

**CASE STUDIES ON IMPLEMENTED BARANGAY
WATER SYSTEM PROJECTS IN SAMAR**

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The Faculty of the College of Graduate Studies
Samar State University
Catbalogan City, Samar

In Partial Fulfillment
of the Requirements for the Degree
Masters of Arts in Education
Major in Social Science

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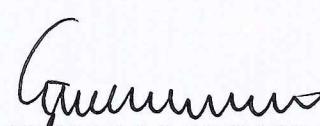
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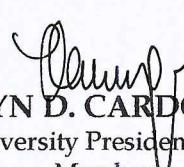
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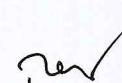
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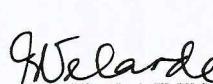
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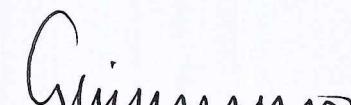

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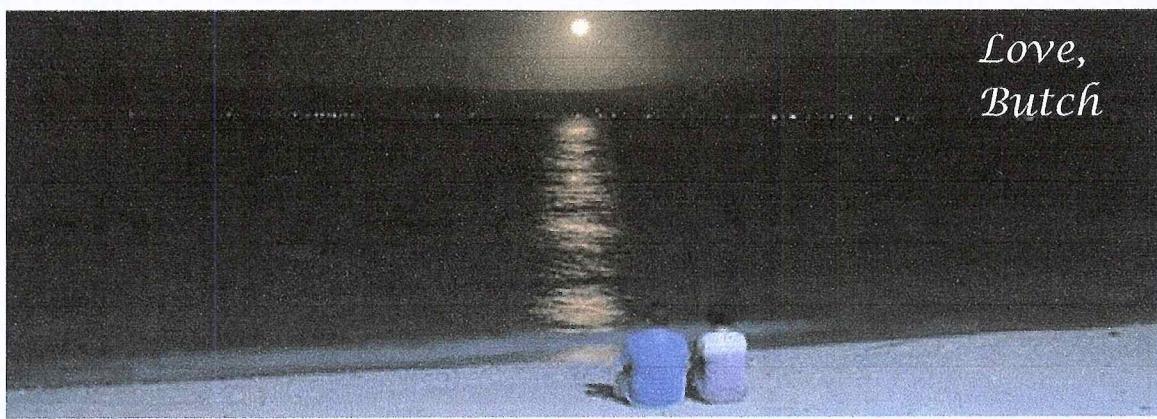
- BUTCH

Dedication

I dedicate this book to my wife Smile who has been with me throughout, supporting me in any means it might be financial, moral, love, care and prayer.

To my mother Persa, my brother Christian and Chris, sister Samantha, sister Jonah and her family - Harold, Kenjo, Kirby and Kenah. To Auntie Bellie, Mama Gay and Tiyo Manuel, Papa Eddie and Tiya Colit. To my relatives and friends, and to my CFC Family.

And lastly, God be the Glory. Thank you Lord for the strength, for the wisdom and knowledge, my protector and deliverer and for the guidance of the Holy Spirit for allowing me to finish this book.



Love,
Butch

ABSTRACT

This study determined the factors affecting the success or failure of projects implemented in the barangay level. This study employed qualitative and quantitative approaches. However, the case study method was utilized to ensure the validity of the data from the informants. The study gathered data through focused-group discussion (FGD), documentary analysis and survey questionnaire. Based on the findings and conclusions, the study recommends the following: (1) readiness should be encouraged among the members of the community before the project being implemented and as an operation and maintenance group, (2) there should be an accredited organization to help the sustainability of the project being implemented and as an operation and maintenance group, (3) the importance of setting policies especially for tariffs collection should be promoted to support the operation and maintenance of the water system projects, (4) the target beneficiaries and officials should be involved in the planning and project implementation, and (5) BLGU officials should establish strong collaboration, linkages and partnerships with different agencies and institutions to access financial support and technical expertise for the sustainability and maintenance of the project.

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Chapter 1

THE PROBLEM AND ITS SETTING

Introduction

The Annual Poverty Indicators Survey (APIS) conducted by NSO in 2008 revealed that the population with access to safe drinking water and sanitary toilet facilities has increased. The proportion of the population with clean and safe sources of water supply increased from 73.8 percent in 1991 to 81.4 percent in 2008. The remaining 18.6 percent of the population obtained their water from sources that are considered unsafe due to unprotected well, developed spring, undeveloped spring, river, stream, pond, lake or dam, rainwater, tanker truck or peddler, among others. But these favorable results hide the fact that almost one in five (or 15.73 million) persons are still unable to access safe water (MDG Progress Report, 2010)

In response to this, the Department of Health (DOH) together with the Department of Interior and Local Government (DILG) and the National Anti-Poverty Commission (NAPC) signed a Memorandum of Agreement in December 2010 to formalize their partnership for the implementation of the “Sagana at LigtasnaTubigsaLahat” (SALINTUBIG). The program is designed to supply water systems for 455 waterless municipalities, barangays, health centers and resettlement sites, and enhance the capacity of LGUs/ water service providers in the planning, implementation and operation of water facilities. The program is

expected to increase by 50 percent the water service for the waterless population, reduce by 20 percent the incidence of water - borne and sanitation related diseases, and improve access of the poor to sanitation services by 10 percent by 2015 (DILG). At current, around 300,000 households nationwide who belong to the waterless communities are now benefiting from the completed 554 potable water supply (PIA, 2017).

The water infrastructure provided in the Philippines is classified into three levels. Level 1 water system has stand - alone water points (e.g., handpumps, shallow wells, rainwater collectors); Level 2 water system are those with communal faucet system, piped water from a communal water point (e.g., borewell, spring system); and Level 3 water system are those with extensive distribution network of piped water connecting individual household (Navarro, 2013).

From 1978 to 1990, 11 major rural water supply projects were undertaken in the Philippines and toward the end of this period, it was estimated that there were only 4,400 functioning rural water supply systems which about 5% of the 96. These planning data further revealed that rural water supply systems were falling into disuse and disrepair almost as quickly as they were built. In 1990 a total of eight major donor-funded rural water supply projects were initiated using various financing and implementation approaches for rural water supply. These projects were assessed in terms of sustainability and performance in 2003 by the Water Supply Sanitation Performance Enhancement Project (WSEPP) and

overall findings of the study revealed that the large, centrally managed projects failed to produce sustainable rural water supply systems and the smaller projects with significant investments in capacity and institution building produced the most sustainable rural water supply systems. It also showed that the involvement of the local government and communities aids the preparation, planning, implementation, and management of such systems, and that sustainability is improved when these processes are monitored by external agencies. The study suggests that the success of projects will require strengthening local capacity and building institutions to operate and maintain systems, developing mechanisms for cost recovery, explicitly targeting the needs of the poor, and providing more incentives for local investment (WSP, 2004).

The province of Samar has a total of 59,015 households requiring adequate water service or 51.10 percent. The number of households unserved was 10,214 or 8.84 percent out of the total number of 115,493 households of the province. The total number of household served per survey was 80,445 households based on the Final Report on the Assessment of the Domestic Water Supply Sector of Eastern Visayas dated April 1998 (Samar.lgu-ph.com).

The province of Samar has 7 Level III systems operating under a different type of ownership (authority or association) together with their service coverage. The common problem in the above waterworks is water leakage due to the deteriorated distribution pipes. The collection efficiency of water charges is quite high at bigger networks, which is in contrast with smaller waterworks office,

which experienced very poor collection due to weak management practice. There are 205 Level II systems operating in the municipalities/city; the majority of which are utilizing spring sources (200 systems), while 5 systems use deep wells. Most of these supply water for 24 hours, however are some systems in Almagro, Gandara, Motiong and Santa Rita that supply water less than 4 hours a day. It is also common that water quality examination is not adequately conducted. Level I facilities are common in rural barangays. Of the 2,500 operational Level I facilities, 38 percent are shallow wells. In the course of PW4SP preparation, 50 percent of the shallow wells were assumed as an unsafe water source. All deep wells, covered/improved dug wells and developed springs are regarded as safe water sources. Most of these unsafe sources are located in nearby potential pollution sources. It is suggested that for new construction of shallow wells, proper site selection and appropriate construction method shall be applied together with periodic water quality monitoring (NJS Consultants Co., LTD. 2000).

Monitoring and evaluating the project implemented plays an important role in the success and failure of the project implemented. It is necessary to design programs which adopt a multidisciplinary / multi-sectoral approach that has careful assessments to a certain critical point in the implementation stage in order to determine the extent and the manner of linkages between the various programs components that have been established; that determine the impact of

the program on the living condition of their intended beneficiaries; and, give importance on the impact of sustainability (Calling, 1991:3-5).

The aforementioned situation and issues pertaining to the importance of project sustainability and project success influenced the researcher to come up with case studies on barangay water system projects implemented in the area of Samar.

Statement of the Problem

This study determined the factors affecting the success or failure of projects implemented in the barangay level.

Specifically, the study answered the following:

1. What is the profile of the barangay?
2. What is the nature of the project along:
 - 2.1 title and description
 - 2.2 purpose of the project
 - 2.3 type of initiative
 - 2.3.1 people initiative
 - 2.3.2 leader initiative
 - 2.4 Project planning process
 - 2.5 Structure and mechanisms of implementation
 - 2.6 Implementation issues
 - 2.7 Source of fund

- 2.8 Total cost of the project
3. What is the status of water system projects in terms of?
 - 3.1 Project utilization
 - 3.2 Organization and management
 - 3.3 Institutional linkages
 - 3.4 Financial component
 - 3.5 Physical / Technical component
4. What are the factors that contribute to the success and failure of the water system project in the barangay?
5. What implications can be derived from the study?

Theoretical Framework

This study is anchored on Servant Leadership Theory, Bennis and Sheperd's group Development Theory, Neo – classical Theory, System Approach Theory, Collaborative Leadership Theory and Behavioral Theory of Attribution.

Servant leadership theory of Robert Greenleaf explains that if leaders will focus on the needs and desires of followers, followers will reciprocate through increased teamwork, deeper engagement, and better performance. That the most effective leaders are servants of their people and place the interests and needs of their followers ahead of their own self – interest and needs. Generally, they value the development of workers, building their communities, acting authentically, and sharing power (Burkus, 2010). In this study, how leaders led the project

was being considered if they were contributory to the success and failure of the implementation of watersystem projects in the barangay in terms of sharing their power leaders and engaging the community in the development of the project

Bennis and Sheperd, on the other hand, puts emphasis on the importance of communication in a group. Without effective communication, a group cannot sufficiently address conflicts, members are unlikely to benefit from participation, and members will have difficulty to overcome the issues that may prevent effective group functioning. Bennis and Sheperd added that members' personal styles of interaction and the extent to which they have resolved personal issues with authority and intimacy play a significant role in group development (Kline, 2003). Identification of communication and personality types of members in the community was beneficial to this study. It may lead to success if given importance, otherwise failure of a project implemented may arise.

In addition, neoclassical theorists recognized the importance of human relations and that the increase of productivity are achieved as a result of high morale which was influenced by the amount of individual, personal and intimate attention received by the workers. It introduced the following principles: (1) An individual as a social being should be recognized as interacting with social and economic factors; (2) The work group as an important agent and its synergistic benefits was considered important; (3) Participative management or decision making permits workers to participate in the decision-making process (Shafritz,

2011:8). In this study, the individual, the group and the participatory approach towards decision making were considered as contributing factor that may affect the success and failure of project implemented.

While Collaborative Leadership Theory of David Chrislip and Carl Larson gives importance on collaboration as measures to produce tangible results. From these, it can empower participants to lead revolutionary changes in civic culture, and create a renewed sense of community. They also put emphasis on the importance of planning to get a good result. Action plans are a tool that helps leaders turn collaborative agreements into action. Within successful collaboration, a "steering" group is responsible for moving a strategy to action. It is also through cooperation and coordination of efforts that personal interests of individuals may subside (Geplaatst, 2012). In relation to this study, the theory similarly described the process how the implementing agency and the end users work together to achieve common goal in relation to the project implementation.

Systems Approach Theory views organization as a system composed of interconnected - and thus mutually dependent sub-systems. The organization consists of three basic elements such as: (a) Components with five basic, interdependent parts of the organizing system, namely: the individual, the formal and informal organization, patterns of behavior emerging from role demands of the organization, role comprehension of the individual, and the physical environment in which individuals work; (b) Linking processes, wherein the different components of an organization are required to operate in an

organized and correlated manner. The interaction between them is contingent upon the linking processes, which consist of communication, balance and decision-making; (c) Goals of organization (Heylighen, 1998). Same with this study, components, linking processes and goal of organization were factors sought to determine the success and failure of subjects implemented.

And lastly the concept of Attribution Theory which under this concept a person may perceive their own success or failure versus perceiving the success or failures of others through assigning one or more causes. According to Heider, the causes of success can either be attributed to two factors: internal or external. Internal attribution is referring to the process of assigning the cause of behavior to some internal characteristic, rather than to outside forces. It explains the behavior of others through looking into internal traits. For example, behavior is attributed due to person's personality, motives or beliefs. External attribution, on the other hand, is referring to a process of assigning the cause of behavior to some situation or event outside a person's control rather than to some internal characteristic. It explains the cause of behavior because of situational or environment factors (McLeod, 2012).

Attributions also may influence motivation. A person who perceived the cause of their success to be outside of their control may be reluctant to attempt new tasks and may lose motivation to perform well in the group. In the contrary, a person who attributes their success to themselves is more likely to have high motivation for work. Thus, understanding attributions that people

make can have a strong effect both on person's performance and managerial effectiveness (Borkowski, 2010: 147-164). In this study, it explained the relationship between the perceived behaviors, either if it is people's initiative or leaders' initiative, affecting the outcome of a project implemented in the barangay.

Taking into account the theories of Servant Leadership Theory, Bennis and Sheperd's group Development Theory, Neo – classical Theory, System Approach Theory, Collaborative Leadership Theory and Behavioral Theory of Attribution, the researcher saw the applicability of the embedded concepts to the present study relatively on the dynamics of group and behavior of members towards group development. Further, this came to understanding the factors contributing to the success and failure of projects implemented in the barangay level.

Conceptual Framework

The schema shown in Figure 1 serves as the guide of the researcher in the conduct of this study.

The bottom frame is the selected barangays in Samar that served as the respondents of this study with existing successful and failed water system project i.e. people initiated water system projects are Barangay Sugod of Tarangan and Barangay Cabungaan of Sto. Niño while Barangay Takot, Buenavista, Illo, and Basud of Sto. Niño (LGU Lead) and Barangay Napuro 1 of

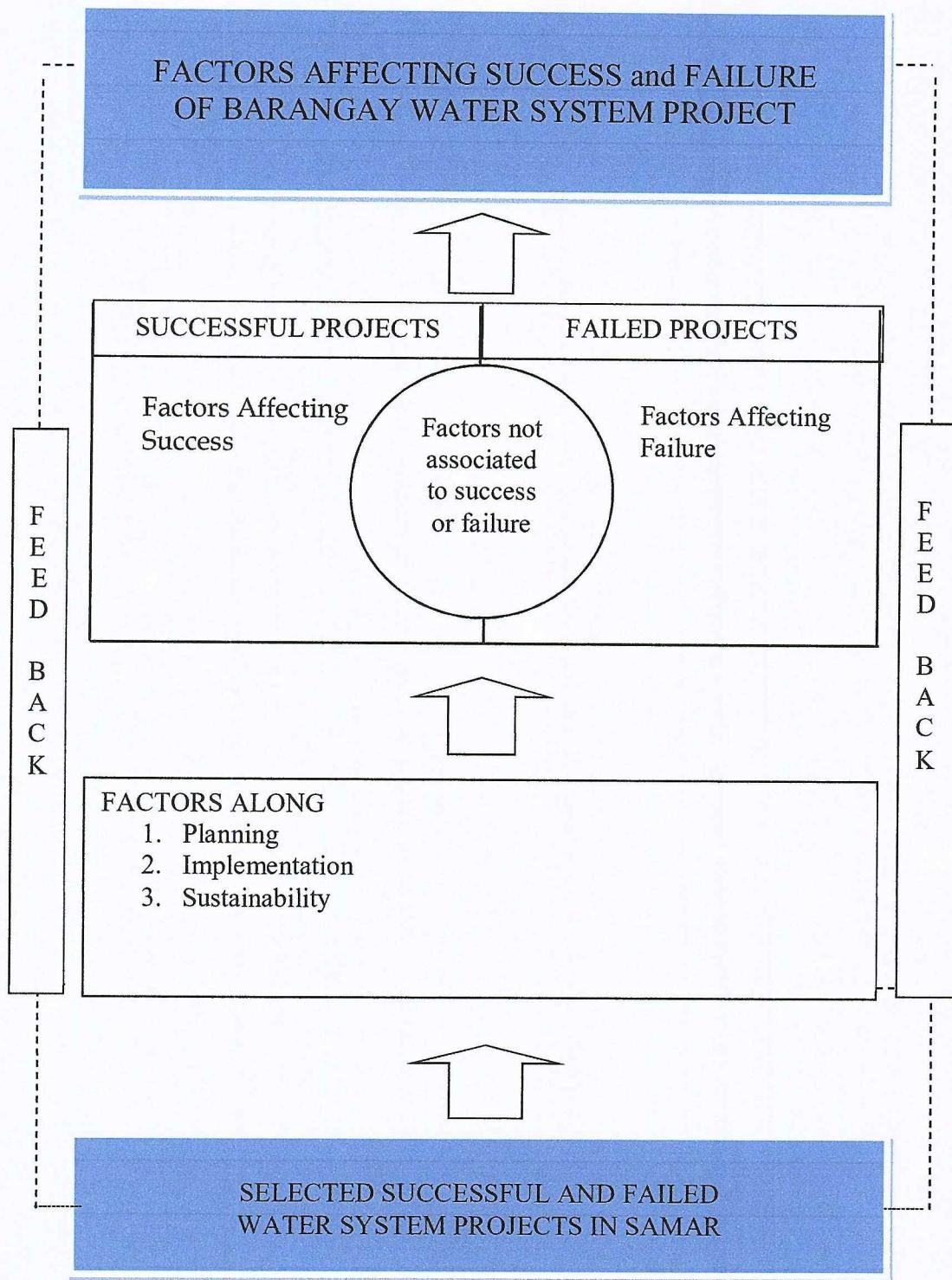


Figure 1. Conceptual Framework of the Study

Santa Margaritaare leaders' initiated water system project. The next frame examines the factors that affect planning, implementation and sustainability leading to the identification of factors associated to successful projects and factors associated to failed projects. The findings will now serve as the feedback mechanism to determine the factors contributing to the success and failure of barangay project.

Significance of the Study

Among those who will benefit from this study are the funding institution, project proponent, project beneficiaries, government, and future researchers.

To the Funding Institution. The result of this study would give an idea to the funding institution an input on how projects can be successful and determine measures and criteria before the approval of funding.

To the Project Proponent. The result of this study would help project proponents see the importance of commitment and engagement to achieve success in projects implementation.

To Project Beneficiaries. Findings would give beneficiaries an idea the importance of cooperation and participation to achieve success in project implementation and the role they play in maintaining the project functional.

To Government Sectors. This study could help them contextualize their project design from planning, budgeting to implementation. This may also address in coming up projects responsive to the needs of the community.

To the Future Researchers. The result of this study could help future researchers establish an in - depth study on the effectiveness of projects implemented in the barangay. This will serve as a springboard for researchers to further explore the factors associated to success and failure of project implemented in the barangay.

