least P400 each (about US\$8 each) for every bag of cement given to the LGU worth P260 (about US\$6). The households shared the cost of the cement and eventually shared the cost of the two bowls given in return. Through these strategies, Malungon became the first municipality in the country to achieve 100% ZOD in March 2015.

In Bindoy, Negros Oriental, a similar “smart subsidy” arrangement is taking place with the LGU’s sanitation budget subsidizing bowls to households that have changed their behavior from OD to fixed-point defecation. Under this scheme, the sanitary inspectors and barangay health workers identify households who are currently using unimproved toilets to be recipients of the LGU’s smart subsidy arrangement.

Since the start of Bindoy’s ZOD Program in 2014, 330 sets of toilet bowls plus 1 bag cement and 1 piece reinforcing steel bar have been distributed to households in the municipality. In 2015, this figure increased to 350 units in 2016, 1,000 toilet bowls (plus 2 bags cement per household) have been distributed by the mayor. As of Q1 of 2016, 98% of households in Bindoy are reportedly using toilets in their home.

4.0 LESSONS LEARNED

4.1 Enabling Conditions to Scale Up and Sustain Rural Sanitation Programs

Mainstreaming sanitation in the legislative-executive agenda of local governments was a critical factor in raising the profile of WaSH. Policies institutionalize the adoption of set rules, procedures and allocation mechanisms that enable the establishment and operationalization of programs and services. As demonstrated in the pilot provinces of Quezon, Negros Occidental, Negros Oriental and Sarangani, the development and adoption of local policies have set in place the priorities and secured the allocation of resources for program implementation. Gaining political will is a good start in rolling out a sanitation program. This could be gained through public policy dialogues and engaging policy- and decision-makers by identifying and understanding policy issues and how decision-making processes happen.

Raising a culture of evidence-based planning and decision-making requires a good information system. The testing and operationalization of an M&E tool and system for rural sanitation has improved data collection and enhanced analysis and interpretation of sanitation data in the 4 pilot provinces and within the bureaucracy of DoH. It has significantly raised the capacities of local government units in utilizing evidenced-based data and information that feed directly into planning and budgeting process at the local level. While household access to hygienic toilet facilities is the key indicator of the ZOD Program, investment behavior is an important determinant in measuring the progress of LGUs in pursuing their health and sanitation agenda. Adequate resources ensure faster realization of the SGDs' sanitation targets while resource shortages tend to hamper implementation of sanitation priorities. An efficient M&E system is responsive and instructive: it provides informed choices and influences decision-making of local chief executives in the planning and budgeting process.

Further, simple diagnostic tools, like the Enabling Environment Scorecard, could serve as a monitoring instrument to measure and track achievement of targets set for individual EE dimensions - like the enactment and adoption of a policy, agreed institutional roles and functions, capacity and availability of tools and approaches, financing plan and operational M&E system. The relative significance of each enabling dimension can be related to the performance of program implementation and final delivery of goals and outcomes.

4.2 Key Elements of a Successful Programmatic Approach

Building on existing large-scale programs provided promising opportunities for scale up. Integrating WASH into the DSWD's core programs (Pantawid Pamilya, KC-NCDDP and SLP) has proven to be an effective strategy for reaching the "last mile" in rural sanitation. This strategy provides WASH with an effective and impactful vehicle for reaching the poor at scale, leveraging on the priorities and converged resources of 3 large social protection programs of the government. DSWD programs specifically target the poorest of the poor - the Pantawid Pamilya captures on the poorest families, while KC-NCDDP focuses on the poorest communities, and SLP reaches out to the poorest people with entrepreneurial potential. Integrating WaSH packages like Community-Led Total Sanitation, behavior change communication campaign and strengthening implementation support in these 3 programs ensure that proper sanitation practice will take hold among the poorest people in the poorest areas in the country.

The TA local pilots have provided concrete examples of how barangay-level CLTS, and *Pantawid Pamilya* FDS generated systematic demand for sanitation by increasing knowledge and community motivation to improve sanitation, complemented by the supply-side packages that helped address supply constraints by increasing the availability, affordability and desirability of latrines on the market (through SLP) and providing access to appropriate financial products and partial hardware subsidies (KC-NCDDP and LGUs) to facilitate purchase of latrines. The NHTS-PR (Listahanan) have increased the efficiency of targeting beneficiaries that lacked access to safe sanitation.

