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# STRENGTHENING URBAN RESILIENCE FOR GROWTH WITH EQUITY (SURGE) PERFORMANCE EVALUATION

STATEMENT OF WORK  
March 10, 2021



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## PURPOSE OF THE EVALUATION

The United States Agency for International Development/Philippines (USAID/PH) will commission a third-party performance evaluation of the Strengthening Urban Resilience for Growth with Equity (SURGE) Activity. Through this evaluation, USAID/PH will assess SURGE’s implementation progress and achievement of its project objectives, improving governmental operations in selected second-tier cities deemed as important drivers of inclusive economic growth. SURGE is guided by USAID’s strategies on sustainable urban services,<sup>1</sup> water, sanitation, and hygiene (WASH),<sup>2</sup> and other cross-cutting policies such as gender inclusion and private sector engagement. It is central to the Cities Development Initiative (CDI), a key element of the US-Philippines Joint Partnership for Growth (PFG), and a core component of the Country Development Cooperation Strategy (CDCS). Specifically, SURGE contributes to USAID/PH’s Development Objectives of “Broad-based and Inclusive Growth Accelerated and Sustained” and “Environmental Resilience Improved” of the previous CDCS (2013-2019) as well as the Development Objectives of the current CDCS (2020-2024) of “Inclusive, Market-Driven Growth Expanded” and “Environmental and Community Resilience Enhanced.”

The evaluation will cover the original duration of SURGE and part of its extension (six years from July 27, 2015 to the present), across nine cities, covering both the three pilot sites (Batangas, Cagayan de Oro, and Iloilo) and the six expansion-cities (Legazpi, Tagbilaran, General Santos, Puerto Princesa, Zamboanga, and Marawi). SURGE supports the Philippine government’s Journey to Self-Reliance (J2SR) and the Philippine Development Plan (PDP) 2017-2022. The PDP is anchored on the National Spatial Strategy (NSS) that guides public investments and catalyzes private investments to maximize agglomeration efficiencies, enhance connectivity, and build up resilience against natural hazards.<sup>3</sup> Aside from evaluation for accountability and learning, the evaluation also will inform the ongoing formulation of the USAID-wide policy on local capacity development.<sup>4</sup> Results of the evaluation will inform the co-creation of next-generation activities (Nextgen SURGE) in accordance with the USAID policy on urban resiliency, particularly on improving delivery of essential services in urban areas and strengthening interconnections (URBAN CONNECT Activity) between urban and rural areas, as well as USAID’s strategy on water and development.

The intended audiences of this evaluation are USAID/PH program officers, other USAID staff worldwide who are interested in local governance, and those responsible for, and interested in, urban resiliency, WASH, and local capacity development programs and activities. Philippine stakeholders, including those in the Government of the Philippines, second-tier cities, and other researchers, are also a primary audience for this evaluation.

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<sup>1</sup> See <https://www.usaid.gov/sites/default/files/documents/1870/USAIDSustainableUrbanServicesPolicy.pdf>

<sup>2</sup> See [https://www.usaid.gov/sites/default/files/documents/1865/USAID\\_Water\\_Strategy\\_3.pdf](https://www.usaid.gov/sites/default/files/documents/1865/USAID_Water_Strategy_3.pdf)

<sup>3</sup> See <http://www.neda.gov.ph/philippine-development-plan-2017-2022/>

<sup>4</sup> See [https://usaidlearninglab.org/sites/default/files/resource/files/local\\_capacity\\_development\\_1-pager\\_v7.pdf](https://usaidlearninglab.org/sites/default/files/resource/files/local_capacity_development_1-pager_v7.pdf)