Scope and Delimitation

This study covered only the water system project implemented in Barangay Sugod Tarangan, Barangay Cabungaan, Takot, Buenavista, Illo, Basud of Sto. Niño and Barangay Napuro 1 of Santa Margarita, Samar. Participants of this study were pre - determined as people-initiated and leaders-initiated. The study used the structured questionnaires of DSWD - KALAHII Project Sustainability Evaluation Tool, Focused - Group Discussion and NVTVO11 in analyzing data.

The research study was conducted in selected municipalities and barangays of Western Samar, Philippines. Samar Island lies southeast of Luzon. It occupies the northernmost section of Eastern Visayas or Region VIII. The province of Samar (western) occupies the southwestern part of Samar Island. It has the largest land area (559,100 hectares) among the three provinces which constitute 42 percent of the island's total land area and 26 percent of Region VIII (Samar.lgu-ph.com).

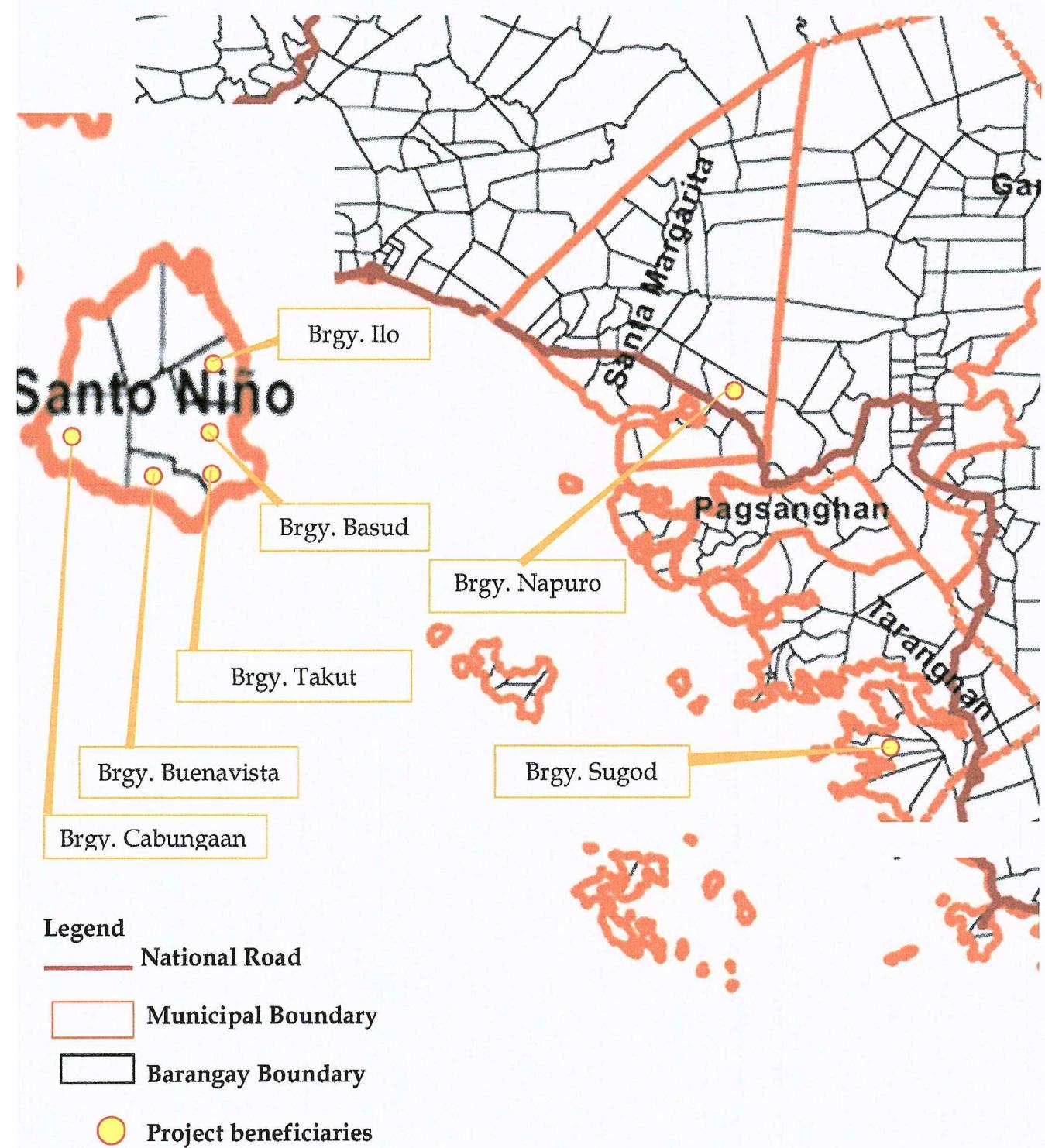


Figure 2. Map Location W. Samar (DSWD, 2015)

Definition of Terms

To give the reader better understanding of the textual presentation of the thesis manuscript, the following terms were defined conceptually and operationally.

Association. A group or collection of individuals who organize themselves expressly for the purpose of pursuing certain of its interests together on a cooperative pursuit (Sociology Guide). In this study, it refers to the association created in the barangay.

Barangay. The basic political unit which serves as the primary planning and implementing unit of government policies, plans, programs, projects, and activities in the community, and as a forum wherein the collective views of the people may be expressed, crystallized and considered, and where disputes may be amicably settled (Chan Robles Virtual Law Library). In this study, it refers to a barangay that implemented water system project and serves as the participant to this study.

Case Study. Yin (1984:23) defines it "as an empirical inquiry that investigates a contemporary phenomenon within its real-life context; when the boundaries between phenomenon and context are not clearly evident; and in which multiple sources of evidence are used" (Zainal, 2007). In this study, it refers to the methodology used by the researcher to gather data by conducting FGD and SET.

Failed Project. Any project that fails to meet time, budget, quality

targets and fail to meet a minimum return criteria of return of investment (Mar, 2012). In this study, it refers to a 2.49 and below rating based from the Project Sustainability Evaluation Tool

Finance. The management of revenues; the conduct or transaction of money matters generally, especially those affecting the public, as in the fields of banking and investment (www.dictionary.com). In this study, it refers to the compliance of financial requirements for operation and management

Financial Management. It means planning, organizing, directing and controlling the financial activities of the enterprise and applying general management principles to financial resources of the enterprise (www.managementstudyguide.com). In this study, it refers to compliance of financial requirements for operation and maintenance as one measure of sustainability.

Gravity Water System It consists of a spring tank, the main pipeline, including a pipe bridge, a reservoir tank and distribution network that leads to a tap at each house (ITACA). In this study, it refers to the structure of water system created in the barangay or to the distribution of water to the communal faucet.

Institutional Linkage. This means relationships and interactions between tasks, functions, departments, and organizations that promote the flow of information, ideas, and integration in the achievement of shared objectives (www.businessdictionary.com). In this study, it refers to an indicator proving the provision of support by the municipal and barangay LGU, agencies and

organizations to the operation and management groups and the community in the operation and maintenance of the completed subprojects.

Leader Initiative. It is a self-reflective and collaborative process of identifying opportunities and challenges within a community, boldly imagining alternatives, assessing possible avenues of improvement, and inspiring and challenging oneself and others to courageous action that enhances the common good (The leadership working group, 2008). In this study, it refers to project initiated by the LGU or barangay officials.

Level 1 Water System. It refers to water system which have stand – alone water points e.g., handpumps, shallow wells, rainwater collectors (Navarro, 2013).In this study, it refers to the category or type of water system project

Level 2 Water System. Are those with communal faucet system; piped water from a communal water point e.g., borewell, spring system (Navarro, 2013).In this study, it refers to the category of project implemented in the barangay.

Level 3 Water System. Are those with extensive distribution network of piped water connecting individual household (Navarro, 2013).In this study, it refers to the category or type of water system project

Organizational and Project Management. Refers to the art of getting people together on a common platform to make them work towards a common predefined goal (www.managementstudyguide.com). In this study, it refers

to the indicators and key areas showing the status and functionality of the operation and maintenance groups.

People Initiative. It is a process whereby community members come together to collectively generate solutions to common problems or take advantage of opportunities that will benefit the whole (Atlantic Canada Opportunities Agency). In this study, it refers to project initiated by the community volunteers.

Project. Is an organization of people dedicated to a specific purpose or objective. It involves large, expensive, unique, or high-risk undertaking which has to be completed by a certain date, for a certain amount of money, within some expected level of performance (Pinto, 1987). In this study, it is the water system project implemented in the barangay.

Project Planning. Emphasizes the ability to develop effective project management plans, and the technical integration of project elements for small, moderate, or complex projects (NASA, 2012). In this study, it refers to the preparation of a proposal, complete prescribed attachment and supporting plans, documents and permits for a barangay project to address priority issues included as one of the indicators in measuring project utilization.

Project Utilization. A large or major undertaking, especially one involving considerable money, personnel, and equipment or it is something that is contemplated, devised or planned, plan, scheme (www.dictionary.com). In this study, it is the assessment of actual benefits and impacts of the project vis - a -

vis planned benefits indicated in the project proposal prepared in the project development stage.

Successful Project. A project comprising a defined time criterion, monetary criterion, and a specified set of performance characteristics such as effectiveness and client satisfaction criterion (Pinto, 1987). In this study, it refers to an excellent rating based on the result of Sub - Project Sustainability Evaluation Tool

Sustainability. The capacity of a community to respond to development challenges in ways that will provide continuing benefits to each member (Sub-Manual CEAC Field Guide, 2012). In this study, it is the assessment of the impacts and benefits generated from the sub-project through five areas of concerns: sub-project utilization, organization and management, institutional linkage, finance, and physical/technical.

Technical / Physical Management. Encompasses the management of technical activities during the life - cycle of the project (NASA, 2012). In this study, it refers to the operation and maintenance plan, tools and equipment including structures and sub structures and also as an indicator in measuring sustainability.

Chapter 2

REVIEW OF RELATED LITERATURE AND STUDIES

One very important aspect of the research process is the review of relevant literature and studies. This chapter, therefore presents a discussion of related literature and studies reviewed by the researcher which have bearing to the present study pertaining to factors affecting the success and failure of the project being implemented. Citations included in this chapter are taken from books, journals, magazines and other unpublished materials while studies are taken from dissertations, master's theses, on - line or web-based references, and other unpublished materials. Such references helped the researcher to establish some basic facts and principles useful in the conduct of the study.

Related Literature

The implementation of a development plan starts with an organizational structure that coordinates with different agencies and offices, establishes a project development unit, sets up a monitoring system and builds municipality's planning and implementation capabilities. In addition, implementation process involves all levels of government from national down to the local levels, government-owned and controlled corporations, non-government organizations, organized private sectors; and local communities that are synchronized. In fact, the national government can influence the implementation of the municipal plan

since most government programs and projects are central - generated, initiated, funded and covered by national policies that may affect the realization of local development objectives and targets. Through the support of local communities, projects and activities in the form of financial, manpower, managerial, technical and other assistance can contribute in the implementation of the municipal development plan (Calling, 1991:99-103).

In many cases, development planning in the Philippines does not always reflect the needs of the people and their communities. This is due to (1) lack of complementation or integration of sectoral plans since planning, as often practiced, is more of compiling and incorporating existing development plans of different sectors to form the Municipal Development Plan; (2) projects and proposals that are merely intended for internal funding, hence, the limited capacity to get a source outside funding; (3) politics continued influence on the identification and prioritization of projects, thus, project proposals are based mainly on the priorities and biases of local executives; and (4) very little exposure of planners in the project proposal generation or preparation especially those meant for external funding (Banzuela, 1996).

The following factors, have also been identified to impact negatively on project planning according to the study of Chioma (2012): poor or no project appraisal; top management lapses; defective contract agreements and awards; gross failure in applying project management techniques; contracts for projects are awarded without adequate project planning which includes the costing and

scheduling as well as the method for successful implementation; mismatch often exists between project design and objectives on the one hand, and implementation capacity of the agency or organization or ministry on the other; existence of defective control system, and in some cases, the system of monitoring and evaluation were completely lacking; little or no attention is given to the recommendations of project appraisals; and budgetary constraints occur frequently, and reordering of priorities or diversion of fund as time progresses.

On the other hand, project sustainability is also a major challenge in many developing countries, fewer projects are being sustained despite the huge expenditures incurred by countries helping in the implementation of projects due to poor sustainability and it deprives the expected return of investments. This further means that while debts from development expenditure are increasing, gains from these expenditures have either not been forthcoming fully or been accrued at a lower rate. Several factors are responsible for poor sustainability; it could be within the control of the project management or may come from an external threat; some of the factors can be taken care of right at the design stage of a project, whereas, others can be tracked and corrected during implementation, and through monitoring (Khan, 2000).

The technical or financial measures of success in a project are also important. These are the end users and those involved in the life of a project that are both keys to its success during, and in the measuring of success of the project at the completion. The success of a project may not be immediately visible and

the project may be classified as a failure in short – term and then, once it has established, it benefits eventually and will be classed as a success (Madsen, et al., [n.d.])

Moreover, from the study of Smith, G. (2011), "Rural Water System Sustainability: A Case Study of Community-Managed Water Systems in Saramaka Communities revealed that technical adequacy is the first and most critical factor for long term sustainability of a water system. It also shows that technical adequacy is dependent on the appropriateness of the engineering design for social, cultural, and natural setting in which it takes place. The complex relationships between technical adequacy, community support, and the involvement of women play important roles in the success of water supply projects.

Another study of Thiele (n.d.) on Factors Influencing the Success and Sustainability of Integrated Coastal Management Projects in the Philippines: An Evaluation of the World Bank Central Visayas Regional Project (CVRP) 1984 – 1992 revealed that statistically there were significant relationships that exist between a large number of independent variables (level of community development and involvement of local leaders) and interest in integrated coastal management (ICM) sustainability. According to this study. (1) Level of Community Development Data Analysis revealed that areas with a lower level of development were more likely to successfully embrace ICM projects, and so the more developed a site is, the lower the likelihood for project sustainability

and the less developed a community, the greater the likelihood of rule compliance and continuation of project activities; (2) There was a positive relationship between the involvement of the local leadership of barangay captain and ICM sustainability as revealed by three sustainability indicators: rule compliance, resource access, and equity scores. This suggests that securing barangay level political support may be important for ICM sustainability and suggests that practitioners should solicit local, barangay captain support prior to and during project implementation.

Furthermore, the study of Beleiu, et al. (n.d.) affirms that clearly defined goals and directions, competent project team members, clearly defined roles and responsibilities, and communication and consultation with stakeholders are factors that are associated to project success.

The most common causes of project failure according to US Statistic are due to: changing priorities within organization (40%), inaccurate requirements (38%), change in project objectives (35%), undefined risks/opportunities (30%), poor communication (30%), undefined project goals (30%), inadequate sponsor support (29%), inadequate cost estimates (29%), inaccurate task time estimate (27%), resource dependency (25%), poor change management (25%), inadequate resource forecasting (23%), inexperienced project manager (20%), limited resources (20%), procrastination within team (13%), and task dependency (11%). Oftentimes, high-performing organizations successfully complete 89% of projects, while low performers only complete 36% successfully. This is because

low performers waste nearly 12 times more resources than high-performing organizations. In fact, only one-third of companies always prepare a business case for new projects; 60% of companies do not measure the return of investment on projects. Average Project Success Rates: 39% of all projects succeed (delivered on time, on budget, and with required features and functions), 43% are challenged (late, over budget, and/or with fewer than the required features and functions), 18% failed (either cancelled prior to completion or delivered and never used), and mostly large projects are twice as likely to be late, over budget, and missing critical features than small project (Project Failure Statistics, 2015).

Other factors associated with project failure are the following: delay, slow procurement, communication problem, programs were not implemented, and having other priorities as reported by Monticillo over a \$167 – million project on country's infrastructure (GMA New Online, 2008). "Deficient planning, poor supervision, poor management, poor planning and negative slippage" were also reasons for the delay of the infrastructure project in 2013 by the Department of Public Works and Highways (DPWH) according to the Commission on Audit (COA) (Punongbayan, 2015).

Such case is also true in Samar, the UN-funded Biodiversity Project in Samar Island was evaluated as successful with reservations. The implementation on the ground was successfully evaluated as having a strong link between conservation objectives and development activities and the way they were implemented. The key problem areas identified were due to: low level

of country ownership; external factors; and complex management chains (Edwards, P., et al., 2006).

In barangay level, the budget has an effect in the implementation of barangay project. According to Layug, A., et al. (2010) unsuccessful implementation of basic services in the barangay has been attributed to limited budget. Findings include: (i) a mismatch between financial capabilities and devolved functions owing to limited funds spent mostly on personal services, with little money left to finance these functions; and (ii) different priorities of barangays mean different utilization of their Barangay Development Fund, with some of them failing to spend for important basic services such as education and health, as well as the economic development sector.

Projects are purposive interventions used for accelerating and targeting economic growth and social development. Most of the development projects reveal that social and institutional problems are not met or addressed, they forgot to recognize the importance and need to “put people first” in development agenda and that people should be involved in the processes of project formulation, planning, and creative execution and with coordination with other specialists – technical and economic experts and emphasized for projects to be socially and culturally fit and sustainable (Cemea, 1985: 5-11).

Many Filipinos become pessimistic about government projects. Many of those projects have been either ill-planned or they are left unfinished and sometimes not implemented at all that their supposed beneficiaries only partly or

do not benefit at all from those projects therefore inappropriate to the need of the community, o. However, political bureaucracies oftentimes bar this. The existence of bad government structure and processes result to an increased in political and social conflicts. Also, because also of narrow political and economic interests, it continues to impede the passage of development context through basic social services and other concerns for development (Alipio, et al., 2009:159).

For the past years, the trust among development practitioners worldwide to search for feasible and appropriate strategies, methods and tools in development planning has grown more distinct and definite. In the Philippines, participatory planning has been intensified, institutionalized and offer both public and private sectors many challenges on the development planners (Banzuela, 1996). Example, both the Php40 million sub-project dubbed as the Rehabilitation of Magassi Union Camasi Farm-to-Market Road (FMR) and the Php60 million Construction of Olango, Siempre Viva, Trinidad, Manano and Mallig was awarded to Isabela last April 20, 2015 along with Quirino's pilot sub-project, the Rehabilitation of NRJ-Gamis-Banuar-Dumabel- Cabugao-Eden Burgos-PRJ Burgos- Gomez-Calaocan Road amounting to Php155 million. According to Corsino, "The concept of the project is to empower the community members to participate actively in planning and implementation of all project interventions and enhance their decision-making ability". Furthermore, DPD Mananes pointed out that they will be needing the cooperation of the barangay

so that it can gain additional income for local labor. He added that it is important not only for the officials to be aware and involved but for the local residents as well, and as support to WB's request, she encouraged the LGUs to increase the involvement of women in project implementation. She also voiced out the cluster's goal to achieve a faster disbursement of funds through the above mentioned sub-projects. The barangay and municipal officials were given the vital roles for the project implementation (DA, 2015).

More so, public participation will encourage the public to have meaningful input in the decision-making process. It provides the opportunity for both agency and public to communicate and make decisions. Communication can be a means where accurate and timely information will be disseminated that can contribute to sustainable decision-making. Public participation is a two-way process and both the agency and the public can learn and benefit. Effective public participation allows the public's values to be identified and incorporated in the decisions that ultimately affect them. However, public participation can be time-consuming and sometimes expensive. Organizations have to build capacity and train staff to succeed. If not or done it poorly, public participation processes can result in loss of faith in the agency. A negative experience of the process may lead participants to have negative perceptions of the outcome, and they may be less likely to participate in future processes (Wouters, et al. 2011).