4.3 Building Institutional Capacity and Implementation Systems

Effective mobilization of program strategies relied on the adequacy of local capacity systems. The TA has supported the development of an overarching implementation strategy, including the field testing of accompanying instruments, tools, procedures and manuals to support implementation of specific sanitation interventions. Training packages that focus on strengthening skills and performance of managers, technical staff and frontline field workers with harmonized program approaches ensure quality of implementation. Inter-agency cooperation and collaboration are sustained when complemented with analytical work for informed decision making and capacity building on top of usual policy directives.

4.4 Fostering a Culture of Evidence-Based Learning

Capitalizing on existing collaborations provides opportunities to enrich knowledge sharing and cross-learning. Knowledge sharing among national government agencies, LGUs and other sector stakeholders is deemed important as it serves as an effective vehicle for deepening collaboration and partnership. Collaborative platforms of public and private institutions are likewise potential avenues for enriching know-how, professionalization of services and facilitation of technology transfer and innovation. The peer-to-peer learning as demonstrated between the Provincial Technical Working Groups of Sarangani and Negros Oriental have accelerated the development and adoption of provincial ordinances and has opened continuous learning on effective enforcement and cascading of policy initiatives at municipal and barangay levels. Furthermore, a **Community of Practice on sanitation ensures quality of implementation and outputs.** The development and prototyping of toilet design models have benefited from the inputs by a small group of sanitation practitioners and experts from both government and academia. This TWG has provided valuable inputs in identifying minimum design principles and standards as well as practical criteria relevant for rural context. The TWG is expected to convene regularly to support DoH in dealing with emerging issues on the refinement and adoption of technical standards for rural sanitation. WSP will maintain its role in providing focus and strategic alignment with the larger practice, fostering a culture of learning that will adopt a structured and purposive approach that encourages individual and shared accountability.

5.0 KEY RECOMMENDATIONS TO IMPROVE AND EXPAND PROGRAM GAINS

Develop more holistic programming between the sectors of health, nutrition, poverty reduction and WaSH. The Philippines provides a fertile ground to integrate sanitation into poverty reduction programs. The next Programmatic ASA of the Water Practice should further sharpen the WaSH integration piloting in DSWD's social protection programs gearing towards a national rollout. While piloting on this area have commenced, there is still a need for the Bank to broaden the linkages across various sectors to maximize the impact of public investment. In this context, health, nutrition, poverty reduction programs, and water supply and sanitation programs need to be better coordinated. Future ASA's should focus in improving the complementarity of investment operations in health and other sectors to achieve health, nutrition, and population outcomes, particularly between health and water supply and sanitation.

Strengthen further institutional mandates of key national agencies for harmonization of goals, approaches and standards to sustain the good progress achieved in rural sanitation. The Bank plays a strategic role in supporting collaborative initiatives by government to improve efficiency of program delivery. The newly-formed Sanitation Working Group under the Inter-Agency Committee on Environmental Health (IACEH) is a strategic high-level platform that will further strengthen programming, coordination and implementation. With the rolling out of DOH's 5-Year Strategic Plan, the Department's regulatory role in environmental health to promote safe water supplies, exercising surveillance of water quality, and standardization of toilets and washing facilities, including wastewater treatment facilities and septage management have to be revisited and aligned with the recent larger water sector reforms. While general policy framework for rural sanitation is in place, a strategic support that may be extend to DoH is the updating of the Sanitation Code (PD 856), which will enable the incorporation of new approaches, innovation and that emerged during the SURS TA. Likewise, the professionalization of rural sanitary inspectors, staff capacity and performance-based mechanisms, and strengthening of EOHO's research and development agenda are priority areas the Department has identified in their strategic plan. There is an opportunity for the Bank to package support for the systematic rollout of the implementation strategy following the phased approach, alongside with the standardization of tools and procedures for operations and local implementation.