The study of Emmanuel G. Kilewo and GastoFrumence (2015) on "Factors that Hinder Community Participation in Developing and Implementing

Comprehensive Council Health Plan (CCHP) in Manyoni District, Tanzania" revealed that factors hindering community participation included lack of awareness of the CCHP among Health Facility Governing Committee (HFGC) members, poor communication and information sharing between Council Health Management Team (CHMT) and HFGC, unstipulated roles and responsibilities of HFGC, lack of management capacity among HFGC members, and despite availability of policies, guidelines, and community representative organs, actual implementation of decentralization strategies is poorly achieved.

According to Labonne and Chase (2011), a project can increase participation in village assemblies. In addition, the frequency with which local officials meet with residents had a negative impact on collective and there is also a more limited evidence of positive impact of the project on bridging trust and of a negative impact on group membership.

Masagca, et al (2009) on the other hand, proposed that programs and projects (P and P) on capacity building of BPU officials must be accomplished and should have a strong collaboration with several higher education institutions (HEIs) and groups or organizations on local governance. The good governance of BPU can be affected by the lack of capabilities of officials; indecisiveness during the assumption of duties as officers-in-charge; the influence of their siblings and family relatives; and sensitivity to the issues and concerns being addressed.

Therefore, development of projects should start with good planning, consideration of project sustainability, technical and financial measures, having a

competent team members, with an increase participation from the community through assemblies, and capacity building of officials.

Related Studies

There are several studies in the past pertaining to project implementation of projects in the barangay.

The study by Bula (2007) entitled "Area Development Program: Best practices as replicable models for poverty reduction intervention" discussed the water development projects undertaken in Barangay Tuyan, Barangay Libi and Sitio Luan and Sitio Liang in Barangay LunMasla in Malapatan, Sarangani province. The community organized themselves and created their water associations and apply for a water system in area development program (ADP) and was able to get financial and material assistance from Sarangani Community Development Foundation Incorporated (SARCODFI). The community provided intensive labor as equity through Bayanihan. People in the community worked together to construct the water system and took full responsibility in the water management of the barangays after the turnover. From the evaluation report, the water development did not only bring potable water to the household but also water positively impacted on the peace situation of ethnic people in the areas and results further revealed that communities are happy that water once a scarce commodity is now accessible and the residents are happy or satisfied with it because the water development is effective. The water association of the four

barangays manage the projects. This means that the water project is maintained by each association effectively and efficiently. According to the community, the lives of children and women are better now that the four communities have accessible safe water because of the following reasons: (1) Water is just a few minutes away from home, (2) Water services have been managed well (3) Repairs are done immediately (4) Association officers perform their tasks well (5) Associations have existing funds (6) Culture of common prevails (7) Project is self-sustaining (8) Financial transparency and (9) Supply is abundant.

The above-cited study relates to the present study in the sense that they both use cases in the barangay project as means to gather and evaluate data. However, the study of Bula, Bernardita focused on the best practices of the barangay in terms of delivering project services while the current study focused in identifying the factors that affect success and failure of the water system projects implemented in the barangay.

Bautista, E. (2008) study entitled "Community-based forest management projects implementation: basis for a proposed program intervention scheme" aimed to evaluate the extent of implementation and level of people's participation in 7 selected projects sites of Community-Based Forest Management (CBFM) projects in the province of Leyte as a basis for a proposed intervention scheme toward the improvement of program implementation. There were four groups' respondents, namely: project beneficiaries, DENR implementers, LGU and other assisting organizations. Out of 797 project

beneficiaries, 239 or 30% of the total population were taken as respondents. The total enumeration was done for the DENR implementers (20), LGUs (24) and other assisting organizations (6). Data were gathered during field visits through personal interviews of project beneficiaries, focused - group discussions and survey questionnaires administered to the DENR implementers, LGU and other assisting organizations. Results showed that the extent of implementation of the CBFM projects in terms of the rules and regulations under the various stages of implementation (preparatory, PO formation and Provision of security of tenure, planning and implementation) was perceived by the four groups of respondents (the project beneficiaries, DENR implementers, LGUs and other assisting organizations) as substantially implemented suggesting that the rules and regulations have been considered but a little bit wanting to certain extent that is better than partially implemented. The overall average rating of the level of participation of the project beneficiaries in key activities under the preparatory stage as perceived by the project beneficiaries themselves, DENR implementers and LGUs was only moderate, while the assisting organizations perceived PO members' participation as high. In the second stage, there was only a moderate level of participation by the project beneficiaries in different activities as perceived by the project beneficiaries themselves, DENR implementers and LGU's however, the assisting organizations perceived it as high. In the planning and implementation stages, the beneficiaries admitted that generally, their level of participation was low. However, of the DENR implementers, LGU's and other

assisting organizations, perceived the project beneficiaries' level of participation as moderate. Based also on this study, the profile characteristics of project beneficiaries such as gender, religion, household size, and educational attainment played significantly in achieving their level of participation. The other characteristics not significantly related to the level of participation were age, civil status and monthly income. And the most prevalent problems encountered by the four groups of respondents during the implementation of the CBFM were on the economic and social and policy-related areas.

Subibi (2008) conducted a study on the "Extent of Implementation of the MinSSAD to put up its projects in Davao Del Norte and level of Development of the Agrarian Reform communities within its Project Area". The study made use of the descriptive-correlational method and evaluated the extent of implementation of the various infrastructure projects envisioned in the MinSSAD Project and determine whether the implementation of the MinSSAD Project has resulted in the development of the Agrarian reform Communities within its project area. Variable included in the study were Roads and Bridges, School Buildings, Irrigation and post-harvest Facilities, Barangay Health Stations, Multipurpose Buildings, Communal Irrigation Systems, and Potable Water System. Other indicators such as Economic Aspect, Educational Aspect, Health and Hygiene Aspect, Social Aspect, Transportation and Communication Aspect, Civic/Religious Aspects and Political Aspects are also included in the study.

The overall mean for the extent of implementation of MinSSAD projects has a descriptive rating of extensive. This means the targeted projects of MinSSAD have been successfully implemented. It also implied that the MinSSAD Project in Davao del Norte was really serious in pursuing the program and that the infrastructure in the communities comprising MinSSAD have been greatly enhanced and services on transportation and communication, education, public health and others have been much improved.

The study of Bautista (2008) and Subibi (2008) has some bearing to the researcher's study because they are all after on the evaluation of the project implementation. The study variable of Bautista (2008) was on the level of people participation towards the project and Subibi was more on how the infrastructure led to the development of the agrarian reform communities. Though this study was also on evaluating the project implementation but it sought to determine the contributory factors towards success and failure of project implemented.

Bancale's (2008) study titled "Evaluation Survey of the Existing Drainage System of Poblacion Caraga as Basis for Development Plan" used descriptive survey method of research with the primary objective of determining the level of sustainability constraints of NIA Irrigation System of Lasang River, Libuganon River and Kipaliku River in Davao Del Norte in terms of rural access and irrigation. The said irrigation system was under the stewardship of local irrigators associations. Results showed that in terms of rural access constraints, all the three-river irrigation system exhibited a moderate level of sustainability

constraints. However, in terms of irrigation constraints, the Libuganon RIS exhibited a high level of sustainability constraints, while the other two RISs exhibited a moderate level. This implies that the Libuganon RIS is much hampered in its sustainability by irrigation constraints.

Bautista, C. (2010) studied the level of Implementation of Sustainable System for irrigated Agriculture in Cabidianan Communal Irrigation Project. Strengthening a Sustainable System for irrigated agriculture was conducted to determine the level of implementation of the sustainable system for irrigated agriculture in terms of System Management, Financial management and Organizational Development using descriptive survey method of research.

Results of his study showed that the System Management as per evaluation of the beneficiaries obtained a very high overall mean. This indicates that the level of implementation of a sustainable system for irrigated agriculture in terms of system management is always implemented. The beneficiaries claimed that the officers in the association always perform their job properly especially in running the system during cropping season with a very high-level result. They further claimed that the association always implement religiously the cropping calendar with the result of very high level. The same is true with the results on the level of implementation of a sustainable system for irrigated agriculture in terms of financial management. The beneficiaries obtain a very high mean score. This indicates that the level of implementation of a sustainable system for irrigated agriculture in terms of financial management is always

implemented and lastly the level of implementation of a sustainable system for irrigated agriculture in terms of Organizational Development obtain an overall score of very high. This indicates that the sustainable system for irrigated agriculture in terms of organizational development is always implemented. The researcher also found out that with the existence of the irrigators for eleven years, they have operated their system with the utmost care that every problem encountered are being resolved immediately at their level, they attained and received several awards, commendation and appreciation from international, national, regional, provincial, municipal and barangay level.

The present study bears a significant similarity to the study of Bancale (2008) and Bautista (2010) in using sustainability as measure in evaluating the project implemented. The difference is that sustainability measure was only used by this study to identify the barangay participants since this study needed a participating barangay that implemented a water system project that turn out to be a success or failure.

Juanico(2010) in his study entitled "Empowerment of KALAHII CIDSS - KBB Project Beneficiaries in Leyte as basis for Policy Intervention" determined the effectiveness of the KALAHII - CIDDS: KBB project empowering the beneficiaries in Leyte Provinces as perceived by the community beneficiaries themselves, members of the area coordinating teams (ACT) and other stakeholders using descriptive - correlational research and used purposive sampling. Results showed that the level of participation of respondent -

beneficiaries in the province of Leyte as perceived by members of the Area Coordinating Teams (ACT) and the KC: KKB Beneficiaries themselves along the key activities in the 4 stage processes of community empowerment activity cycle (CEAC) : Social Preparation and capacity building stage, Project identification and conceptualization stage, Project selection and prioritization stage and Project implementation, monitoring and evaluation stage were rated 4 in almost all activities under each stage of CEAC having a descriptive interpretation of a moderate level of participation by both the members of ACT and the respondent-beneficiaries. However, though the average mean fell within the adjectival rating of moderate, the KC - KKB project beneficiaries rated lowest 1.2 on the identification of volunteers to undertake the participatory situation analysis (PSA). On the side of the ACT / MCT, they rated the KC - KKB beneficiaries as lowest on reporting of operations and maintenance status to barangay assembly with a mean of 3.91 and an interpretation of moderate and rated the respondent - beneficiaries highest on monitoringwith an adjectival rating of high participation.

The study further added that among the profile characteristics of KC: KKB project beneficiaries included in the study, monthly income, household size and educational attainment have a significant relationship to the subjects' level of participation in the 4 stage processes of community empowerment activity cycle (CEAC). The result implies that variables such as monthly income, household size and educational attainment affected project beneficiaries' level of

participation while other variables such as age, gender, civil status and religion did not affect their level of participation in KC. KKB project implementation.

The above-mentioned study is related to the current study in terms of some variables being measured such as social preparation and project implementation. But the nature of study is different since the study of Juanico (2010) was on measuring the effectiveness of the project as perceived by the beneficiaries, members of the area coordinating teams (ACT) and other stakeholders using descriptive – correlational research design while this study sought to identify the factors affecting success and failure of the projects implemented in the barangay level and used case study as a method. Though both study used purposive sampling in identifying participants.

CAL's (2011) study on "An Evaluation of the GawadKalinga Program in Panabo City" aimed to assess whether GawadKalinga produces a change transformation among the GK beneficiaries in adopting the program and evaluate the best practices through transformative GK Program approach as replicable or adaptable model of development for nation building using descriptive quantitative research method. Findings of the study revealed that the extent of attainment of objectives on community empowerment yielded very good, massive mobilization very good and partnership in nation building excellent. The community empowerment was rated excellent, massive mobilization of volunteerism as very good and partnership in nation building as excellent respectively; there was adequacy of the resources of the GK on the

financial resources, manpower resources and strategies proved adequate, adequate and very adequate, respectively; GK beneficiaries were highly satisfied with health care program, satisfied with shelter and site development, education/child and youth development program, community empowerment /value formation and moderately satisfied with healthy environment program and wives are member of FOCUS, a cooperative established in Panabo City and some of their men who earned skills in GK are now working and gainfully earning and the economic status of beneficiaries before and after GK program probed to have a significant difference in income. Thus, the GK programs have a significant contribution to the improvement of the beneficiaries' way of living.

Lape's(2016) study on "Policy Intervention and Sustainability Condition of PantawidPamilya Beneficiaries of Barangay Ising, Carmen, Davao Del Norte" was conducted to assess the status of the policy intervention and sustainability condition of *Pantawid* beneficiaries of Barangay Ising, Carmen, Davao Del Norte. A descriptive correlation method was employed in the study and respondents were chosen using stratified random sampling. Results showed that the perceived status of policy intervention, institutional support and sustainability condition are very high and that there is a highly significant relationship between sustainability condition as to policy intervention and institutional support

Both are related to this study since the study of CAL (2011) and Lape (2016) assessed and evaluateda certain program or projects implemented.

However, the study of Cal (2010) was more on evaluating the best practices of the beneficiary and assessing if there was a transformation due to the program, implemented while the study of Lape (2016) was on the effect of policy intervention to sustainability of project. However, this study was more focused on identifying the factors related to success and failure and used sustainability measures to determine the barangay participants.

Another study that also measures sustainability is the study of Tuballes (2008) entitled "Sustainability of Community Based Forest Management (CBFM) in Maasin, Sarangani Province". The study is a descriptive research which aimed to describe the sustainability of the current implementation of community-based forest management in Maasin, Sarangani Province. The respondents of the study are holders of tenurial instruments issued by the DENR such as the certificate of Stewardship Contract (CSC) and certificate of communal forest stewardship (CCFS). Other proofs of ownership possessed by some of the respondents are the certificate of Land Title, Individual Property Rights (IPR) while others have tax declaration. Results from this study showed that since the organization of the cooperative in the year 2000, there was no projects that can significantly help to improve the economics, social and ecological aspects of the programs in spite of millions of pesos out of the income of the cooperative in the utilization of natural resources, still it has no avail. They are no transparency in terms of the financial aspect of the project since the beginning, there are a lot of financial grants coming from PACAP and other financing institutions. Results of

the study also showed that tenurial instruments awarded to beneficiaries are not related to the sustainability criteria (economic, ecological and socio – cultural), that the community-based forest management in Maasim, Sarangani Province is generally perceived not sustainable and of the three sustainability criteria (economic, ecological and socio-cultural) only the socio-cultural viability is perceived sustainable and that there is no significant relationship between the CBFM sustainability and tenurial security.

Basically, the study of Tuballes (2008) is related to this study in terms of measuring sustainability of the program implemented but they differ in terms of variables measures in the sustainability tool. The sustainability criteria used in the study of Tuballes (2008) included economic, ecological and socio – cultural while in this study the variables are project utilization, organization and management, institutional linkages, financial component and the physical / technical aspect.

Aberilla's (2015) study on "Efficiency estimates of water districts in Davao Del Sur. A Data envelopment approach" was conducted to measure the technical and allocative efficiency among the water districts of the province of Davao del Sur which covers 8 municipalities and a lone city. Of the nine possible DMUs, only three municipalities (Kiblawan, Hagonoy and Bansalan) and the lone city (Digos City) have operational water districts for the period; hence, a total of four DMUs were subjected to data envelopment analysis. Descriptive statistics were used to present the profile of the inputs (volume of water extracted in cubic

meters, maintenance and other operating expenses, and number of field personnel) and outputs (number of households, government office and commercial establishment connections), and input - oriented, constant returns - to - scale cost efficiency DEA for the allocative efficiency calculations and output - oriented constant returns - to - scale multi-stage DEA for the technical efficiency calculations. Results showed that on the viewpoint of technical efficiency, Digos Water District was identified as the best frontier based on the result of summary peer and peer count. This implies that Digos water district may be viewed as the best model water district in terms of servicing the maximum number of households, government offices and commercial establishments served. In terms of allocative efficiency performance, Kiblawan Water District was able to yield consistent scores of 100% for the first 3 years (2008 – 2010) and Digos water district for the following years (2011 and 2012). This implies that with respect for periods, Kiblawan water district and Digos water district had the optimal utilization of MOOE and PS expenditures relative to the maximum level of outputs (number of households, government offices and commercial establishments served).

The study of Aberilla (2015) is related to this study since it also measured technical efficiency. However, the technical/physical measure used in the above-mentioned study was only one of the sub - variable of the sustainability tool used in this study.

The ideas gained from these concepts and insights helped the researcher in conceptualizing the variables for study.

Chapter 3

METHODOLOGY

This chapter presents the method and procedures employed in the conduct of the study, including the research design, instrumentation, validation of the instruments, sampling procedure, and data gathering procedures, and statistical treatment of data.

Research Design

This study employed a qualitative and quantitative approaches. However, the case study method was utilized to ensure the validity of the data from the informants. The study gathered data through focused - group discussion (FGD), documentary analysis and survey questionnaire. A questionnaire on project Sustainability Evaluation Tool (SET) of DSWD was used in evaluating the water system project in the barangay while descriptive statistics was used to describe the demographic barangay profile, nature of the project, sustainability tool and measures of success and failures of projects implemented in the barangay.

Barangay participants of this study were pre - identified and evaluated using the Sustainability Evaluation Tool (SET) of DWSD. The data from the focused - group discussion pertaining to planning and implementation was interpreted through NVIVO11.

Instrumentation

A standardized structured questionnaire of SET from DSWD KALAHII Programs was utilized in evaluating the success and failure of water system project implemented in the barangay.

Questionnaire. This instrument is subdivided into two (2) major parts:

Part I is the demographic barangay profile that consists the following: (1) Basic barangay profile (municipality, sitio and number of household); (2) Socio - economic profile (average annual income per household in the barangay); (3) Status of core local poverty indicator in water (household with no access to safe water).

Part II measures the Sustainability Evaluation Tool. It includes Project Utilization, Organization and Management, Institutional Linkage, Finance, and Physical / Technical. Each factor has a rating indicator in interpreting results.

The following rating indicators were used in interpreting the results: 1) Sub - project Utilization, Organization and Management, Institutional Linkage and Finance.

Numerical Rating	Description	Adjectival Rating
1	Indicator is not functional, unresponsive or not present at all; there are no proofs of verification	Poor
2	Indicator is fairly functional or responsive; proofs of verification are available but incomplete or not yet executable.	Fair

Numerical	Description	Adjectival
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Rating		Rating
3	Indicator is functional or responsive; proofs of verification are available but incomplete or not yet executable.	Satisfactory
4	Indicator is functional or responsive; proofs of verification are available, complete and executable.	Very Satisfactory
5	Indicator is fully functional and responsive; proofs of verification are available, complete, executable, properly filed and of high quality.	Excellent

a. Physical / Technical

Numerical rating	Degree of defects / Damage
1	More than 50% of the whole structure
2	25% to 49% of the whole structure
3	5% to 24% of the whole structure
4	1% to 5% of the whole structure
5	0% of the whole structure

b. Computation of final rating

Adjectival Rating	Range of Final Score
Excellent	4.76 – 5.00
Very Satisfactory	3.51 – 4.75
Satisfactory	2.75 – 3.50
Fair	2.50 – 2.74
Poor	2.49 and below

Documentary Analysis. Records of barangay profile and Means of Verification (MOV) or supporting documents of the implemented water system project in the barangay were examined. The following barangays were included in the study. Barangay Sugod of the Municipality of Tarangan; Barangay

Napurol of Municipality of Sta. Margarita and Barangay Cabungaan, Takut, Buenavista, Ilo and Basud of Municipality of Sto. Niño.

Sampling Procedure

The researcher used purposive sampling in considering the qualified participants of the study with the inclusion criteria as follows: a) The barangay should have existing water system project; b) Project should be pre-identified as leaders initiated and people initiated; c) The water system project should be pre-identified as success or failure by the municipality for leaders initiated and DSWD for people initiated. From these, the researcher chose one success and one failure water system projects which where leader - initiated and another one success and one failure water systems projects which where people - initiated.

The list of leaders and people's initiated barangays water system project in Western Samar were identified by the LGU and DSWD, respectively. It was also specified in the data from DSWD which projects failed or succeeded with the result of Sustainability Evaluation Tool (SET). Among the barangays from the DSWD list, the researcher chose two barangays with "Very Satisfactory" and "Poor" ratings.

The leader - initiated water system project was determined by the researcher. Letter of request was sent to different municipalities to get data on completed water system project implemented in the barangay. After which, the researcher conducted the Sustainability Evaluation Tool (SET) to the four

barangays identified in the list. Only two of the four barangays were chosen as participants in the study because the other two barangays had incomplete data.

The following were the barangay participants of the study:

Leaders Initiated		Peoples' Initiated	
Success	Failure	Success	Failure
LGU - Led of Sto. Niño (Brgy. Takot, Buenavista, Basud, Illo.)	Brgy. Napuro I of Sta. Margarita	Brgy. Sugod of Taranganan	Brgy. Cabungaan of Sto. Niño.

Data Gathering Procedure

Quantitative and qualitative data were gathered from January 20 to February 8, 2017 by the researcher through the following procedures:

Quantitative. The researcher asked permission from DSWD the lists of people's initiated completed water system projects with their barangay profile and SET results. Furthermore, the list of leader - initiated completed water system projects was asked from the LGU of Taranganan, Sta. Margarita and Sto. Niño. The SET was also conducted to the leader - initiated projects to determine if the said project was a success or failure.

Qualitative. The guide questionnaire for focused- grouped discussion (FGD) was conducted to the barangay-participants to get the data on how the water system project was planned and implemented. Matters on project planning process along proposal, technical and other documents preparation, and procurement method were used for water system for structure and mechanisms

implementation along the request for funds be discussed also during the FDG. Issues encountered during planning and implementation of the projects were also stated in detail by the participants.

FGD Guide Questions

Themes	Guide Questions
Project Planning Process	
Proposal, technical & other documents preparation.	<ul style="list-style-type: none"> • Who prepared the necessary documents for the water system project?
Project Planning Process	
Proposal, technical & other documents preparation.	<ul style="list-style-type: none"> • How long did it take for the communities or LGU / BLGU to prepare the proposal and other documents? If on time or beyond timeline, what were the reasons? • Which documents / activities usually take the longest time to prepare? Why? What actions were undertaken to address this?
Procurement method used for water system	
	<ul style="list-style-type: none"> • What procurement method was used? Was it effective? In what ways? • What common issues / problems were encountered? What caused these? What actions were taken?
Structure and Mechanisms of implementation	
Requests for funds for prioritized projects	<ul style="list-style-type: none"> • How long did it take for funds to be downloaded to the community account / LGU / BLGU? Did it comply to the agreed time frame? • What were the facilitating or hindering factors for the release of funds? • What are the common causes of the delay in downloading of funds? What actions were undertaken?

Themes	Guide Questions
Structure and mechanisms of implementation	
Implementation of projects	<ul style="list-style-type: none"> • How the LGU / BLGU / communities mobilized the projects? How did you ensure that workers consisted of different community members? • Did water system take time to be completed? What caused this? • What were the reasons of delayed completion of the water system? What caused these? What actions were undertaken?

Statistical Treatment of Data

This study employed statistical tools used in data analysis and interpretation.

Frequency count. This statistical tool was used to summarize the demographic barangay profile such as the number of sitio, number of households, and number of household with no access to safe water.

Percentage. This statistical tool was measured to describe the demographic barangay profile and sub - project sustainability evaluation tool indicators such as sub-project utilization, organization and management, institutional linkage, finance and physical/technical

Mean. This statistical tool was used to get the average annual income per household in the barangay and analyze of SET results.

Chapter 4

PRESENTATION, ANALYSIS AND INTERPRETATION OF DATA

This chapter contains a detailed presentation, analysis and interpretation of the data in accordance with the questions specified in this study. This includes the profile of barangay – participants, nature of the project, status of water system projects in terms of utilization, organization and management, personnel management, financial management, physical / technical management and linkages, and factors that contribute to the success and failure of the water system projects in the barangay.

Demographic Profile of the Barangay Participants

This section presents the demographic profile of the barangay participants according to their basic barangay profile, socio - economic, and core local poverty indicator in access to safe water.

Basic Barangay Profile. The data in table 1 shows the profile of the barangay participants. It can be observed that most of the barangay participants who were included in the study are from the municipality of Sto. Niño comprising five out of seven barangays or 71 percent. It is also reflected that Barangay Buenavista of Sto. Niño has the most number of sitios (eight) and Barangay Sugod of Tarangnan has the least sitios (two). The data further reveals

that Barangay Ilo has the most number of households which is 360 and Barangay Sugod has the least which is 201.

The data also shows the average monthly income per household in every barangay ranging from Php 2,500 to Php 4,000 and that out of seven barangay participants, only Barangays Sugod, Takut and Ilo have full access to safe water.

Table 1
Barangay Profile of the Participants

	Brgy. Sugod	Brgy. Cabungaan	Brgy. Napuro 1	Brgy. Takut	Brgy. Buenavista	Brgy. Ilo	Brgy. Basud
Municipality	Tarangnan	Sto. Niño	Sta. Margarita	Sto. Niño	Sto. Niño	Sto. Niño	Sto. Niño
No. of Sitos	2	5	7	7	8	4	5
Total							
Number of Households	201	253	376	244	367	380	335
Average monthly income of households	3,300	3,000	4,000	2,500	4,000	2,500	3,333
Number of households with access to safe water	100%	79%	82%	100%	86%	100%	85%

Nature of the Project

This section presents the title and description, the purpose of the project, type of initiative, project planning process, structure and mechanics and issues of implementation, and source of fund.

Table 2 shows two perspectives on how the water system project was implemented - either through people-initiated or leader-initiated. From people-initiated, it shows how the community volunteers took a big part in the

implementation of the water system emphasized during the creation of community volunteers as part of the implementation cycle. From planning process, the volunteers took the lead in the preparatory data gathering such as preparation of proposal preparation, legal documents of DED, and other pertaining documents needed to be submitted for the request of funding. Even the barangay officials of Sugod and Cabungaan shared their cash counterpart and opening of the community accounts for the project implementation of water system.

Moreover, in the implementation phase, both barangays had the commonality where volunteers had a big impact in realizing the completion of their project. The fact that both used the community force account means that the procurement was initiated until implementation phase of the project where the main actors were the community volunteers by following the process cycle of the project design. Also, it shows how the processes were laid down to their communities at the venues during series of barangay assemblies and meetings. Somehow their volunteers were being transparent in any information dissemination or decisions being made. It was a big opportunity how the communities participated in the construction of their project by which they also benefited in hiring through skilled workers and laborers who contributed in their income generating activity in the community.

An empowered community volunteers, who took the lead of the implementation of their water system project, showed the active participation of

the community in recognizing their efforts and realizing their priority needs in the community. The difference between Sugod and Cabungaan people's initiative project is the support of the Sugod barangay officials to the community volunteers from the project planning to completion. In fact, Sugod at present has a community organization known as Sugod Lana Water Sanitation Association (SULWASA) sustaining their water system. On the other hand, barangay Cabungaan volunteers had difficulty collaborating with the barangay officials from planning until the implementation phase of their project. Even the assigned monitor from the LGU recognized the big impact of the lack of support from the said barangay officials of Cabungaan.

In terms of leader-initiated project, the LGU-led activity of Sto. Niño, Samar and the BLGU Napuro 1 commonalities were: (1) funds came from the national office; (2) procurement was initiated through bidding process and implementation phase was by contract. Aside from their commonalities, both were part on the monitoring process while the construction was ongoing and the end user (LGU and BLGU) maintain the project and its sustainability.

It was emphasized that the two leader-initiated projects were implemented as a partnership activity with other government agencies. But then, these two showed how typical the system is in implementing project in the LGU or at the barangay level. They have the same process undertakings. What makes these two distinct from each other is that the LGU-led project of Sto. Niño, Samar with four barangay recipients faced many challenges during implementation.

This resulted disinclined planning by the other partner agencies causing delays in the implementation. Somehow the monitoring team from the LGU recognized the importance of a thorough planning and site validation to reflect the exact data in their design, not the other way around as they called it as "table survey".

While the BLGU of Napuro 1 shows the totality of implementation phase by the concerned agency only and also a big impact as to the result of their project because BLGU's only participation was simply monitoring and compliance of the required documents. The barangay officials in fact recognized that the community had no capacity to run the project due to unavailable technical persons therefore, BLGU waited until the water system has been turned over to them.

Barangay Sugod of Tarangnan. This barangay is a recipient of "Kapit-bisig Laban saKahirapan - Comprehensive and Integrated Delivery of Social Services (KALAHI-CIDSS) of the Department of Social Welfare and Development (DSWD) funded by the Additional Funding for the World Bank. It is the main poverty reduction program of the Government of the Philippines that seeks to apply participatory, community-led and community-driven approaches.

Addressing the water scarcity in the community and to have an accessible & safe water supply, the community of barangay Sugod prioritized the construction of Level II Gravity Fed Water Supply System in the development of water source, storing and distributing water to communal faucets with procurement method used through Community Force Account. To materialize the

water system project, the community conducted series of meetings and assemblies, created a community volunteers and established collaboration with stakeholders. Volunteers initiated the proposal preparation, facilitated the lot deed of donation and were assigned to different work project committees. The Barangay Council of Sugod extended cash assistance counterpart to the project implementation and at the same time opened a new community account solely for the water system project.

In the implementation phase of the project, meetings were initiated by the Procurement Team Volunteers to accomplish the documents needed for canvassing materials for the water system. Skilled workers, foreman, and laborers were hired from the community to participate in the construction of water system, prioritizing the volunteers from the community. Rotation of workers was implemented to facilitate more laborers from the community. The BLGU also participated in joint monitoring to ensure the timely and quality outcome of the project. The time keeper volunteers were in-charge of the salaries of the workers and checked the completeness and consistency of the daily time records sheets (DTRs) in the logbook. On the process of construction, the community also created an organization, and applied for the accreditation in preparation for the operation and maintenance group of the water system project. The SULWSA elected Board of Directors (BOD) assigned in creating the organizational policies, the tap stand collector was then created and assigned in the collection of every container, and a plumber in charge in the maintenance of

the project. The BLGU also assisted the organization through manpower, financial and technical expertise.

There were only minimal issues encountered during the implementation phase, the owner of the first identified source of water did not allow the construction of the intake box. Bad weather condition occurrence caused delay of the construction and delayed laborers' salaries.

From planning to implementation phase of water system project in Brgy. Sugod, the volunteers played an active role with the full support of the barangay LGU. At present, they have a functional group organization that is being managed well.

Barangay Cabungaan of Sto. Niño. This barangay is a recipient of "Kapit-bisig Laban sa Kahirapan - Comprehensive and Integrated Delivery of Social Services (KALAHI-CIDSS) of the Department of Social Welfare and Development (DSWD), the main poverty reduction program of the Government of the Philippines that seeks to apply participatory, community-led and community-driven approaches funded through a grant by the Millennium Challenge Corporation.

The insufficiency of the water supply in the community of barangay Cabungaan led to the request for funds for their priority projects which is the Construction of Level II Water Supply System. It involves the development of water source, storing and distributing water to communal faucets. The procurement method was used and implemented through Community Force

Account. It was through the efforts of members of barangay Cabungaan that the water system project has been realized. Through Participatory Situational Analysis (PSA), the volunteers identified the key problems of the community which caused poverty along with the possible solutions to address these. It was during the barangay assembly that PSA results were represented and the majority identified the primary problem on the scarcity of their access to safe water and arrived at a resolution to construct a water system. Volunteers of the community together with barangay secretary were assigned to gather data and accomplish the needed documents. The BLGU of Cabungaan also gave their cash counterpart at the same time they opened a separate account intended for the water system construction.

The conduct of barangay assembly was made to inform the community of the downloaded funds for the water system project. After such, the Procurement Team Volunteers prepared the necessary documents and the materials needed for the construction of the water system. Rotation of hired skilled workers and laborers was implemented to facilitate more workers from the community. Part of their salaries is being donated as way of "Bayanihan" and avenue of sharing their strong support to the said project. Workers were paid on weekly basis and being monitored by the timekeeper volunteer.

They created an organization to handle the operation and maintenance of the project. Initially, there were already set of officers and prepared documents

for accreditation but it did not materialize due to the intrusion of the previous administration.

The journey on the completion of the water system of the community of Cabungaan was not easy especially from the part of the volunteers. They encountered difficulty in collaboration and partnership with the BLGU. The barangay treasurer was not able to process immediately the compliance of the documents for the opening of the account causing the delay of the project implementation. The absence of barangay officials during meetings and assemblies, their lack of support to the project and changing of project design without consultation from the LGU added to the delay.

Barangay Napuro 1 of Sta. Margarita. Is a recipient of Department of Interior and Local Government Unit (DILG) who availed the funds coming from the national office. The project identified by the community is the Construction of Level II Gravity Fed Water Supply System that involves the development of water source, storing and distributing water to communal faucets with the procurement bidding by contract.

Providing sufficient water supply creating a sustainable project to the community was the main purpose of the barangay councils of Napuro 1. They made a resolution to request funds from DILG. The water system project was granted and initiated by the national office of DILG through procurement process, bidding and construction of water system by contract. The BLGU together with local government unit of Sta. Margarita was in charge of the

monitoring of the water system project implementation. Eventually, the responsibility to maintain and sustain the water system project was turned over to the BLGU of Napuro 1 after its completion.

There was a delay in the implementation process because the documents for clearances from the lot owner was not submitted on time. In effect of non-submission, the request for fund was not approved.

The barangay also encountered problems in relation to operation and maintenance since the community did not want to pay the tariffs. Expenses for some repairs of pipe and faucets damages were charged to BLGU fund.

Barangay Takut, Buenavista, Basus and Ilo of LGU Sto. Niño. The island Municipality of Sto. Niño Samar was identified by the DILG to be the recipient of SALINTUBIG project. This water system project is an LGU-led activity in partnership with the DILG. The preparation for the proposal and feasibility study and other necessary documents required was facilitated by the LGU of Sto. Niño. A separate account exclusive for the water system and the processes was undertaken by the LGU presented through public hearing to the four barangays which were the beneficiaries of the said project namely: barangays Buenavista, Takut, Basud, and Ilo. The procurement process was initiated by the LGU through bidding and by contract in the construction of the project. The DILG also outsourced the Local Water Utilities Authority (LWUA) as partner assigned to the design of the water system project. The fund intended for the project was downloaded in advance to LGU.

Table 2
Nature of the Projects

Components	Sugod, Tarangnan Samar	Cabungaan, Sto. Niño Samar	Napuro 1, Sta. Margarita Samar	Takut, Buenavista, Ilo, Basud, Sto. Niño Samar
Title	Construction of Level II, Gravity Fed Water Supply System	Construction of Level II, Gravity Fed Water Supply System	Construction of Level II, Gravity Fed Water Supply System	Construction of Level II Potable Water Supply
Description	<ul style="list-style-type: none"> Involves development of water source, storage and distribution to communal faucets, and procurement through Community Force Account. 	<ul style="list-style-type: none"> Involves development of water source, storage and distribution to communal faucets, and procurement through Community Force Account 	<ul style="list-style-type: none"> Involves with development of water source, storage and distribution to communal faucets, and procurement through biddings and contracting 	<ul style="list-style-type: none"> Involves with develop of water source, storage and distribution to communal faucets, and procurement through biddings and contracting
Purpose	<ul style="list-style-type: none"> To address water scarcity To have accessible & safe water supply 	<ul style="list-style-type: none"> To have sufficient water supply 	<ul style="list-style-type: none"> To provide sufficient and water supply to the community To create a sustainable project to the community 	<ul style="list-style-type: none"> To provide access to safe water in waterless municipality To enhance the capacity of the LGU water service providers in the planning, implementation, and operation of water supply facilities
Type of Initiative	People-initiated	People-initiated	Leader-initiated	Leader-initiated

Table 2 continued

Components	Sugod, Tarangnan Samar	Cabungaan, Sto. Niño Samar	Napuro 1, Sta. Margarita Samar	Takut, Buenavista, Ilo, Basud, Sto. Niño Samar
Planning Process	<ul style="list-style-type: none"> • Volunteer-prepared Proposal; Project Cycle oriented • Assigned committees; Land donated • BLGU cash counterpart • With Independent account for the water system 	<ul style="list-style-type: none"> • PSA • Volunteer-participated • BLGU cash counterpart 	<ul style="list-style-type: none"> • Barangay Council made resolution requesting funds from DILG Central. • Lot owners legally donated site for source of water • Site inspection of water source 	<ul style="list-style-type: none"> • LGU prepared proposal and feasibility study • LWUA contracted by DILG to design the project • Funds for project made available prior to planning • Created independent account for water system • Procurement by bidding and contracting
Structure Implementation	<ul style="list-style-type: none"> • Meetings • Committee assigned volunteers • Procurement Team (CV) • Skilled workers • Laborers • Foreman • BLGU • Community • Time Keeper • SULWSA Organization 	<ul style="list-style-type: none"> • Barangay Assembly • With Procurement Team • Volunteers • Skilled workers • Laborers • “Bayanihan” • Time keeper 	<ul style="list-style-type: none"> • National Office (DILG) • Barangay Council • Private Contractor 	<ul style="list-style-type: none"> • DILG • LWUA • LGU Sto. Niño
Implementation Issues	<ul style="list-style-type: none"> • Intake Box initially opposed by the land owner • Inclement weather • Delayed wages of laborers 	<ul style="list-style-type: none"> • Initial lack of facilitation of bond premium by BLGU Treasurer • Lack of dedication and unconditional service by the BLGU Treasurer • Unproductive intervention by 	<ul style="list-style-type: none"> • Delayed processing of documents for procurement of funds • Uncertainty in the availability of funds • Difficulty in deciding whether to collect tariff 	<ul style="list-style-type: none"> • Delayed implementation due to discrepancy between design and • implementation • Procurement of materials delayed due to typhoon Yolanda

Table 2 *continued*

Components	Sugod, Tarangnan Samar	Cabungaan, Sto. Niño Samar	Napuro 1, Sta. Margarita Samar	Takut, Buenavista, Ilo, Basud, Sto. Niño Samar
Implementation Issues		the BLGU on original plan, and BLGU head absence during meetings • Volunteers recognized partisan politics & personal interest to have affected project design and	• Parts of distribution line were broken and missing	
Source of Funds	World Bank DSWD KALAHICIDDS	Millennium Challenge Corporation (MCC) DSWD KALAHICIDSS	National Budget under DILG	DILG Salin-Tubig Project
Project Cost	492,801.00	1,164,215.04	No data available	7,690,273.34

In the implementation of the SALINTUBIG Project in the LGU Sto. Niño, there were issues identified causing some delay. First, discrepancy from the design created by LWUA to the actual area from where the water system was constructed. They were not able to anticipate the slope location of the source of water and more lot owner were affected for the construction of transmission line from the source. Second, due to Yolanda typhoon, it affected the delivery of the materials since the suppliers were from Manila.

The discrepancy of the design during actual implementation resulted to the conduct of variation order and the re-survey of the location and the change of route of transmission to distribution line.

Status of Sustainability of the Water System Projects

This section presents the status of water system projects based on the following components: project utilization, organization and management, personnel management, financial management, physical / technical management and linkages.

The SET conducted to the two implementation initiatives (people and leaders) in the water system project with the objectives to determine the functionality of completed project and resulting benefits, to assess sustainability performance and actual utilization of completed project (planned vs. actual) and to evaluate also the community sustainability program along with various components derived both the success and failure results of the project.