Distill valuable lessons from the WaSH integration experience for future programming. It is foreseen that there are many insights to be gained from the experience of mainstreaming WASH in the government CCT and community development programs, the key lessons which may also be instructive for global practice. The Bank could provide calibrated technical assistance to DSWD, focusing on systematic oversight, documentation and reflection on the WASH integration experience. This will enable both the Bank and DSWD to learn continuously from the integration process. This structured reflection will also inform the capacity building interventions to be provided by the Bank in ensuring that DSWD develops the right organizational capacities to effectively deliver social services like water and sanitation basic coverage among the poor over the long term.

Use the TA learnings to inform development and piloting of the Unified Financing Framework (UFF). The current Impact Evaluation on Integrating Sanitation Programming in the Pantawid Pamilya Program provides an excellent opportunity to analyze that integration and to develop strategies that address household financial constraints in a rigorous manner. The analysis to be generated will align with the economic capability of consumers and also incentivize good behaviors towards financial literacy and

responsibility. Overall, the results of the IE should strengthen the evidence base for future government programming in scaling-up rural sanitation in the Philippines.

Promote DSWD's WASH integration initiative which has strong potential for scale of impact. The integration of WaSH as a convergence platform in DSWD currently covers 6 regions in 17 provinces covering 41 municipalities, and it is very likely that DSWD will scale up the initiative to nationwide implementation by 2017. The Pantawid Pamilya program alone covers 4.4 million households. The greatest challenge of integrating WaSH in the 3 core programs can be addressed by focusing on more effective and sustainable collaboration among local implementers and partners, aiming for institutionalization of the WASH programs at all levels. Working with the Department's bureaucracy is a complex process requiring a pragmatic approach. The Water and SPL Global Practices should work closely in creatively providing TA while allowing the DSWD to internalize WASH and poverty reduction programs on its own terms. The Bank also needs to be mindful of developing the DSWD's organizational capacity to implement the whole range of WASH interventions over time as the bureaucracy will always be challenged by numerous, competing priorities, ever-evolving organizational capacity and a politically-dynamic internal and external environment.

Develop further rural sanitation market and industry to reach the poorest. One of WSP's comparative advantage is the global knowledge and experience it brings in the area of sanitation marketing. WSP's Global Program on SURS have demonstrated various business and service delivery models that involved both public and private actors. In the Philippines, sanitation business models in the pilot provinces and municipalities have emerged, to include: traditional private entrepreneurs, municipal enterprise, MFI-led, franchising, one-stop-shop, and cooperative. These models will have to be nurtured, further tested and documented for other sanitation implementers to try and adopt. WSP in partnership with other donor agencies, NGO partners, financial institutions and private firms should continue supporting research that will help strengthen the sanitation supply chain. A community of practice to be formally organized and led by DoH will need further assistance to develop basic strategies, technical manuals and learning areas on sanitation marketing that will target potential investors, producers, installers, and partners alike.

Support harmonization of current M&E Systems in various sector projects. The on-going support to DOH's Knowledge Management and Information Technology System provides an inroad to harmonizing the M&E systems of key sector agencies supporting rural sanitation. DOH's institutionalization of the rural sanitation monitoring tool at different levels of local government (provincial, municipal and barangay) facilitates a seamless interface of information to the Regional- and Central Offices of the Department of Health. The harmonization of systems will result in defining key performance indicators which will track progress against NSSP targets and provide a sound basis for measuring intermediate outcomes and impacts. This will rely on the quality of reporting flows and synchronization of timelines between the various responsible local government offices and data sources.

Strengthen existing local organizations for sustainability of WaSH interventions. Community-based organizations on water and sanitation in the form of Barangay Water and Sanitation Association (BAWASA) and Rural Water and Sanitation Association (RWSA) are existing at the barangay level. These groups were primarily organized to manage the operation and maintenance of water and sanitation facilities. However, while most of these were already established, their functions and responsibilities are more focused on water operations resulting in sanitation facilities being left out in terms of planning,

resource allocation and management. It is crucial to re-evaluate and improve the capacities of these organizations to efficiently plan, manage and implement appropriate sustainability mechanisms for WaSH in order to ensure that maintenance of sanitation facilities will be incorporated in the overall health and sanitation agenda of the barangay. In the context of the DOH's phased approach, local WaSH organizations are in a better position to monitor their community as they progress and transform to reach Total Sanitation status (G3).