Barangay Sugod of Tarangnan Samar. The said barangay gained an adjectival rating of "Very Satisfactory (VS)". It shows that the water system of the community is sustainable and some components are properly attended.

Factors that contributed to VS rating are: (1) they were able to exceed the targets households who benefited the water system; (2) they have accredited and functional SULWSA organization; (3) they have strong linkages from BLGU that became their support system as to financial, technical expertise, & supplies; (4) they formulated policies for the tariff which led to the support of the maintenance of the project; (5) they were able to manage the structure of water system; (6) only minor physical defects of the current water system needed repairs.

and with the functional available tools and equipment, this will possibly be addressed,(7) and households have 100% access to safe water.

Barangay Cabungaan, Sto. Niño Samar. The said barangay gained an adjectival rating of "Poor". Contributory factors for the poor rating are: (1) inability to materialize the created organization; (2) establishment of collection policy but with no actual tariff collected; (3) presence of leaks and damaged pipelines from transmission and distribution; (4) service extended to less than the target beneficiaries due to lack of tap stand and no existing bank account exclusive for the tariff of water.

Although the physical structure of the water system intake box is still good and serviceable, there is still a need to revisit and formulate policies especially on the operation, maintenance and collection tariff.

Barangay Napuro 1, Sta. Margarita Samar. This barangay gained "Poor" adjectival rating. The contributory factors for the poor rating are: (1) the physical status needed a major repair since all tap stands and pipelines were already damaged; (2) no existing organization managing the water system project; (3) no tariff collection; (4) and no partnership and linkages.

Barangay Takut, Buenavista, Basus and Illo of LGU Sto. Niño. The Local Government Unit of Sto. Niño, Samar was identified as recipient of the water system project Sagana at Ligtas na Tubig Sa lahat (SALINTUBIG). The LGU gained a "Very Satisfactory (VS)" rating result.

Table 5
Status Sustainability of Water System Projects

Component	People Initiated			Leader Initiated			
	Brgy. Sugod (Tarangnan)	Brgy. Cabungaan (Sto. Niño)	Brgy. Napuro 1 (Sta. Margarita)	Brgy. Takut	Brgy. Buenavista	Brgy. Ilo	Brgy. Basud
Project Utilization (15%)	3.15	1.95	2.25		2.7		
Organization & Management (20%)	2.0	0.8	0.6		1.2		
Linkages (10%)	1.0	0.2	0.3		0.6		
Financial Management (15%)	4.5	1.65	1.2		2.4		
Physical Management (40%)	12.4	7.2	6.4		12.8		
Final Rating	23.05	11.8	10.75		19.7		
Numerical Rating	4.61	2.32	2.15		3.94		
Adjectival Rating	Very Satisfactory	Poor	Poor		Very Satisfactory		

Legend:

Excellent	-	4.76 - 5.00
Very Satisfactory	-	3.51 - 4.75
Satisfactory	-	2.75 - 3.50
Fair	-	2.50 - 2.74
Poor	-	2.49 and below

Contributory factors for the VS rating are: (1) provided a 24-hour per day service to the community; (2) has a strong partnership with the agency of DILG; (3) LGU utilized the MPDS and Engineering Unit offices for the operation and maintenance of the existing water system; (4) still functional structures of water system from the intake box, reservoir, pipelines from transmission to distribution

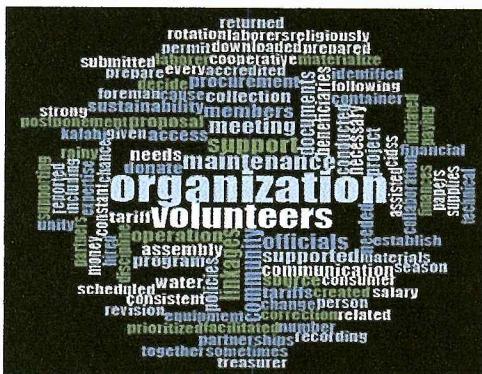
to the tap stand; (5) well-maintained physical structure; (6) and served target beneficiaries.

Factors that Contribute to the Success of the Water System Project in the Barangays

This section presents the factors that affected the process of project planning and implementation.

People - Initiated

P 1 (Brgy. Sugod, Tarangnan Samar) Success Project



P 2 (Brgy. Cabungaan, Sto. Niño) Failure Project



Leaders - Initiated

P 3 (LGU-Led Sto. Niño Samar,
Brgy. Buenavista, Takut, Basud & Ilo)
Success Project



P4 Brgy. Napuro 1 (Sta. Margarita) Failure Project



The data from the focused – group discussion has been analyzed using NVIVO11. Participants were asked pertaining to the project planning process and the structure and mechanisms of implementation. Common factors that emerged for barangays with successful water system project implementation are:

Meeting / Assembly Participants mentioned about having a regular meeting for the water system project implementation. Through meetings, it encouraged public participation and provided opportunity for both agency and public to communicate and make decisions. Communication can be a means of an accurate and timely information dissemination and can contribute to a sustainable decision-making (Wouters, et al. 2011). The following are the responses of the participants:

“A public hearing was held before the implementation” P3

“They conducted a meeting after the money has been downloaded” P1

“The meeting was initiated by the volunteers and assisted by the officials” P1

“They had meeting on what are the materials needed for the project” P1

“We had a meeting and assembly.” P1

“We conducted assessment and planning for the water system project and together with the barangay officials, we discussed resolutions to the existing problems and conflicts.” P3

Characteristics of Participants. Attitude of participants are dependent on how they attribute success or assign causes. As what Heider emphasized, the

causes of success can either be attributed to internal or external factor (McLeod, 2012). A person who attributes their success to themselves is more likely to have high motivation for work and has a strong effect both on person's performance and managerial effectiveness (www.referenceforbusiness.com).

Discipline, being cooperative and communication are some of the factors that participants identified for the success of the project

"People are cooperative, with discipline, united and follows the policies" P1

"Communication plays a big part in the barangay" P3

"Meetings and assemblies are very helpful in the success of the project" P1

"The community are cooperative to the LGU" P3

"Good communication within the organization and the beneficiaries" P1

This may also be explained by the concept of Servant Leadership Theory of Robert Greenleaf that if leaders will focus on the needs and desires of followers, followers will reciprocate through increased teamwork, deeper engagement, and better performance (Burkus, 2010).

"We have common goal which is to have a sustainable project" P1

Strong Partnership and Linkages. The strong relationship built between officials and other agencies and community also contributed to the success of the project implemented in the barangay level. The involvement of the local government and communities aided the preparation, planning, implementation, and management of project. The success of projects will require to

strengthen local capacity and build institutions that operate and maintain the project (WSP, 2004).

"Our municipality was able to establish support from the DILG" P3

"The municipality formally establish connection to DILG and LWLIA for the implementation of water system project" P3

"The office of the MPDC create partnership to the office of budget and treasurer for the allocation of financial support for the operation and maintenance" P3

"Because of the good implementation of our Municipality Sto. Niño we are able to have additional funding from DILG, our mayor Coñejos was able also to have another funding from BUB in the office of DILG that allow us to have an expansion of our existing water system project" P3

"We from the barangay together with our officials went to DSWD KALAHII in our municipality to ask what probable project we can have, we kept on returning to the office just to comply the required documents to submit. It is also through the community facilitator assigned in the barangay that we constantly talk about the things we need to do" P1

"We the officials of the barangay supported the organization through financial support so that can manage the group well" P3

"Partnership with LWLIA for planning the design" P3

"LGU give their counterpart for the project through financial assistance while the community donated the lot." P3

"This project is a collaborative effort from the DILG together with the officials of the municipality and our barangay. This is intended to implement good project" P3

"Collaboration with the DILG" P3

"Collaboration and partnerships from the organization and BLGU" P1

According to the Collaborative Leadership Theory of David Chrislip and Carl Larson, collaboration can produce tangible results. Within successful collaboration, it can produce a "steering" group responsible for moving a strategy to action (Geplaatst, 2012). Relationship built within the partnership and linkages can improve human relations, increase of productivity, and may result to a high morale of workers as pointed out by neoclassical theorists (Shafritz, 2011:8).

Another way to collaborate is through joint monitoring. It plays an important role in the success and failure of the project implemented. It is necessary to design programs which adopt a multidisciplinary / multi-sectoral approach that (1) has careful assessments to a certain critical point in the implementation stage in order to determine the extent and the manner of linkages between the various programs components that have been established (2) determines the impact of the program on the living condition of their intended beneficiaries, and (3) gives importance on the impact of sustainability (Calling, 1991:3-5).

"During the joint monitoring of LGU and DILG they found out that there is problem between the right of way that lead to stop the project temporarily and comply first the necessary documents." P3

Coordination. Issues arises within the planning and implementation stage, but LGU and community resolved the conflict through proper communication and coordination. Bennis and Sheperd's put emphasis on the importance of communication in a group to address conflicts (Kline, 2003).

"There was a coordination between the LGU and the land owner that will be affected by the project" P3

"LGU initiated in resolving the gaps during implementation." P3

"LGU also who facilitated in resolving issues in the community." P3

"There is a joint effort within the municipality and the barangay in finding solutions to problems." P3

"We fast tract the submission of documents and coordinated with community facilitator and KALAH!" P1

Organization. System approach theory states that an organization operates as a system and is interconnected and that success is dependent on the individual or organization, linking process and goal (Heylighen, 1998). One contributory factors to the success of the project implemented in the barangay was the functional organization in the community. Through them policies about

tariff were crafted and implemented. Operation and maintenance group was also organized. This also hold true to the study conducted by Bautista in 2010 that because of the high performance of the association, it resulted to a very high outcome during harvest.

"Yes, we submit for the accreditation of our organization in NIA" P1

"Yes, since from the start until now is it the Sugod Lanang Water System Association to sustain and maintain our water system" P1

"BLGU also give their part to the association, if the organization lacks budget for the payment of the motor it is the barangay council who shoulder the expenses. P1

"The BOD made policies to support the operation of the organization and for the maintenance of the project" P1

"Yes, we have Tariffs, we pay 1 peso per container." P1

"Operation and Maintenance group was assigned to the LGU" P3

"Establish a group for Operation and Maintenance under MPDC office and Engineering Unit" P3

"Structure of the water system is being monitored weekly to check the condition of pipes and taps stands" P3

The study of Bula (2007) mentioned about the importance of organization in undertaking a project. Through the organization, the water system project implemented in selected barangay in Sarangani province improved the lives of the community due to access to safe water supply. The said organization also

maintained the water system project effectively and efficiently making it self - sustaining.

Based from the focused - group discussion conducted, regular meeting and assembly of beneficiary, strong partnerships and linkages, coordination between the project implementers and beneficiaries and the existing functional organization contributed to the success of water system projects implemented in the barangay level.

Chapter 5

SUMMARY OF FINDINGS, CONCLUSION, AND RECOMMENDATION

This chapter presents the summary of the major findings of the study, conclusions drawn, and corresponding recommendations formulated based on the results of the data analysis undertaken.

Summary of Findings

The following were the findings revealed by this study:

1. The average monthly income per household in every barangay ranged from Php 36,000 to Php 48, 000.
2. Three out of seven barangay participants had full access to safe water which included Barangays Sugod, Takut and Ilo.
3. Water System Project which was people-initiated were Barangay Sugod of Tarangnan and Barangay Cabungaan of Sto. Niño while leader-initiated were Barangay Napuro 1 of Sta. Margarita and barangays of Sto Niño, Takut, Buenavista, Basud, and Ilo.
4. The water system projects of barangay participants were all Level II gravity-fed water system.
5. All water system projects of barangay participants involved development of water source, storage and distribution to communal faucet.

6. Procurement method used by the barangay participants pre-identified as people-initiated (Barangay Sugod of Tarangnan and Barangay Cabungaan of Sto. Niño) was through community force account while the barangay participants pre- identified as leader-initiated (Barangay Napuro 1 of Sta. Margarita, Barangay Takut, Beunavista, Basod, Ilo of Sto. Niño) was through a bedding process and contract.

7. The water system projects of Barangay Sugod of Tarangnan and Barangay Cabungaan of Sto. Niño were funded by World Bank and Millennium Challenge Corporation while Barangay Napuro 1 of Sta. Margarita was funded by DILG National Office and LGU-led of Sto. Niño comprising the four Barangays of Takut, Buenavista, Basod and Ilo were under the SALINTUBIG project of the DILG.

8. Out of seven barangay participants, only Barangay Sugod of Tarangnan Samar had an existing functional accredited and registered organization.

9. Among the seven barangay participants, only Barangay Sugod of Tarangnan had a tariff with a regular collection of Php 1 per container.

10. For Barangay Cabungaan of Sto. NiñoSamar, the barangay captain officials and treasurer were uncooperative. They seldom attended meetings and assemblies and the project design was changed without consultation from the assigned monitor thuscausing the delay of the implementation.

11. The creation of an organization for Barangay Cabungaan that would handle the operation and maintenance of the project was not materialized due to the intrusion of the previous administration.

12. The completion of the water system of the community of Cabungaan in partnership with the BLGU encountered difficulty.

13. The gathered documents for clearances from the lot owner was not submitted on time resulting the delay of implementation process and approval of fund.

14. The community of Napuro 1 Sta. Margarita, Samar encountered problems in the operation and maintenance with water system project because the community did not want to pay tariffs.

15. Using SET, Barangay Sugud of Tarangnan Samar had a numerical rating of 4.61 which can be interpreted as "Very Satisfactory". The contributory factors for good rating were: (a) exceeded number of households' target and added number of tap stand; (b) functional accredited organization; (c) formulated tariff policy and regular collection, and (d) available tools and equipment used for repair.

16. Using SET, Barangay Cabungaan of Sto. Niño Samar had a numerical rating of 2.32 interpreted as "Poor". Contributing factors for poor rating were due to the following: (a) unable to materialize the registration of the organization; unable to follow the original plan for the number of tap stand; (b)

unable to establish linkages to support the operation and maintenance of water system, and (c) no financial management structure.

17. Using SET, Barangay Napuro I of Sta. Margarita Samar had a numerical rating of 2.15 interpreted as "Poor". The contributory factors for the poor rating were: tap stand was not functional (a) unable to establish partnership to support the operation and maintenance, and (b) most of the pipe lines were already damaged that caused the leak.

18. Using SET, LGU-led project of Sto. Niño, Samar had a numerical rating of 3.76 interpreted as "Very Satisfactory". The contributory factors for the good rating were the following: (a) was able to provide 24-hours service of water supply; (b) LGU provided a unit that sustained the operation and maintenance of the water system project with an ongoing partnership with the DILG and an additional fund under BUB for the expansion of the water system project.

19. The regular meetings or assemblies conducted for the planning and implementation of the water system projects contributed to the success of the project implementation.

20. Participants' attitude such as being disciplined, cooperative and good communication led to the success of the water system project implemented in the barangay level.

21. The established partnership and linkages with the community and other agencies also contributed to the success of the water system project implementation.

22. The planning and implementation stage coordination as well as good communication played a vital role in resolving conflict through negotiation.

23. The current functional organization addressed the operation and maintenance of the water system project and at the same, it managed and created policies which helped the project succeed and sustainable.

Conclusions

The following conclusions were drawn based on the findings of the study:

1. The average monthly income per household of the barangay participants was below the poverty line and only three out of seven barangay participants had 100% access to safe water.

2. Successful people-initiated project was in barangay Sugod of Tarangan and for leader-initiated was from LGU- led of Sto. Niño.

3. The type of water system projects implemented were all Level II gravity-fed which meant that the distribution of water source was through communal faucet.

4. The procurement methods used by the barangay participants were through community force account, bedding process and contract.

5. The water system projects in the barangay were either funded by World Bank, Millennium Challenge Corporation, National Office or under the SALINTUBIG project of the DILG.

6. SULWASA from Barangay Sugod of Tarangnan, Samar was the only functional, accredited, registered organization with tariff policies and collections.

7. The water system project in Barangay Cabungaan of Sto. Niño, Samar was delayed and turned out to be a failure because of the following reasons: (a) uncooperative barangay captain, officials and treasurer; (b) few attendance in meetings and assemblies;(c) changed project design without consultation from the assigned monitor; (d) intrusion of the previous organization how an organization should be created, and;(e)the community encountered difficulty in collaborating with the BLGU.

8. The water system in Napuro 1 of Sta. Margarita also encountered a delay and failure in the project implementation due to the following reasons: (a) the gathered documents for clearances from the lot owner were not submitted on time and (b) the community did not want to pay the tariff that affected the operation and maintenance of the water system project.

9. Barangay Sugud of Tarangnan Samar had a "Very Satisfactory" rating with a numerical value of 4.61. This was attributed to the following: (a) exceeded number of households' target and added number of tap stand; (b) functional accredited organization; (c) formulated tariff policy and regular collection, and (d)tools and equipment were available that can be used for repair.

10. Barangay Cabungaan of Sto. Niño Samar had a "Poor" rating with a numerical value of 2.32. This was due to the following: (a)the registration of the

organization was not materialized; (b) unable to follow the original plan for the number of tap stand; (c) unable to establish linkages to support the operation and maintenance of the water system, and (d) there was no financial management structure.

11. Barangay Napuro I of Sta. Margarita, Samar had a "Poor" rating with a numerical value of 2.15. This was attributed to the following: (a) tap stand was not functional; (b) unable to establish a partnership to support the operation and maintenance, and (c) most of the pipe lines were already damaged that caused the leak.

12. LGU-led project of Sto. Niño, Samar had a "Very Satisfactory" rating with a numerical value of 3.76. This was due to the following reasons: (a) they provided 24-hours service of water supply; (b) LGU provided a unit that sustained the operation and maintenance of the water system project; (c) LGU has an ongoing partnership with the DILG with an additional fund under BUB for the expansion of the water system project.

13. Based from the FGD, the factors common to the water system project implemented with successful results were the following: (a) conduct of regular meetings or assemblies for the planning and implementation; (b) disciplined, cooperative and good communication of beneficiaries; (c) strong partnership and linkages; (d) proper coordination and communication, and (d) functional, registered and accredited organization.

Recommendations

In the light of the findings and the conclusions of the study, it is recommended that

1. Readiness should be encouraged among the members of the community before the project planning. This would promote ownership, accountability and would prepare the required equity or return of investment necessary to make the project sustainable.

2. There should be an accredited organization to help the sustainability of the project being implemented and as an operation and maintenance group.

3. The importance of setting policies especially for tariffs collection should be promoted to support the operation and maintenance of the water system projects.

4. The target beneficiaries and officials should be involved in the planning and project implementation.

5. BLGU officials should establish strong collaboration, linkages and partnerships with different agencies and institutions to access financial support and technical expertise for the sustainability and maintenance of the project.

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APPENDICES



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November 11, 2016

VICTORIA M. TAFALLA, Ph.D.
 Dean, College of Graduate Studies
 Samar State University

Madam:

I have the honor to submit the following titles for my Thesis Proposal.

It is my earnest desire to study one of these titles for my Thesis preferably title number 1:

1. Case Studies on Implemented Barangay Water System Projects in Samar.
2. People's Participation: A community - based approaches for addressing the Urban Sanitation in Gandara Samar.
3. St. Thomas Aquinas view on the Right to Life vis - a - vis on the issue of Abortion among Samar State University Students.

I hope for your favorable action regarding this matter.

Respectfully yours,

(SGD)CHRISTOPHER BUTCH C. CAÑAL
 Researcher

APPROVED:

(SGD) VICTORIA M. TAFALLA, Ph.D.
 Dean, College of Graduate Studies

CGS Form 12



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October 10, 2016

TO: PANEL OF EXAMINERS

JOSE S. LABRO, Ph.D.	- Member
GAIL VELARDE Ph.D.	- Member
RONALD L. ORALE, Ph.D.	- Member
MARILYN D. CARDOSO, Ph.D.	- Member

May I ask you to be a member of the committee to evaluate the attached thesis title.

Please give your comments and suggestions which you will discuss with the proponent.

Thank you for your cooperation.

Very truly yours,

(SGD) VICTORIA M. TAFALLA, Ph.D.
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EVALUATION / RECOMMENDATIONS



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November 15, 2016

PEDRO S. CABRALES

College of Graduate Studies
 Samar State University

Sir:

Please be informed that you have been designated as adviser of **CHRISTOPHER BUTCH C. CANAL** candidate for the degree **MAED major in Social Science** who proposes to write a thesis entitled **Case Studies on Implemented Barangay Water System Projects in Samar.**

Thank you for your cooperation.

Very truly yours,

(SGD) VICTORIA M. TAFALLA, Ph.D.
Dean, College of Graduate Studies

CONFORME:

(SGD) PEDRO S. CABRALES
 Adviser

Project Sustainability Evaluation Tool (SET)

(For Gravity-type Water System Subproject)

Scope of Completed Project: Construction of Level II, Gravity Fed Water Supply System

Technical Description: Level II, Gravity Fed Water Supply System involves (1) development of water source, (2) storing and distributing water to communal faucets with the procurement method through the Community Force Account.

Location: Brgy. Sugod, Tarangnan Samar

Source of Implementation: Community Force Account

Group Managing the project: Sugod Lana Water System Association

P UTILIZATION

Degree of Responsiveness¹

1) a. Number of beneficiaries

Number of beneficiaries	Planned	Actual	Explanation of Variance
Households (total)	105	201	Growth number of households

5

2) Number of tapstands

- Actual: 12
- Planned: 9

In case planned vs. actual number do not match, explain why.

5

-Based on the distance of the houses and the growth of number of households

¹ This is the perceived/observed/experienced functionality (quality) of indicators, with 5 being the highest and 1 lowest.

SP UTILIZATION	Degree of Responsiveness ¹
	4
<p>Number of tapstands regularly used</p> <p><input type="checkbox"/> Actual No. of tapstands</p> <p><input type="checkbox"/> Number of tapstands regularly used: <u>12</u></p> <p>Explain variance, if any.</p> <hr/>	
<p>3) Project provides 24-hour per day service <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>If No, why?</p> <p>Not sufficient source of water from the reservoir, that's why the operation of water system it takes only 2 hours per tap stand and every household at least 4 container</p>	3
<p>4) Is there an instance where any particular person/HH/group is constrained or prevented from using the facility²? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>What are these instances?</p> <hr/>	4
<p>What is the decision of the O&M group to address these issue/s?</p> <hr/>	
<p>5) List down the top three benefits derived from the completed project</p> <p><input type="checkbox"/> Access safe water for drinking</p> <p><input type="checkbox"/> No difficulty for the household to fetch drinking water</p> <p><input type="checkbox"/> Good relationship were the community participate in the improvement of water system</p>	
<p>6) Does the O&M group have plans for expansion/extension/improvements/construction of additional structures? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>What are the plans?</p> <p><input type="checkbox"/> To put up additional reservoir for more water</p>	
<p>7) Has the project produced new problems for the community/barangay? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes, write down (by order of importance) the top three problems that project has produced.</p> <p><input type="checkbox"/> In times when the motor</p> <p><input type="checkbox"/> During brownout there is a problem to the rotation tap stand to be use</p>	

² A HH was not able to access potable water due to non-payment of tariff.

SP UTILIZATION	Degree of Responsiveness¹
GERAL NUMERICAL RATING (P Utilization – 15%)	3.15%

Key Areas	Yes or No	Degree of Responsiveness / Impact	Remarks³
ORGANIZATION AND MANAGEMENT			
<ul style="list-style-type: none"> O&M organization formed and registered and/or accredited <p>For “Yes” answer, the following should be met:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Record/minutes of formation and BA approval <input type="checkbox"/> List of Officers and members <ul style="list-style-type: none"> <input type="checkbox"/> Record of election/installation <input type="checkbox"/> Posted in the office <input type="checkbox"/> Proof/copy of registration or accreditation <input type="checkbox"/> Constitution and By-Laws duly approved by General Assembly 	Yes Yes Yes Yes	It was already submitted to the NIA as part of the process for the accreditation	
<ul style="list-style-type: none"> O&M Group is functional <p>The O&M Group should have the following to be considered functional:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Organizational Vision, Mission and Goals, and Long-term Strategic Plan formulated <ul style="list-style-type: none"> <input type="checkbox"/> Record of formulation, approval and adoption <input type="checkbox"/> Written and posted <input type="checkbox"/> Annual Operational Plan (including O&M plan with corresponding budget) prepared <ul style="list-style-type: none"> <input type="checkbox"/> Record of formulation, approval and adoption <input type="checkbox"/> Written and posted <input type="checkbox"/> Operational Policies formulated and implemented <ul style="list-style-type: none"> <input type="checkbox"/> Minutes of approval and adoption by the General Assembly (GA) 		5	

³ Comment on the responsiveness and overall quality of indicators/key areas. Include other observations as maybe appropriate.

Key Areas	Yes or No	Degree of Responsiveness / Impact	Remarks ³
Operation of O&M Group is managed well	Yes	5	<ul style="list-style-type: none"> • Twice a month there is a meeting • Policies were created
The organization should meet majority of the following indicators to warrant a "Yes" answer.	Yes		
<input type="checkbox"/> Regular meetings (BOD and General Assembly) conducted, including discussion of financial status (Income and Expenses, Balance Sheet)	Yes		
<input type="checkbox"/> Election of Officers conducted as indicated in Constitution and By-Laws	Yes		
<input type="checkbox"/> 50% + 1 Attendance in BOD/Officers' meetings	Yes		
<input type="checkbox"/> 50% + 1 Attendance in GA meetings	Yes		
<input type="checkbox"/> Conduct of periodic organizational assessments and planning	Yes		
<input type="checkbox"/> Proper Records management observed and Report to Oversight Agencies submitted on-time	Yes		
<input type="checkbox"/> Increase in Membership	Yes		
<input type="checkbox"/> Ability to resolve Conflicts without external intervention	Yes		
<input type="checkbox"/> Ability to provide other services to members (e.g. livelihood programs, credit, hospitalization, mortuary, etc.)	No		
<input type="checkbox"/> Staffing/Employment <ul style="list-style-type: none"> <li data-bbox="88 1695 659 1752">o Presence of complete staff and/or full-time employees <li data-bbox="88 1752 659 1884">o Provision of incentives to officers/employees (e.g., honorarium, SSS, Philhealth, allowances, non-cash benefits, etc.) 	No		
S: ds and Recognitions received (Recipient of			

Key Areas	Yes or No	Degree of Responsiveness / Impact	Remarks ³
•ds (local, regional, national)			
RALL NUMERICAL RATING Organization and Management – 20%)		.2%	
LINKAGES			
• O&M group is able to establish linkages with other organizations or institutions for support	Yes		<ul style="list-style-type: none"> • SIPLA organization • BLGU
Established linkages are: <input checked="" type="checkbox"/> Formal (with partnership agreements, MOA, etc.) <input type="checkbox"/> Informal		5	
: Networking and Linkaging may come in the form of (i) membership in federations, M/BDC; (ii) with other POs, NGOs, NGAs; or (iii) tie-up P/M/BLGUs.			
O&M Group is able to access support from partners referred to in No. 1	Yes		<ul style="list-style-type: none"> • Financial from BLGU of Sugod additional honorarium from plumber & repair also for the motor • Technical expertise in maintenance through BLGU • Supplies came from BLGU • Equipment for maintenance came from KALAHICIDSS Program •
If yes, what support were accessed? Please check all applicable answers. <input checked="" type="checkbox"/> Financial <input checked="" type="checkbox"/> Technical Expertise <input checked="" type="checkbox"/> Equipment <input checked="" type="checkbox"/> Supplies		5	
Accessed Technical Support may be in the form of Preparation of Plans; Development of Policies, Instructions and Procedures; Conflict Resolution; Service Persons during Capability Building; Preparation of Proposals.			
Accessed support are sufficient	Yes	5	
RALL NUMERICAL RATING Functional Linkage – 10%)		1.5%	
FINANCIAL MANAGEMENT			
FM Structure			
<input type="checkbox"/> There is segregation of duties and responsibilities, different persons are involved in <input checked="" type="checkbox"/> Collection <input checked="" type="checkbox"/> Cashiering <input checked="" type="checkbox"/> Recording	Yes	5	<ul style="list-style-type: none"> • Tap Stand collector assigned for the collection of tariff • Cashiering & Recording being done by Treasurer of SULWSA

Key Areas	Yes or No	Degree of Responsiveness / Impact	Remarks ³
2. Bank Account <ul style="list-style-type: none"> <input type="checkbox"/> There is a bank account <input type="checkbox"/> There are at least two (2) signatories <input type="checkbox"/> Account signatories are not personally related 	No	1	
3. Tariff <ul style="list-style-type: none"> <input checked="" type="checkbox"/> There is a tariff set and collection plan <input checked="" type="checkbox"/> Minutes of tariff setting and adopting tariff set 	Yes	5	
4. Expenditures <ul style="list-style-type: none"> <input type="checkbox"/> Approved Disbursement voucher for every disbursement or substitute <input type="checkbox"/> OR issued 	No	1	
5. Books of Accounts <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Record of collections <input checked="" type="checkbox"/> Record of account receivables <input checked="" type="checkbox"/> Record of expenses (cash book) <input checked="" type="checkbox"/> Record of Accounts payable 	Yes Yes Yes Yes	5	
6. Financial reports <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Periodic Report of Income and Expenses <input checked="" type="checkbox"/> Balance Sheet 	Yes Yes	5	<ul style="list-style-type: none"> • Financial reports presented during general assembly and posted to the transparency board
7. Financial Control <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Conduct of regular internal audit <input checked="" type="checkbox"/> Conduct of on-the-spot cash check <input type="checkbox"/> Conduct of external audit <input checked="" type="checkbox"/> No adverse audit findings 	Yes Yes Yes	4	<ul style="list-style-type: none"> • Quarterly conduct of audit
8. Financial Accomplishment <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Collection efficiency (% of collection) <input checked="" type="checkbox"/> Proof of Collection (OR/AR issued for collections or substitute) <input type="checkbox"/> Tariff is sufficient to cover operation and maintenance (Monthly tariff vs. Estimated monthly expenses) 	Yes Yes	4	<ul style="list-style-type: none"> • In replace of OR sis just a list of payee
VERALL NUMERICAL RATING 'inance Component – 15%)		4.5%	

Gravity-type Water System

V. PHYSICAL MANAGEMENT	RATING	REMARKS
A. O&M PLAN, TOOLS & EQUIPMENT		
1) O&M Plan Implementation <ul style="list-style-type: none"> <input type="checkbox"/> Implementation of planned activities <input type="checkbox"/> Activities conducted as scheduled <input type="checkbox"/> Irrigators' Association maintains the 	4	<ul style="list-style-type: none"> • Additional of tap stand • Additional fee for the tariff

irrigation system		
2) Maintenance Tools/equipment <input type="checkbox"/> Proof of purchase/ownership/rental/ access from other sources (tools available) <input type="checkbox"/> Tools are functional and on-site	5	• The equipment use for the maintenance still functional
B. PROJECT STRUCTURES		
Structures and Sub-Structures		
a. Intake Box/Source - Walls, Top Slab & Foundation - Pipe Fittings; Over Flow, Valves - Perimeter Diversion canal - Perimeter fence - Tree planting within the Surcharge Area	4	
b. Reservoir - Walls, Top Slab & Foundation - Pipe Fittings; Over Flow, Valves, Vents - Perimeter Diversion canal - Perimeter fence	4	
c. Pipelines (Transmission & Distribution) - Exposure/Soil covering for HDPE & uPVC pipeline, Supports and fittings for GI Pipes, - Presence of Leaks and other defects.	3	• 30% there is already a defects
d. Tap Stand - Stability of pedestal - Condition of Faucets - Stability of Concrete flat form - Diversion canal - Flow of Water supply	4	
e. Sanitation - Cleanliness of structures - Potability of water - Sanitary facilities (bath/comfort rooms)	4	
f. Sign Boards <input type="checkbox"/> Visibility of signboard-Readable Policies <input type="checkbox"/> Condition of Signboard	3	
g. Other structures per approved design <input type="checkbox"/> _____ <input type="checkbox"/> _____ <input type="checkbox"/> _____ <input type="checkbox"/> _____		
OVERALL NUMERICAL RATING (Physical-Technical Component – 40%)	12.4%	

FINAL RATING	Numerical Rating	Adjectival Rating
	4.35%	Very Satisfactory

OVER-ALL FINDINGS:

1. Functionality

- In summary, the project physical status is (please check):
 - Well-maintained/in good condition
 - Needs minor repairs
 - Needs major repairs
 - Structure not functional
- In terms of services provided, the project:
 - Provides services beyond target beneficiaries
 - Serves target beneficiaries
 - Serves less than the target beneficiaries
 - Provides no benefits

2. Sustainability

- The following components/areas are properly attended to:

Project Utilization:

The water system project exceeded the planned household's targets able to add number of tap stands

Organization and Management:

The community able to organize and accredited, a functional organization (SULWSA)

Linkages:

The organization able to established linkages to the other institutions

Financial Management:

The organization formulated a policy for the tariff, which leads to the support of the maintenance of the project

Physical Management:

The structure is being manage there is only minor repairs but with the tools and equipment still available and functional to repair

- The following areas/structures need to be addressed/improved:

Financial Management:

A need to issue an OR upon payments of the consumers

Project Utilization:

Number of hours per day of service of the water system

- The following factors contributed to subproject functionality and sustainability:

Project Utilization:

The water system project exceeded the planned household's targets able to add number of tap stands

Organization and Management:

a functional organization (SULWSA)

Linkages:

The organization able to established partnership with the BLGU

Financial Management:

Ongoing collection of the tariffs for maintenance

Physical Management:

Functional on the physical structure that continue the services to the community

3. Compliance to O&M Requirements

- The following O&M requirements are met (check if yes, x if no):
 - Subproject is managed by community organization
 - Users are paying O&M fee; fee is affordable
 - There is budget for O&M; budget is enough to cover planned O&M expenses
 - There is an O&M plan; planned activities are implemented on schedule

Brgy. Sugod, Tarangnan Samar



Focused Group discussion with the community of barangay Sugod



Meeting with the Municipal Planning Development Officer of LGU Tarangnan, Samar

Actual Status of Water System



Reservoir



Distribution Line



Tap Stand

Project Sustainability Evaluation Tool (SET)

(For Gravity-type Water System Subproject)

Name of Completed Project: Construction of Level II, Gravity Fed Water Supply System
Physical Description: Level II, Gravity Fed Water Supply System involves (1) development of water source, (2) storing and distributing water to communal faucets with the procurement method through the Community Force Account.
Location: Brgy. Cabungaan, Sto. Niño, Samar
Mode of Implementation: Community Force Account
BM Group Managing the project: NONE

PROJECT UTILIZATION				Degree of Responsiveness ¹	
1) a. Number of beneficiaries				2	
Type of Beneficiaries	Planned	Actual	Explanation of Variance		
Households (total)	253	105	The plan did not materialize due changes		
2) Number of tapstands				1	
<input type="checkbox"/> Actual: <u>1</u> <input type="checkbox"/> Planned: <u>13</u>					
In case planned vs. actual number do not match, explain why.					
-Lack of pipes to distribute the water to the other households, and changes of the design of project that causes a big gaps from planned to actual					

¹ This is the perceived/observed/experienced functionality (quality) of indicators, with 5 being the highest and 1 lowest.

PROJECT UTILIZATION	Degree of Responsiveness ¹
<p>Number of tapstands regularly used</p> <p><input type="checkbox"/> Actual No. of tapstands</p> <p><input type="checkbox"/> Number of tapstands regularly used: 1</p> <p>Explain variance, if any.</p> <hr/>	2
<p>3) Project provides 24-hour per day service <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If No, why?</p> <p>As long as the distribution line and pipelines are still in place</p>	3
<p>4) Is there an instance where any particular person/HH/group is constrained or prevented from using the facility²? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>What are these instances?</p> <hr/>	4
<p>5) List down the top three benefits derived from the completed project</p> <p><input type="checkbox"/> Access safe water for drinking</p> <p><input type="checkbox"/> No difficulty for the household to fetch drinking water</p> <p><input type="checkbox"/></p>	
<p>6) Does the O&M group have plans for expansion/extension/improvements/construction of additional structures? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>What are the plans?</p> <p><input type="checkbox"/> To put up additional tap stands and the BLGU will come up policies ensuring the usability of the project is safe.</p>	
<p>7) Has the project produced new problems for the community/barangay? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes, write down (by order of importance) the top three problems that project has produced.</p> <p><input type="checkbox"/> Some households doing something wrong on the distribution line</p> <p><input type="checkbox"/> The community not that much appreciated on the accountability of the project and its responsibility</p>	

² A HH was not able to access potable water due to non-payment of tariff.