ANNEXES

Annex 1. List of TA Component Activities and Estimated Cost per Capita

Enabling Environment

Activity	Outputs	Cost per person*
Public Policy Development Workshop, Regional Level (3 days)	Policy draft for 4 pilot Provinces and 9 pilot LGUs. Further resulted in the passage of local ZOD ordinances of 20 LGUs.	P2,800 to 7,800 (\$60 to \$166)
Provincial Sanitation Summit (1 day)	Advocacy to PLGU and MLGUs (LCEs, M/CHOs, RSIs, SBs) to prioritize and support ZOD program, orientation on approaches and tools, guide to planning to meet ZOD status in every LGU.	P400 to 600 (\$8.50 to \$13)
Forum on Leadership and Governance towards Improved Sanitation: A Synchronization Initiative at the LGU level (2 days)	Orientation on ZOD program approaches and tools; planning on the synchronization of activities on the ground for DSWD and LGU staff towards attainment of ZOD status at municipal level.	P1,800 to 2,000 (\$38 to \$43)
M&E Training for Rural Sanitary Inspectors (2 days)	Orientation on the collection of data, use and application of monitoring tools; updates on LGU ZOD program.	P1,200 to 1,500 (\$26 to \$32)
Program Implementation Review of WASH Integration in DSWD Core Programs (3 days)	Reviewed and analyzed accomplishments, provided guidelines on the integration of WASH to the Municipal Action Plan, and agreed on the implementation strategy for the remaining program phase to meet ZOD targets.	P5,000 to P6,400 (\$106 to \$136)

Demand Creation

Activity	Outputs	Cost per person
CLTS Training of Trainers, provincial level (5 days)	Organized and trained provincial and municipal CLTS Facilitators, triggered 10 to 16 communities as part of hands-on exercise.	P5,300 to 8,000 (\$113 to \$170)
CLTS Training, municipal level (3-4 days)	Organized and trained Municipal and Barangay CLTS Facilitators, triggered 10 to 16 communities as part of hands on exercise.	P1,500 to 2,000 (\$32 to \$43)
CLTS Triggering a community, 2-3 hours per triggering (30 to 40 participants per session)	Triggered a community or family cluster (DSWD 4Ps) with ZOD action plan	P24 to 32 (\$0.50 to \$0.70)
Development of BCC Tools (Outsourced to SFX Media Production)	Developed complete package of BCC materials (Flip charts, posters, calendars, stickers, videos); finalized Campaign Guidebook; trained local health service providers to conduct advocacy using the BCC tools. Developed and field tested tag line “Unl	Contract cost: P8,426,500 (\$179,287)

Activity	Outputs	Cost per person
eFDS Facilitators Trainings for Municipal Links, Provincial Level (3 days, 5 events)	Trained Municipal Links on Demand Creation, use of BCC Tools and promotion of different affordable toilet models.	P5,400 to 5,900 (\$115 to \$126)
WASH Implementers Training for DSWD Core Programs Regional Level (3 days, 7 events)	DSWD field staff were oriented on ZOD program, on the use of different demand creation tools, discussion on guidance notes, prepared plans for program implementation	P8,000 to 10,000 (\$170 to \$213)
Enhancement of DSWD-Pantawid FDS Manual on Sanitation (6 days)	Developed the eFDS (Enhanced Family Development Session Module on Sanitation)	P9,700 (\$ 207)

Supply Strengthening

Activity	Outputs	Cost per person
Development of Rural Sanitation Product and Service Models (Outsourced to ABCDE Foundation)	Developed and tested different toilet models with different price range; development of sales catalogue	Contract cost: P3,290,500 (\$70,013)
Skills and Entrepreneurship Training (3 days)	Masons acquired knowledge and skills in fabrication of different types of toilet bowls, super structures and sub-structures. They also installed 3 different toilet models (actual units) near the Municipal Hall.	P9,000 to 20,000 (US\$191 to \$426) Cost of upper limit includes starter kits and construction materials to be used to start livelihood of participants.
Workshop on Review of Rural Sanitation Technical Manuals (3 days)	Reviewed and finalized 4 manuals on rural sanitation service models	P5,000 to 7,000 (\$106 to \$149)