PROJECT UTILIZATION	Degree of Responsiveness ¹
OVERALL NUMERICAL RATING (P Utilization – 15%)	1.8%

Key Areas	Yes or No	Degree of Responsiveness / Impact	Remarks ³
I. ORGANIZATION AND MANAGEMENT			
1. O&M organization formed and registered and/or accredited For "Yes" answer, the following should be met: <ul style="list-style-type: none"><input type="checkbox"/> Record/minutes of formation and BA approval<input type="checkbox"/> List of Officers and members<ul style="list-style-type: none"><input type="checkbox"/> Record of election/installation<input type="checkbox"/> Posted in the office<input type="checkbox"/> Proof/copy of registration or accreditation<input type="checkbox"/> Constitution and By-Laws duly approved by General Assembly	Yes Yes NO Yes	The community formally organized a group and they were able to trained already but it was not materialize to be registered or accredited	
2. O&M Group is functional The O&M Group should have the following to be considered functional: <ul style="list-style-type: none"><input type="checkbox"/> Organizational Vision, Mission and Goals, and Long-term Strategic Plan formulated<ul style="list-style-type: none"><input type="checkbox"/> Record of formulation, approval and adoption<input type="checkbox"/> Written and posted<input type="checkbox"/> Annual Operational Plan (including O&M plan with corresponding budget) prepared<ul style="list-style-type: none"><input type="checkbox"/> Record of formulation, approval and adoption<input type="checkbox"/> Written and posted<input type="checkbox"/> Operational Policies formulated and implemented<ul style="list-style-type: none"><input type="checkbox"/> Minutes of approval and adoption by the General Assembly (GA)		3	

Key Areas	Yes or No	Degree of Responsiveness / Impact	Remarks ³
3. Operation of O&M Group is managed well	NO	1	
The organization should meet majority of the following indicators to warrant a "Yes" answer.			
<input type="checkbox"/> Regular meetings (BOD and General Assembly) conducted, including discussion of financial status (Income and Expenses, Balance Sheet)	No		
<input type="checkbox"/> Election of Officers conducted as indicated in Constitution and By-Laws	NO		
<input type="checkbox"/> 50% + 1 Attendance in BOD/Officers' meetings	NO		
<input type="checkbox"/> 50% + 1 Attendance in GA meetings	NO		
<input type="checkbox"/> Conduct of periodic organizational assessments and planning	NO		
<input type="checkbox"/> Proper Records management observed and Report to Oversight Agencies submitted on-time	NO		
<input type="checkbox"/> Increase in Membership	NO		
<input type="checkbox"/> Ability to resolve Conflicts without external intervention	NO		
<input type="checkbox"/> Ability to provide other services to members (e.g. livelihood programs, credit, hospitalization, mortuary, etc.)	No		
<input type="checkbox"/> Staffing/Employment <ul style="list-style-type: none"> <li data-bbox="111 1683 690 1755">o Presence of complete staff and/or full-time employees <li data-bbox="111 1755 690 1887">o Provision of incentives to officers/employees (e.g., honorarium, SSS, Philhealth, allowances, non-cash benefits, etc.) 	No		
awards and Recognitions received (Recipient of			

Key Areas	Yes or No	Degree of Responsiveness / Impact	Remarks ³
wards (local, regional, national)			
OVERALL NUMERICAL RATING Organization and Management – 20%)		0.8%	
II. LINKAGES			
1. O&M group is able to establish linkages with other organizations or institutions for support Established linkages are: <input type="checkbox"/> Formal (with partnership agreements, MOA, etc.) <input type="checkbox"/> Informal	NO	1	
<i>ote: Networking and Linkaging may come in the form of (i) membership in federations, M/BDC; (ii) tie-up with other POs, NGOs, NGAs; or (iii) tie-up with P/M/BLGUs.</i>			
2. O&M Group is able to access support from partners referred to in No. 1 If yes, what supports were accessed? Please check all applicable answers. <input type="checkbox"/> Financial <input type="checkbox"/> Technical Expertise <input type="checkbox"/> Equipment <input type="checkbox"/> Supplies	NO	1	
<i>ote: Accessed Technical Support may be in the form of Preparation of Plans; Development of Policies, Systems and Procedures; Conflict Resolution; Resource Persons during Capability Building; Preparation of Proposals.</i>			
3. Accessed support are sufficient	NO	1	
OVERALL NUMERICAL RATING Institutional Linkage – 10%)		0.3%	
V. FINANCIAL MANAGEMENT			
1. FM Structure <input type="checkbox"/> There is segregation of duties and responsibilities, different persons are involved in <input type="checkbox"/> Collection <input type="checkbox"/> Cashiering <input type="checkbox"/> Recording	NO	1	

Key Areas	Yes or No	Degree of Responsiveness / Impact	Remarks ³
2. Bank Account <ul style="list-style-type: none"> <input type="checkbox"/> There is a bank account <input type="checkbox"/> There are at least two (2) signatories <input type="checkbox"/> Account signatories are not personally related 	No	1	
3. Tariff <ul style="list-style-type: none"> <input checked="" type="checkbox"/> There is a tariff set and collection plan <input checked="" type="checkbox"/> Minutes of tariff setting and adopting tariff set 	Yes	3	It was through barangay assembly suggested and approved by the majority of the community
4. Expenditures <ul style="list-style-type: none"> <input type="checkbox"/> Approved Disbursement voucher for every disbursement or substitute <input type="checkbox"/> OR issued 	No	1	
5. Books of Accounts <ul style="list-style-type: none"> <input type="checkbox"/> Record of collections <input type="checkbox"/> Record of account receivables <input type="checkbox"/> Record of expenses (cash book) <input type="checkbox"/> Record of Accounts payable 	NO NO NO NO	1	
6. Financial reports <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Periodic Report of Income and Expenses <input checked="" type="checkbox"/> Balance Sheet 	NO NO	1	
7. Financial Control <ul style="list-style-type: none"> <input type="checkbox"/> Conduct of regular internal audit <input type="checkbox"/> Conduct of on-the-spot cash check <input type="checkbox"/> Conduct of external audit <input type="checkbox"/> No adverse audit findings 	NO NO NO NO	1	
8. Financial Accomplishment <ul style="list-style-type: none"> <input type="checkbox"/> Collection efficiency (% of collection) <input type="checkbox"/> Proof of Collection (OR/AR issued for collections or substitute) <input type="checkbox"/> Tariff is sufficient to cover operation and maintenance (Monthly tariff vs. Estimated monthly expenses) 	NO NO NO	1	
TOTAL NUMERICAL RATING (Finance Component – 15%)		1.5%	

Gravity-type Water System

V. PHYSICAL MANAGEMENT	RATING	REMARKS
A. O&M PLAN, TOOLS & EQUIPMENT		
1) O&M Plan Implementation <ul style="list-style-type: none"> <input type="checkbox"/> Implementation of planned activities <input type="checkbox"/> Activities conducted as scheduled <input type="checkbox"/> Irrigators' Association maintains the irrigation system 	1	

2) Maintenance Tools/equipment		<ul style="list-style-type: none"> □ Proof of purchase/ownership/rental/ access from other sources (tools available) □ Tools are functional and on-site
B. PROJECT STRUCTURES		
Structures and Sub-Structures		
a. Intake Box/Source		
- Walls, Top Slab & Foundation - Pipe Fittings; Over Flow, Valves - Perimeter Diversion canal - Perimeter fence - Tree planting within the Surcharge Area	4	
b. Reservoir		
- Walls, Top Slab & Foundation - Pipe Fittings; Over Flow, Valves, Vents - Perimeter Diversion canal - Perimeter fence	2	
c. Pipelines (Transmission & Distribution)		
- Exposure/Soil covering for HDPE & uPVC pipeline, Supports and fittings for GI Pipes, - Presence of Leaks and other defects.	1	There are already parts of the distribution line and transmission line defects that the community does it
d. Tap Stand		
- Stability of pedestal - Condition of Faucets - Stability of Concrete flat form - Diversion canal - Flow of Water supply	1	
e. Sanitation		
- Cleanliness of structures - Potability of water - Sanitary facilities (bath/comfort rooms)	3	
f. Sign Boards		
□ Visibility of signboard-Readable Policies □ Condition of Signboard	4	
g. Other structures per approved design		
□ _____ □ _____ □ _____ □ _____		
OVERALL NUMERICAL RATING Physical-Technical Component – 40%)	7.2%	

FINAL RATING	Numerical Rating	Adjectival Rating
	2.32	Poor

OVER-ALL FINDINGS:

1. Functionality

- In summary, the project physical status is (please check):
 - Well-maintained/in good condition
 - Needs minor repairs
 - Needs major repairs
 - Structure not functional
- In terms of services provided, the project:
 - Provides services beyond target beneficiaries
 - Serves target beneficiaries
 - Serves less than the target beneficiaries
 - Provides no benefits

2. Sustainability

- The following components/areas are properly attended to:

Project Utilization:

There is no instance where any particular person or household group is constrained or prevented from using the facility

Organization and Management:

The community able to organize a group as part of the operation and maintenance and complied some of the necessary documents but it was not materialize

Financial Management:

The community able to address the issue on setting the tariff and collection plan and it was discussed during the barangay assembly & the tariff setting adopted with the minutes.

Physical Management:

The source where the intake box is located still strong the foundation and the signboards still visible and readable to the community

- The following areas/structures need to be addressed/improved:

Project Utilization: A need for additional tap stand s that will supply the needs of the consumer at the same time it will provides a 24-hour service.

Organization and Management:

Need to revisit through barangay assembly for the new set of officers and the document that was prepared by the previous assigned in the formulation of the organization. Once it

is already prepared a need to submit to the concerned agency for the recognition and accreditation.

Linkages:

A Financial Management structure that involves the responsibility on collection, cashiering, and recording, there is a need also for the financial reports, financial control. Once there is already an actual collection of tariffs, a need also issue an official receipt. The organization must open a bank account

Financial Management: a bank account needed to be open with at least two signatories and in the expenditures the organization must release an official receipt and approved disbursement voucher or any substitute

Physical Management: To come up the Operation and Maintenance Plan implementation an implementation of planned activities. An improvement on the structures of pipelines and tap stand

- The following factors contributed to project functionality and sustainability:

Factors that shows only that contributes its functionality and sustainability is the structure of the water system the intake box that the foundation still good and serviceable.

3. Compliance to O&M Requirements

- The following O&M requirements are met (check if yes, x if no):
 - Subproject is managed by community organization
 - Users are paying O&M fee; fee is affordable
 - There is budget for O&M; budget is enough to cover planned O&M expenses
 - There is an O&M plan; planned activities are implemented on schedule

Brgy. Cabungaan, Sto. Niño Samar



Focused Group discussion with the community assisted by the LGU staff

Consultation meeting with the Barangay secretary and volunteer



Actual Status of Water System



Intake Box



Reservoir

Project Sustainability Evaluation Tool (SET)

(For Gravity-type Water System Subproject)

Name of Completed Project: Construction of Level II, Gravity Fed Water Supply System
Physical Description: Involves with develop of water source, storage and distribution to communal faucets, and procurement through biddings and contracting
Location: Brgy. Napuro 1, Sta. Margarita Samar
Mode of Implementation: Admin (by Contract)
Team Group Managing the Subproject: BLGU

PROJECT UTILIZATION				Degree of Responsiveness ¹
1) a. Number of beneficiaries				
Type of beneficiaries	Planned	Actual	Explanation of Variance	
Households (total)	345	310	Non-functionality of tap-stand and pipelines damages	3
2) Number of tapstands				
<input type="checkbox"/> Actual: <u>10</u> <input type="checkbox"/> Planned: <u>18</u>				
In case planned vs. actual number do not match, explain why.				
-Some areas could not reach already the distribution of water due to high elevation and all tap stand are not already stable				

¹ This is the perceived/observed/experienced functionality (quality) of indicators, with 5 being the highest and 1 lowest.

PROJECT UTILIZATION	Degree of Responsiveness ¹
<p>Number of tapstands regularly used</p> <p><input type="checkbox"/> Actual No. of tapstands</p> <p><input type="checkbox"/> Number of tapstands regularly used: <u>10</u></p> <p>Explain variance, if any.</p>	3
<p>3) Project provides 24-hour per day service <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If No, why?</p>	3
<p>4) Is there an instance where any particular person/HH/group is constrained or prevented from using the facility²? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>What are these instances?</p> <p>-During washing of clothes are not allowed to do the activity within the tap stand</p> <p>What is the decision of the O&M group to address this issue/s?</p> <p>-It was through the council who ensure the do's and don'ts for the use of water system</p>	3
<p>5) List down the top three benefits derived from the completed project</p> <p><input type="checkbox"/> Access safe water for drinking</p> <p><input type="checkbox"/> No payments needed for the drinking water</p>	
<p>6) Does the O&M group have plans for expansion/extension/improvements/construction of additional structures? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>What are the plans?</p> <p><input type="checkbox"/> Rehabilitate the pipelines and tap stand</p>	
<p>7) Has the project produced new problems for the community/barangay? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes, write down (by order of importance) the top three problems that project has produced.</p> <p><input type="checkbox"/> Almost all tap stand structurally is not functional what remains to the physical structure is the host</p> <p><input type="checkbox"/> The community also don't want to pay for tariff as part of the maintenance</p>	
ERALL NUMERICAL RATING (P Utilization – 15%)	2.25%

² A HH was not able to access potable water due to non-payment of tariff.

Key Areas	Yes or No	Degree of Responsiveness / Impact	Remarks ³
. ORGANIZATION AND MANAGEMENT			
<p>1. O&M organization formed and registered and/or accredited</p> <p>For “Yes” answer, the following should be met:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Record/minutes of formation and BA approval <input type="checkbox"/> List of Officers and members <ul style="list-style-type: none"> o Record of election/installation o Posted in the office <input type="checkbox"/> Proof/copy of registration or accreditation <input type="checkbox"/> Constitution and By-Laws duly approved by General Assembly 	<p>NO</p> <p>NO</p> <p>NO</p> <p>NO</p>		
<p>2. O&M Group is functional</p> <p>The O&M Group should have the following to be considered functional:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Organizational Vision, Mission and Goals, and Long-term Strategic Plan formulated <ul style="list-style-type: none"> o Record of formulation, approval and adoption o Written and posted <input type="checkbox"/> Annual Operational Plan (including O&M plan with corresponding budget) prepared <ul style="list-style-type: none"> o Record of formulation, approval and adoption o Written and posted <input type="checkbox"/> Operational Policies formulated and implemented <ul style="list-style-type: none"> o Minutes of approval and adoption by the General Assembly (GA) 	<p>NO</p> <p>No</p> <p>NO</p>	<p>1</p>	
			<p>The group already who is in charged in the operation and maintenance is the barangay council</p>
<p>3. Operation of O&M Group is managed well</p>	<p>NO</p>	<p>2</p>	<p>The functionality of the barangay council only comes-in when there is a need to repair and not regular in monitoring</p>

Key Areas	Yes or No	Degree of Responsiveness / Impact	Remarks ³
<p>The organization should meet majority of the following indicators to warrant a “Yes” answer.</p> <ul style="list-style-type: none"> <input type="checkbox"/> Regular meetings (BOD and General Assembly) conducted, including discussion of financial status (Income and Expenses, Balance Sheet) <input type="checkbox"/> Election of Officers conducted as indicated in Constitution and By-Laws <input type="checkbox"/> 50% + 1 Attendance in BOD/Officers' meetings <input type="checkbox"/> 50% + 1 Attendance in GA meetings <input type="checkbox"/> Conduct of periodic organizational assessments and planning <input type="checkbox"/> Proper Records management observed and Report to Oversight Agencies submitted on-time <input type="checkbox"/> Increase in Membership <input type="checkbox"/> Ability to resolve Conflicts without external intervention <input type="checkbox"/> Ability to provide other services to members (e.g. livelihood programs, credit, hospitalization, mortuary, etc.) <input type="checkbox"/> Staffing/Employment <ul style="list-style-type: none"> <input type="radio"/> Presence of complete staff and/or full-time employees <input type="radio"/> Provision of incentives to officers/employees (e.g., honorarium, SSS, Philhealth, allowances, non-cash benefits, etc.) 	<p>No NO NO NO NO YES YES NO No No</p>		
<i>ius:</i> ards and Recognitions received (Recipient of ards (local, regional, national))			
ERALL NUMERICAL RATING ganization and Management – 20%)		0.6%	

Key Areas	Yes or No	Degree of Responsiveness / Impact	Remarks ³
I. LINKAGES			
1. O&M group is able to establish linkages with other organizations or institutions for support Established linkages are: <input checked="" type="checkbox"/> Formal (with partnership agreements, MOA, etc.) <input checked="" type="checkbox"/> Informal	NO	1	
<i>Note: Networking and Linkaging may come in the form of (i) membership in federations, M/BDC; (ii) tie-up with other POs, NGOs, NGAs; or (iii) tie-up with P/M/BLGUs.</i>			
2. O&M Group is able to access support from partners referred to in No. 1 If yes, what supports were accessed? Please check all applicable answers. <input checked="" type="checkbox"/> Financial <input checked="" type="checkbox"/> Technical Expertise <input checked="" type="checkbox"/> Equipment <input checked="" type="checkbox"/> Supplies	NO	1	
<i>Note: Accessed Technical Support may be in the form of Preparation of Plans; Development of Policies, Systems and Procedures; Conflict Resolution; Source Persons during Capability Building; Preparation of Proposals.</i>			
3. Accessed support are sufficient	NO	1	
TOTAL NUMERICAL RATING (Institutional Linkage – 10%)		0.3%	
II. FINANCIAL MANAGEMENT			
1. FM Structure <input checked="" type="checkbox"/> There is segregation of duties and responsibilities, different persons are involved in <input checked="" type="checkbox"/> Collection <input checked="" type="checkbox"/> Cashiering <input checked="" type="checkbox"/> Recording	NO	1	
2. Bank Account <input checked="" type="checkbox"/> There is a bank account <input checked="" type="checkbox"/> There are at least two (2) signatories	No	1	

Key Areas	Yes or No	Degree of Responsiveness / Impact	Remarks ³
<input type="checkbox"/> Account signatories are not personally related 3. Tariff <input type="checkbox"/> There is a tariff set and collection plan <input type="checkbox"/> Minutes of tariff setting and adopting tariff set			
4. Expenditures <input type="checkbox"/> Approved Disbursement voucher for every disbursement or substitute <input type="checkbox"/> OR issued	NO	1	The community itself hesitant to have a payments or collections for tariffs
5. Books of Accounts <input type="checkbox"/> Record of collections <input type="checkbox"/> Record of account receivables <input type="checkbox"/> Record of expenses (cash book) <input type="checkbox"/> Record of Accounts payable	NO NO NO NO	1	
6. Financial reports <input type="checkbox"/> Periodic Report of Income and Expenses <input type="checkbox"/> Balance Sheet	NO NO	1	
7. Financial Control <input type="checkbox"/> Conduct of regular internal audit <input type="checkbox"/> Conduct of on-the-spot cash check <input type="checkbox"/> Conduct of external audit <input type="checkbox"/> No adverse audit findings	NO NO NO NO	1	
8. Financial Accomplishment <input type="checkbox"/> Collection efficiency (% of collection) <input type="checkbox"/> Proof of Collection (OR/AR issued for collections or substitute) <input type="checkbox"/> Tariff is sufficient to cover operation and maintenance (Monthly tariff vs. Estimated monthly expenses)	NO NO NO	1	
ERALL NUMERICAL RATING inance Component – 15%)		1.2%	

Gravity-type Water System

7. PHYSICAL MANAGEMENT	RATING	REMARKS
A. O&M PLAN, TOOLS & EQUIPMENT		
1) O&M Plan Implementation <input type="checkbox"/> Implementation of planned activities <input type="checkbox"/> Activities conducted as scheduled <input type="checkbox"/> Irrigators' Association maintains the irrigation system	1	
2) Maintenance Tools/equipment <input type="checkbox"/> Proof of purchase/ownership/rental/ access from other sources (tools)	2	• Not all available only the basic tools

available)

Tools are functional and on-site

B. PROJECT STRUCTURES

Structures and Sub-Structures

a. Intake Box/Source

- Walls, Top Slab & Foundation
- Pipe Fittings; Over Flow, Valves
- Perimeter Diversion canal
- Perimeter fence
- Tree planting within the Surcharge Area

3

b. Reservoir

- Walls, Top Slab & Foundation
- Pipe Fittings; Over Flow, Valves, Vents
- Perimeter Diversion canal
- Perimeter fence

3

c. Pipelines (Transmission & Distribution)

- Exposure/Soil covering for HDPE & uPVC pipeline,
- Supports and fittings for GI Pipes,
- Presence of Leaks and other defects.

2

Most of the pipelines are already damage that causes the presence of leaks

d. Tap Stand

- Stability of pedestal
- Condition of Faucets
- Stability of Concrete flat form
- Diversion canal
- Flow of Water supply

1

e. Sanitation

- Cleanliness of structures
- Potability of water
- Sanitary facilities (bath/comfort rooms)

3

f. Sign Boards

- Visibility of signboard-Readable Policies
- Condition of Signboard

1

No existing signboards that reflects policies

g. Other structures per approved design

- _____
- _____
- _____
- _____

OVERALL NUMERICAL RATING

Physical-Technical Component – 40%)

6.4%

FINAL RATING	Numerical Rating	Adjectival Rating
	2.15	Poor

OVER-ALL FINDINGS:

1. Functionality

- In summary, the project physical status is (please check):
 - Well-maintained/in good condition
 - Needs minor repairs
 - Needs major repairs
 - Structure not functional
- In terms of services provided, the project:
 - Provides services beyond target beneficiaries
 - Serves target beneficiaries
 - Serves less than the target beneficiaries
 - Provides no benefits

2. Sustainability

- The following components/areas are properly attended to:

Physical Management:

The structure of intake box, reservoir and sanitation cleanliness of the structure and portability of water.

- The following areas/structures need to be addressed/improved:

Project Utilization: A need for rehabilitation of all tap stand to make it functional as its purpose and it will use regularly.

Organization and Management:

There is a separate group that will somehow manage the operation and maintenance of the water system, that needs also to be accredited and recognize as organization.