***Exchange rate: 1\$= P47.00**

Annex 2. Summary of TA Activities supporting Evidence-based and Adaptive Learning Strategy to Scale up Rural Sanitation

1) GoP Delegation to the Southeast Asia Knowledge Exchange on Rural Sanitation

The WSP East Asia and Pacific Regional Team organized the Southeast Asia Knowledge Exchange on Rural Sanitation from August 31 to September 4, 2014 in Indonesia to provide hands-on and experiential learning among government clients and partners in Southeast Asian countries. The regional KE collectively gathered and shared best practices and working solutions that would address challenges and bottlenecks in the participating countries. The event was part of a larger knowledge exchange effort where country participants were asked to join in video conferences and other knowledge exchange activities prior to and after the activity.

During the Regional KE, twenty senior government officials from Pakistan (10), Philippines (5), and Laos (5) undertook simultaneous study tour sessions in different parts of Indonesia held in Ngawi District, East Java; Wonogiri, Central Java; and Subang District, West Java. Mid-way through the study tour, participants discussed what they had learned when they met with government officials, observed sanitation in schools and communities, and from an entrepreneur's business efforts. Country delegates also prepared for a small presentation which one representative would report back to their sector minister. Finally, the delegates were grouped into respective country teams and created preliminary plans for what each country would prioritize upon their return.

Participants from Philippines came out of this KE event with a greater appreciation of sanitation policy and operational strategy of an at-scale national rural sanitation program; a clearer understanding of working models and solutions for generating demand and strengthening supply of sanitation goods and services; and an enhanced capacity to set-up and run an M&E system for rural sanitation. The participants also agreed in reaching a coordination mechanism which became the precursor for the formal establishment of the IACEH sanitation sub-working group.

2) Sanitation Learning Exchange (SANLEX 2016)

DoH in cooperation with UNICEF, WHO and WSP organized a national sanitation learning event entitled National Sanitation Learning Exchange or SANLEX 2016 on 26-28 January 2016 in Manila, having an overall theme of "Accelerating Rural Sustainable Sanitation in the Philippines." The event intended to bring together sanitation experts, champions, practitioners and donors from all over the country to showcase outstanding rural sanitation programming initiatives by LGUs and implementing partners with the following specific objectives:

- To review and analyze recent innovations and rural sanitation programming models over the last 5 years (2010-2015);
- To draw key lessons, strategies, approaches and recommendations to replicate and scale up rural sanitation program implementation in the country; and
- To formulate future directions (2016-2030) to achieve the targets indicated in the Philippines' Nssp and SDG on water and sanitation.

Under the overall theme, three sub-themes were identified and further designed to engage in-depth presentation and discussion on rural sanitation demand creation, supply and services, and enabling environment. For each sub-theme, a number of case studies demonstrating good practices, new approaches and innovations in sanitation programming were presented and examined.

Formal discussions in the SANLEX were complemented by an exhibit, the Sanitation Market Place, which showcased WSP booths on innovative and low-cost sanitation options, behavior change communication campaign materials, emerging knowledge products and materials and demonstration of sanitation business models. The programme of activities were enhanced by theatre presentations, performances and short documentary films on the state of sanitation in the Philippines.

SANLEX 2016 was concluded with workshops and plenary discussion to map out significant gaps based on the learnings achieved over the last 3 days. Synthesis of outputs from the different sub-themes, and identified key actions needing urgent attention at the national level by the Government and its partners, (e.g., policy legislation, capacity-building, knowledge management, etc.), were documented and summarized to address the gaps so as to further move forward the implementation of the Philippines NSSP in particular, and the scaling up of sustainable and equitable sanitation in the country in general in line with the SDGs.

3) Peer to Peer Learning – Provincial TWG Knowledge Exchange between Negros and Sarangani

On September 14-16, 2015, WSP organized its third Knowledge Exchange (KE) in Sarangani Province. The KE was conducted for the Negros Oriental Provincial Technical Working Group (PTWG) to learn from the lessons and knowledge gained in Sarangani in the implementation of its ZOD program. The objectives of the KE were to: a) identify key elements of a comprehensive Province-wide sanitation program, its basic components and structures, and processes that have led to a productive and collaborative relationship among the rural sanitation stakeholders in Sarangani; b) gain practical knowledge and understanding of: i) skills training initiatives & partnerships for strengthening sanitation supply chain as demonstrated in Sarangani Province; and ii) applied implementation strategies for reaching ZOD; c) explore options for future coordination and collaboration among provinces; and d) identify the next steps for Negros Province' implementation of its ZOD program. Participants of the KE included key individuals from the local government unit like Provincial Board Member, Assistant Provincial Health Officer, local health offices, Provincial Sanitary Inspector, and other partners (i.e. DSWD, NGO partners, etc.).

The 3-day KE was marked by field visits to: a) ALGEMPCO, a private cooperative that provided sanitation supplies to a barangay, leading to its attainment of ZOD status; b) Barangay Tokawal, the first barangay in Sarangani to attain ZOD status; c) Malungon, the first municipality in the country to attain ZOD status in all its barangays; and d) Barangay Datal Bila, a far-flung community that conducted behavior change communication activities for its members, majority of whom belonged to an indigenous people. KE participants also engaged in a brief open forum with the participants of a Mason's training workshop and had the opportunity to dialogue with Sarangani's Provincial Health Officer, Provincial Sanitary Engineer and representative from the Vice-Governor's Office who presented Sarangani's employed strategies and attained milestones under their ZOD program.

At the end of the KE, participants worked on an action plan that included the finalization of a ZOD Ordinance in the province and the initiation of partnerships among local cooperatives to engage them in providing sanitation supplies to communities.

4) Study Tour on Sanitation Marketing – Polanco Toilet Production Farm

A Study Tour (Lakbay Aral) on Sanitation Marketing was held organized by WSP on February 4-6, 2014 in Dipolog City, Zamboanga del Norte. The objectives of the study tour were: 1) to give implementing partners an overview of available sanitary rural toilet options and technologies; 2) to give ABCDE Foundation an overview of the needs, existing conditions and other insights from the participating LGUs to guide and prepare for the pilot study; 3) to expose the participants to some of the livelihood programs of ABCDE Foundation from which they may duplicate or get inspiration for their own LGUs; 4) to share to the participants the Polanco experience of maximizing DSWD's conditional cash transfer (CCT) program and sanitation loan to help the poorest of the poor households avail of low-cost toilet products. Participants to the Tour were mostly LGU officials and technical representatives from the pilot provinces of the SURS Project namely, Quezon, Negros Oriental and Sarangani as well as a non-LGU guests.

The study tour resulted in the identification of new local sanitation champions like Mayor Caralian of Gumaca town; Dr. Tullas of Quezon Province; Mayor Yap of Bindoy town; Dr. Elmer De Peralta of Sarangani Province; Municipal Councilors Calanao of (Malungon) and SB Serna (Glan). The learning exposure increased determination of these local officials to pass ZOD ordinances in and have increased interest and knowledge in low-cost technologies developed by the ABCDE Foundation and its related micro-finance operations. The participating LGUs have also become aware of the possible tie-up with DSWD programs as modeled between ABCDE Foundation and the local DSWD Office in Polanco. In the same manner ABCDE Foundation became more conscious of the local context and requirements of the pilot LGUs.

5) Knowledge Exchange (KE) on ZOD Verification/Certification Tools and M&E Manual

A knowledge exchange was organized last March 16-18, 2015 in General Santos City to facilitate hands-on learning on the ZOD verification process and certification tool. The KE's objective was to consolidate learnings from the ZOD verification process in the Municipality of Malungon; tackle issues for future similar activities; and identify opportunities for future collaboration among the various agencies that participated in the KE, which included WSP, UNICEF, DOH, and DILG.