Linkages:

Establish a partnership with other organizations or institutions for support services from financial, technical expertise, equipment, and supplies.

Financial Management: General assembly to be conducted in orders to discuss the importance of the tariffs for maintenance of the water system and creates a structure that will ensure the responsibilities in collection, cashiering, and recording

Physical Management: To ensure and in place the operation and maintenance plan of the new created organization including the tools or equipment is for the use of maintenance. The structure of project especially the pipelines from transmission and distribution, including also the tap stand a need of repair. At the same time if there are policies made by the BLGU or from organization required signboard that is visible and readable to the community

- The following factors contributed to project functionality and sustainability:

Factors that contributed is on the component of physical management part of it is on the structure of intake box, reservoir, and sanitation as to the cleanliness of the structure in ensuring the potability of water

3. Compliance to O&M Requirements

- The following O&M requirements are met (check if yes, x if no):
 - Subproject is managed by community organization
 - Users are paying O&M fee; fee is affordable
 - There is budget for O&M; budget is enough to cover planned O&M expenses
 - There is an O&M plan; planned activities are implemented on schedule

Brgy. Napuro 1, Sta. Margarita Samar



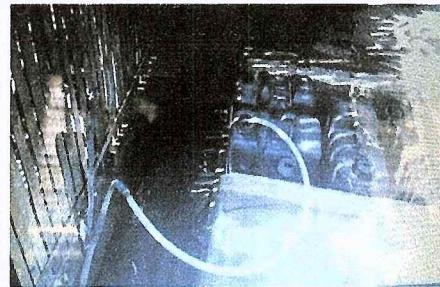
Focused Group discussion with the community members and officials of the barangay



Actual Status of Water System



Tap Stand



Distribution line

Project Sustainability Evaluation Tool (SET)

(For Gravity-type Water System Subproject)

ame of Completed Project: Construction of Level II Potable Water Supply

ysical Description: To provide waterless municipality and to enhance the capacity of the LGU water service providers in the planning, implementation, and operation of water supply facilities

Location: Sto. Niño, Samar (Brgy. Beunavista, Takut, Basud, & Ilo)

de of Implementation: Admin (by Contract)

M Group Managing the project: LGU Sto. Niño (MPDC Office & Engineering Unit)

PROJECT UTILIZATION

				Degree of Responsiveness ¹
1) a. Number of beneficiaries				
Type of beneficiaries	Planned	Actual	Explanation of Variance	
households (total)	750	455	There are already existing source of water in the remote sitios in the community	3
2) Number of tap stands				
<input type="checkbox"/> Actual: <u>35</u> <input type="checkbox"/> Planned: <u>58</u>				3
In case planned vs. actual number do not match, explain why.				
-changes of actual implementation due to rerouting the distribution lines and transmission				

¹ This is the perceived/observed/experienced functionality (quality) of indicators, with 5 being the highest and 1 lowest.

PROJECT UTILIZATION	Degree of Responsiveness ¹
<p>Number of tapstands regularly used</p> <p><input type="checkbox"/> Actual No. of tapstands</p> <p><input type="checkbox"/> Number of tapstands regularly used: <u>35</u></p> <p>Explain variance, if any.</p> <p>As long as there is no defects on the transmission and distribution of pipelines are functional</p>	3
<p>3) Project provides 24-hour per day service <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If No, why?</p>	4
<p>4) Is there an instance where any particular person/HH/group is constrained or prevented from using the facility²? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>What are these instances?</p>	5
<p>5) List down the top three benefits derived from the completed project</p> <p><input type="checkbox"/> Access safe water for drinking</p> <p><input type="checkbox"/> No need to fetch water in the remote areas</p> <p><input type="checkbox"/></p> <p>6) Does the O&M group have plans for expansion/extension/improvements/construction of additional structures? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>What are the plans?</p> <p><input type="checkbox"/> From level 2 to Level 3 of water system already</p>	
<p>7) Has the project produced new problems for the community/barangay? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes, write down (by order of importance) the top three problems that project has produced.</p> <p><input type="checkbox"/> Attitude problems of the community</p>	
ERALL NUMERICAL RATING (P Utilization – 15%)	2.7%

Key Areas	Yes or No	Degree of Responsiveness / Impact	Remarks ³
. ORGANIZATION AND MANAGEMENT			
<p>1. O&M organization formed and registered and/or accredited</p> <p>For “Yes” answer, the following should be met:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Record/minutes of formation and BA approval <input type="checkbox"/> List of Officers and members <ul style="list-style-type: none"> o Record of election/installation o Posted in the office <input type="checkbox"/> Proof/copy of registration or accreditation <input type="checkbox"/> Constitution and By-Laws duly approved by General Assembly 	<p>NO</p> <p>NO</p> <p>NO</p> <p>NO</p>		<p>The O&M grouped was turn over to the LGU of Sto. Niño, as part of the project design of the SALIN-TUBIG</p>
2. O&M Group is functional		3	
<p>The O&M Group should have the following to be considered functional:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Organizational Vision, Mission and Goals, and Long-term Strategic Plan formulated <ul style="list-style-type: none"> o Record of formulation, approval and adoption o Written and posted <input type="checkbox"/> Annual Operational Plan (including O&M plan with corresponding budget) prepared <ul style="list-style-type: none"> o Record of formulation, approval and adoption o Written and posted <input type="checkbox"/> Operational Policies formulated and implemented <ul style="list-style-type: none"> o Minutes of approval and adoption by the General Assembly (GA) 	<p>NO</p> <p>No</p> <p>NO</p>		<p>the functionality of the organization is already lodge at the level of LGU ensuring the operation and maintenance of the project. it was also part of the design of the SALIN TUBIG project to enhance the capacity of the LGU water service in the planning, implementation, and operation of water supply facilities</p>
3. Operation of O&M Group is managed well	YES	3	<p>Under the office of the Municipal Planning Development Office and engineering office</p>

Key Areas	Yes or No	Degree of Responsiveness / Impact	Remarks ³
<p>The organization should meet majority of the following indicators to warrant a “Yes” answer.</p> <ul style="list-style-type: none"> <input type="checkbox"/> Regular meetings (BOD and General Assembly) conducted, including discussion of financial status (Income and Expenses, Balance Sheet) <input type="checkbox"/> Election of Officers conducted as indicated in Constitution and By-Laws <input type="checkbox"/> 50% + 1 Attendance in BOD/Officers’ meetings <input type="checkbox"/> 50% + 1 Attendance in GA meetings <input type="checkbox"/> Conduct of periodic organizational assessments and planning <input type="checkbox"/> Proper Records management observed and Report to Oversight Agencies submitted on-time <input type="checkbox"/> Increase in Membership <input type="checkbox"/> Ability to resolve Conflicts without external intervention <input type="checkbox"/> Ability to provide other services to members (e.g. livelihood programs, credit, hospitalization, mortuary, etc.) <input type="checkbox"/> Staffing/Employment <ul style="list-style-type: none"> <input type="radio"/> Presence of complete staff and/or full-time employees <input type="radio"/> Provision of incentives to officers/employees (e.g., honorarium, SSS, Philhealth, allowances, non-cash benefits, etc.) 	<p>No NO NO NO NO YES YES YES No No</p>		
<p><i>awards:</i> ards and Recognitions received (Recipient of rds (local, regional, national)</p>			
<p>ERALL NUMERICAL RATING</p>		<p>1.2%</p>	

Key Areas	Yes or No	Degree of Responsiveness / Impact	Remarks ³
rganization and Management – 20%)			
I. LINKAGES			
1. O&M group is able to establish linkages with other organizations or institutions for support Established linkages are: <input checked="" type="checkbox"/> Formal (with partnership agreements, MOA, etc.) <input type="checkbox"/> Informal	YES	3	Bottom Up Budgeting from the Department of Interior and Local Government Unit as to the extension of the project to level 3
<i>te: Networking and Linkaging may come in the form of (i) membership in federations, M/BDC; (ii) tie-up with other POs, NGOs, NGAs; or (iii) tie-up with P/M/BLGUs.</i>			
2. O&M Group is able to access support from partners referred to in No. 1 If yes, what supports were accessed? Please check all applicable answers. <input checked="" type="checkbox"/> Financial <input checked="" type="checkbox"/> Technical Expertise <input type="checkbox"/> Equipment <input type="checkbox"/> Supplies	NO	3	
<i>te: Accessed Technical Support may be in the form of Preparation of Plans; Development of Policies, Systems and Procedures; Conflict Resolution; Source Persons during Capability Building; Preparation of Proposals.</i>			
3. Accessed support are sufficient	NO	3	
TOTAL NUMERICAL RATING stitutional Linkage – 10%)		0.9%	
II. FINANCIAL MANAGEMENT			
1. FM Structure <input type="checkbox"/> There is segregation of duties and responsibilities, different persons are involved in <input type="checkbox"/> Collection <input type="checkbox"/> Cashiering <input type="checkbox"/> Recording	NO	1	
2. Bank Account <input type="checkbox"/> There is a bank account	No	4	

Key Areas	Yes or No	Degree of Responsiveness / Impact	Remarks ³
<input type="checkbox"/> There are at least two (2) signatories <input type="checkbox"/> Account signatories are not personally related			
3. Tariff <input checked="" type="checkbox"/> There is a tariff set and collection plan <input checked="" type="checkbox"/> Minutes of tariff setting and adopting tariff set	NO	3	Prior the implementation the LGU already discuss the possibility of tariffs and it was presented during public hearing
4. Expenditures <input type="checkbox"/> Approved Disbursement voucher for every disbursement or substitute <input type="checkbox"/> OR issued	No	1	
5. Books of Accounts <input type="checkbox"/> Record of collections <input type="checkbox"/> Record of account receivables <input type="checkbox"/> Record of expenses (cash book) <input type="checkbox"/> Record of Accounts payable	NO NO NO NO	1	
6. Financial reports <input type="checkbox"/> Periodic Report of Income and Expenses <input type="checkbox"/> Balance Sheet	YES YES	3	The municipal treasure issued list of expenses in the maintenance and office of the budget office ensuring the availability of funds
7. Financial Control <input type="checkbox"/> Conduct of regular internal audit <input type="checkbox"/> Conduct of on-the-spot cash check <input type="checkbox"/> Conduct of external audit <input type="checkbox"/> No adverse audit findings	NO NO NO NO	1	
8. Financial Accomplishment <input type="checkbox"/> Collection efficiency (% of collection) <input type="checkbox"/> Proof of Collection (OR/AR issued for collections or substitute) <input type="checkbox"/> Tariff is sufficient to cover operation and maintenance (Monthly tariff vs. Estimated monthly expenses)	NO NO NO	1	
ERALL NUMERICAL RATING inance Component – 15%)		2.4%	

Gravity-type Water System

V. PHYSICAL MANAGEMENT	RATING	REMARKS
A. O&M PLAN, TOOLS & EQUIPMENT		
1) O&M Plan Implementation <input type="checkbox"/> Implementation of planned activities <input type="checkbox"/> Activities conducted as scheduled <input type="checkbox"/> Irrigators' Association maintains the	4	

irrigation system		
2) Maintenance Tools/equipment <input type="checkbox"/> Proof of purchase/ownership/rental/ access from other sources (tools available) <input type="checkbox"/> Tools are functional and on-site	3	
B. PROJECT STRUCTURES		
Structures and Sub-Structures		
a. Intake Box/Source - Walls, Top Slab & Foundation - Pipe Fittings; Over Flow, Valves - Perimeter Diversion canal - Perimeter fence - Tree planting within the Surcharge Area	4	
b. Reservoir - Walls, Top Slab & Foundation - Pipe Fittings; Over Flow, Valves, Vents - Perimeter Diversion canal - Perimeter fence	4	
c. Pipelines (Transmission & Distribution) - Exposure/Soil covering for HDPE & uPVC pipeline, Supports and fittings for GI Pipes, - Presence of Leaks and other defects.	3	
d. Tap Stand - Stability of pedestal - Condition of Faucets - Stability of Concrete flat form - Diversion canal - Flow of Water supply	4	
e. Sanitation - Cleanliness of structures - Potability of water - Sanitary facilities (bath/comfort rooms)	3	
f. Sign Boards <input type="checkbox"/> Visibility of signboard-Readable Policies <input type="checkbox"/> Condition of Signboard	4	
g. Other structures per approved design <input type="checkbox"/> _____ <input type="checkbox"/> _____ <input type="checkbox"/> _____ <input type="checkbox"/> _____		
OVERALL NUMERICAL RATING Physical-Technical Component – 40%)	11.6%	

FINAL RATING	Numerical Rating	Adjectival Rating
	3.76	Very Satisfactory

OVER-ALL FINDINGS:

1. Functionality

- In summary, the project physical status is (please check):
 - Well-maintained/in good condition
 - Needs minor repairs
 - Needs major repairs
 - Structure not functional
- In terms of services provided, the project:
 - Provides services beyond target beneficiaries
 - Serves target beneficiaries
 - Serves less than the target beneficiaries
 - Provides no benefits

2. Sustainability

- The following components/areas are properly attended to:

Physical Management:

Project provides 24-hour per day service & the LGU had the expansion from level 2 to level 3.

Organization and Management:

Project SALIN-TUBIG from the DILG turn-over the over-all responsibility as to maintenance. That is why through the office of MPDC and Engineering Unit assigned for the sustainability

Linkages:

Strong partnership with the agency of DILG in having additional fund under BUB

Physical Management:

From the Operation and Maintenance Plan was conducted as schedule inclusion of the tools and equipment's for the use of repairs.

- The following areas/structures need to be addressed/improved:

Project Utilization:

Additional tap stands and rehabilitation of the source with the intake box to have more enough water to produce.

Financial Management:

Initially the LGU already conducted a public hearing in ensuring the soonest implementation of the payments of the tariffs.

- The following factors contributed to project functionality and sustainability:

Organization and Management:

Institutionalization of responsibility of the maintenance of the project is already at the LGU and part of it is on financial aspect that will support the sustainability activities.

Linkages:

Partnership with the DILG in the continuous assistance up to the point of upgrading the water system from level 2 to level 3

Financial Management:

The LGU provided the necessary financial assistance from the office of treasurer and budget office in the maintenance of the project

Physical Management:

Functionality of the structures from the source to reservoir to pipelines until to tap stand.

3. Compliance to O&M Requirements

- The following O&M requirements are met (check if yes, x if no):
 - Subproject is managed by community organization
 - Users are paying O&M fee; fee is affordable
 - There is budget for O&M; budget is enough to cover planned O&M expenses
 - There is an O&M plan; planned activities are implemented on schedule

4. Problems/difficulties in O&M of subproject were addressed/resolved at the community level

Problems/Difficulties	Actions Taken/Recommendations
1.	
2.	
3.	
4.	

Brgy. Cabungaan, Sto. Niño Samar



Focused Group discussion with the community assisted by the LGU staff

Consultation meeting with the Barangay secretary and volunteer



Actual Status of Water System



Intake Box



Reservoir

CURRICULUM VITAE

CURRICULUM VITAE

Name : **CHRISTOPHER BUTCH C. CAÑAL**
 Age : **34 years old**
 Sex : **Male**
 Date of Birth : **October 26, 1982**
 Citizenship : **Filipino**
 Status : **Married**
 Height : **5'4"**
 Weight : **55 kls.**
 Religion : **Catholic**
 Home Address : **Brgy. 11 Patag District,
Catbalogan City, Samar**
 Eligibility : **none**

EDUCATION

Graduate Studies : **Master of Arts in Education
major in Social Science
Samar State University
Catbalogan City
2015 – 2017**
 Undergraduate Studies : **Bachelor of Arts in Philosophy
St. Vincent de Paul College Seminary
Calbayog City
2000 – 2005**
 Secondary Education : **Christ The King College
Calbayog City
1996 - 2000**

Elementary Education : **Calbayog Pilot Central School**
Calbayog City
1990 - 1996

POSITION HELD (SCHOOL DESIGNATION/ORGANIZATIONS)

Part Time Instructor
Samar State University
Catbalogan City
June 2016 - Present

Regional Training Officer
Department of Social Welfare KC-NCDDP
Tacloban City
December 1, 2014 - December 31, 2016

Area Coordinator
Department of Social Welfare KC-NCDDP
Tacloban City
February 1, 2013 - November 30, 2014

Regional Training Assistant
Department of Social Welfare KC-NCDDP
Tacloban City
May 16, 2011 - January 31, 2013

Human Resource Development/ Training Coordinator
Department of Environment and Natural Resources/ LAMP
Candahug, Palo Leyte
April 1, 2009 - April 29, 2011

Human Resource Management/ Training Assistant
Department of Environment and Natural Resources/ LAMP
Candahug, Palo Leyte
June 5, 2006 - March 31, 2009

TRAININGS/SEMINARS/CONFERENCE/WORKSHOP ATTENDED

Psychological First - Aid Seminar Workshop
Samar State University
March 5, 2016

Evidence - Based Counseling: Current Directions, Practices, and Challenges

Siliman University

October 29 - 30, 2015

3RD SPRMO - Led Program Review and Evaluation Workshop

Department of Social Welfare and Development

October 11 - 16, 2015

2nd Regional Program Review and Evaluation Workshop

Department of Social Welfare and Development

July 27 - August 1, 2015

"KC - NCDDP Capability Building Conference" - Mid - Assessment and Direction Setting for the Implementation of LGU Stakeholders and ACT Training

Department of Social Welfare and Development

June 7 - 11, 2015

Training of Implementers on Wash Integration in the Three - Core Program

Department of Social Welfare and Development

May 18 - 21, 2015

Area Coordinators' Conference for Samar Island Cluster

Department of Social Welfare and Development

May 26 - 31, 2015

1st Regional Program Review and Evaluation Workshop

Department of Social Welfare and Development

April 13 - 17, 2015

DSWD - NCDDP Training on Water Supply Operations and Climate Resiliency

DSWD/ United States Agency International Development

April 28 -30, 2010

Training on Trainers on Water Sanitation and Hygiene

Department of Social Welfare and Development

March 22 - 26, 2015

Training Manager and Facilitator in the conduct of KALAHİ CIDSS - NCDDP Roll - out Training on Accelerated CEAC Stages 3 and 4, M & E forms and MySQL Database
Department of Social Welfare and Development
February 2 - March 16, 2015

Training on the KALAHİ CIDSS - NCDDP Forms and MySQL Database
Department of Social Welfare and Development
November 25-26, 2014

Basic Orientation Training on KALAHİ - CIDSS for Municipal Coordinating Teams of the Random Municipalities in Region 8
Department of Social Welfare and Development
June 18 - 23, 2012

Basic Orientation Training on KALAHİ - CIDSS for Area Coordinating Teams of the Random Municipalities in Region 8
Department of Social Welfare and Development
April 9 - 14, 2012

Water System and Road Design Implementation, Operation and Maintenance Training
Department of Social Welfare and Development
October 21 - 30, 2011

LAMP 2 - Full Steam Ahead in 2010 - A Project Team Development Workshop
Learnex Consulting
November 24 - 27, 2009

Skills Development Training on Effective Hosting and Facilitation
Civil Service Commission
August 6-7, 2008

Gender Sensitivity Training and Orientation Workshop on LAMP2 Social Development and Gender Framework
Department of Environment and Natural Resources
April 14 - 16, 2008

**Organizational Development Seminar under Phase 1 -
Organizational Assessment LAMP 2**

SEARCA

March 1 - 2, 2007

PC Operation NC2

TESDA

March 5 - 9, 2007

**Competency Based Training including General Orientation on
LAMP2, Basic Computer Operation; Orientation on the Field
Operations Manual, GST, Communication Training**

Department of Environment and Natural Resources

February 19 - 30, 2007

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