KE participants interfaced with the Malungon ZOD Team, presenting the milestones it achieved over the years as they worked towards ZOD in all 31 of its barangays. Participants also engaged in a simulation of the verification procedures in four of Malungon's barangays and conducted interviews with the barangay leaders and staff who implement the ZOD Program in the barangays visited. The learning activity also included discussions on the improvement of the ZOD verification and certification tool, common issues and challenges in the implementation of a ZOD program, and strategies for sustaining ZOD.

During the same KE on ZOD Verification and Certification, participants also had the opportunity to review and learn from M&E procedures implemented in the municipalities of Malungon and Alabel in Sarangani Province. KE participants reviewed M&E forms and reports for sanitation in Barangay Talus, Malungon, and Alabel Municipality and interviewed key personnel (i.e. rural sanitary inspectors, barangay health workers, and midwives) in these areas tasked with gathering data and maintaining the M&E records. They also participated in a simulation of the collection of sanitation data among nearby

households to test the usability and clarity of the monitoring tool. Overall, the activity underscored the importance of instituting a common monitoring and evaluation system in the country.

6) Technical Working Group on Product Development and Technical Design Standards

Through the leadership of DoH, a TWG on Rural Sanitation Product and Service Model Development was formally organized on October 30, 2014. The TWG was assembled to primarily provide technical review and inputs to ensure the balance of affordability, aesthetics, and applicability to field tested products meeting sanitary standards. The TWG also serves as a platform for key partners to be updated on emerging sanitation marketing strategies in support of DOH's ZOD Program. Members of the TWG include representatives from WSP, DOH, UNICEF, WHO, NAPC, ABCDE Foundation, Oxfam and Plan Philippines as well other active NGOs supporting the Haiyan-affected areas such as Samaritan's Purse, Islamic Relief Worldwide and Water.Org.

Since the TWG's first meeting in 2014, the group has provided valuable inputs to the designs and progressive prototyping of toilet models particularly on the sub-structures installed under WSP's sanitation marketing program and identified minimum design principles/standards/criteria relevant for rural sanitation. A set of technical manuals for sanitation marketing has also been developed for investors, installers, and partners alike. The TWG is expected to be convened regularly by DoH to deal with emerging issues on the refinement and adoption of technical standards for rural sanitation.

7) Sanitation Nation - Quarterly Newsletter on Rural Sanitation

The Sanitation Nation is a quarterly publication managed by WSP SURS Team and its local partners that aims to bring to readers a mix of news and feature stories on the effort to scale up rural sanitation in the Philippines. The newsletter features write-ups on some of the significant events of the past quarter, a monitoring tracker of sanitation accomplishments nationwide, and a section that places the spotlight on sanitation heroes across the country. In Sanitation Nation's maiden issue (Jan-March 2016), the main subject is the campaign on Zero Open Defecation (ZOD)---discussing what it takes to reach ZOD, sharing the necessary requirements to become ZOD-verified and certified, and showcasing the people and places that have already managed to reach this coveted goal.

Annex 3. Skills and Entrepreneurship Training Modules

Skills & Entrepreneurship

TRAINING MODULES



Three
Complete
Models in
Three Days!

Annex 4. Other Relevant Lessons from the TA

- 1) Establishing a shared vision and strategy is the starting point for scale up.** Accelerating development in rural sanitation requires key government actors to agree on their respective roles and responsibilities towards convergence of goals and actions. Developing this shared vision and strategy in a collaborative manner is the foundation for effective coordination and for sustaining motivation at all levels. DOH's role in leading the inter-agency committee with DSWD, DILG and DepEd is a promising initiative to achieve the targets of the ZOD Program and the overall goals of the NSSP. The poverty reduction focus of DSWD's core programs and the WaSH governance angle of DILG's rural water programming bring rich dimensions in fostering a shared vision among these key sector agencies.
- 2) Changing behavior is at the center of an effective rural sanitation program design.** The campaign against open defecation has been well informed by an extensive formative research that looked at behaviors influencing the practice of OD and use of hygienic toilets. Understanding the drivers that motivate people to improve their sanitation situation is crucial to inform a behavior change communication (BCC) campaign. Addressing barriers that discourage people to improve their sanitation situation is important. Sustaining BCC initiatives at scale requires working with both national and local governments with active sector players. The localized approaches on CLTS and BCC campaign in the Philippines have been tested and found to be effective tools in reaching the last mile population without access to improved sanitation. As demonstrated in the SURS pilots, the best use of public resources is for the conduct of formative research to understand behavioral insights for social change, and to invest in cost-effective demand generation activities that will build on the results of the research.
- 3) Product development is critical to enhancing the rural sanitation market.** The development of a range of toilet products which featured basic to a high-end models has facilitated the availability of low-cost toilet options, appropriate for the rural poor population. Further, the application of Human-Centered Design (design thinking) process proved valuable in meeting the target consumer needs and preferences. The availability of product catalogues and sales materials enabled the effective promotion of sanitary products and services in the target rural communities. In effect, demand to train local masons and artisans producing and distributing the products was generated, in some cases leading to financially viable business opportunities in the pilot areas.
- 4) Mustering a coalition of champions help advance the advocacy for sanitation.** During the SANLEX 2016, the gathering of national and local public officials, donor agencies, NGOs, CSOs, private institutions and other relevant sector partners have forged a conference declaration calling for the achievement of universal access to safe and adequate sanitation in the country. The call to action contributes to supporting, health, social and economic development, and eradication of poverty in the context of sustainable development. In Sarangani Province, the launching of the JINKEENATION by the Vice Governor have stirred political commitment from all the local chief executives to support the achievement of a provincial-wide ZOD status by end of 2016. Sarangani Province has produced the first ZOD municipality in the Philippines.

5) Institutional capacity remains weak in implementing at-scale programs. Implementation capacity remains to be one of the government's biggest challenges. There are clear capacity gaps in terms of policy development, sector planning, program methodologies on demand creation and sanitation marketing, financing and M&E. Developing a capacity building program to scale up rural sanitation will require a progressive consolidation of training activities by different institutions and building up of adequate human resources, to be supported by an institutional arrangement for training among the different stakeholders involved. Relevant support will be needed in identifying resources on developing learning laboratories at local level, facilitating horizontal and vertical learning, and institutionalizing capacity building in government systems.

6) Training LGUs on M&E foundational concepts, procedures and methodologies. Improving the capability of the Rural Sanitary Inspectors and Barangay Health Workers to collect data, process and manage information, analyze and interpret sanitation data utilizing DOH's current monitoring tool will be a critical element to sustain local sanitation programs. There are very few available trainings on this area, hence national and local governments will need to build and invest on the few available hands-on training and skills orientation activities in upgrading basic level M&E functions and capacity of field personnel.

7) Knowledge exchange is an effective means of disseminating practical lessons among implementers. South-South knowledge exchanges (SSKE) within the Southeast Asia region have proven to be effective in engaging high-level participation to impact country policy reforms to improve institutions and financing. The country delegation that participated in the 2004 SE Asia Knowledge Exchange in Rural Sanitation in Indonesia have been exposed to best practices on sanitation policy and operational strategy, inspiring them to initiate an inter-agency platform which is the current IACEH sanitation working group. The SSKE has likewise supported mentoring and twinning of client counterparts across countries. At the country-level, learning exposures among provincial and municipal counterparts have increased the urgency of local officials to pass ZOD ordinances and have elevated the interest and knowledge on available low-cost toilet options and related business and financing modalities.

8) Government and development partner strategies and approaches informed through dissemination of real-time learning to wider sector stakeholders. Throughout the implementation period of the SURS TA, WSP generated lessons learned, in collaboration with partners such as UNICEF, WHO, NGO partners, academic and research institutions and partner agencies at central and regional levels and local governments. These lessons were widely disseminated to inform and strengthen policy and rural sanitation strategy development and implementation. Evidence-based learning have advised and supported sector reforms, resulting in broad impacts on scaled-up rural sanitation programs. WSP's work program have progressively identified key learning areas with the key client agencies and program partners during pilot implementation. The major knowledge events and learning activities organized by WSP are summarized below.