## ACTIVITY INFORMATION

SUMMARY INFORMATION	
ACTIVITY NAME	Strengthening Urban Resilience for Growth with Equity (SURGE)
IMPLEMENTING PARTNER	International City/Country Management Association (ICMA)
COOPERATIVE AGREEMENT	AID-492-H-15-00001
TOTAL ESTIMATED COST	\$47.8 million
LIFE OF ACTIVITY	July 27, 2015 to December 31, 2021
ACTIVE GEOGRAPHIC REGIONS	National in scope (with focus on Cities Development Initiative sites) Batangas City, Cagayan de Oro City, Iloilo City, General Santos City, Legazpi City, Puerto Princesa City, Tagbilaran City, Zamboanga City, and Marawi City
MISSION DEVELOPMENT OBJECTIVE (DO), CDCS 2013-2019	DO1: Broad-based and Inclusive Growth Accelerated and Sustained IR 1.1: Economic Competitiveness Enhanced  DO3: Environmental Resilience Improved IR 3.1: Disaster Risks Reduced IR 3.2: Natural Resources and Environmental Management Improved
MISSION DEVELOPMENT OBJECTIVE (DO), CDCS 2020-2024	DO 2: Inclusive, Market-Driven Growth Expanded IR 2.1 Regulatory Quality Improved IR 2.2 Government Capacity to Finance Self-Reliance Increased  DO 3: Environmental and Community Resilience Enhanced IR 3.2 Sustainable Use of Natural Resources Strengthened IR 3.4 Capacity to Mitigate Risks of and Respond to Disaster Strengthened
EXTERNAL OR INTERNAL EVALUATION	External

## BACKGROUND

### DESCRIPTION OF THE PROBLEM AND CONTEXT

The Philippines' economic growth in the past decade has been highly concentrated in three metropolitan areas – Metro-Manila, Cebu, and Davao leading to high population growth and congestion in these areas. This concentration has also caused inequities and inequitable access to economic opportunities between urban and rural areas. To address this concern, USAID developed the Cities Development Initiative (CDI) to increase the opportunity for economic growth to spread to other well-governed, highly urbanized, and secondary cities. The increased economic growth in these other cities would help equalize income distribution across the Philippines.

The CDI Strategy and SURGE are premised on four findings cited in the March 11, 2014 CDI Project Activity Document (PAD):

- Far too much growth and opportunity in the Philippines has been concentrated in and around Metro Manila. USAID strategy should seek to disperse jobs, income, and growth more widely across the country by focusing on second-tier cities as potential growth hubs;
- Despite seven percent increases in GDP annually, over several years, the level of poverty in the Philippines remains unchanged and income distribution sharply skewed. The phenomena of “jobless growth” was apparent;
- More competitive cities can serve as engines of growth, becoming magnets for entrepreneurial talent, innovation, trade and investment, typically producing more economic output and higher standards of living; and
- Urban areas with their larger populations and denser infrastructures typically sustain much higher levels of death and destruction from the Philippines' perennially high incidence of floods, typhoons, earthquakes, volcanic eruptions, and other natural disasters.

The development hypothesis of SURGE is based on the above premises, that is, resilient second-tier cities can be developed as engines of growth. The primary goal of SURGE is to provide highly innovative, creative, and cost-effective solutions that set the conditions for broad-based, inclusive, and resilient economic growth that foster increased investment, increased economic opportunities, and productive employment for a critical mass of cities and surrounding areas outside Metro Manila. SURGE aims to promote more balanced and resilient urban growth, reduce economic disparities, and improve socio-economic conditions for highly urbanized second-tier cities and their surrounding areas. It is intended to assist cities and adjacent areas to plan effectively, guarantee basic public services, reduce business transaction costs, promote competitiveness, support sustainable development, and reduce disaster risks while ensuring inclusive and sustainable growth. Assistance interventions promote efforts to:

- Improve local capacity in urban development;
- Increase local economic development by fostering business enabling measures; and
- Expand economic connectivity and access between urban and peripheral areas.

Tasks under SURGE focus on three key areas: 1) Strengthening local capacity in inclusive and resilient urban development, including the promotion of disaster risk reduction, climate change adaptation, and



ensuring access to sustainable water supply and sanitation services; 2) Promoting low-emission local economic development strategies together with streamlined administrative and regulatory procedures, and improved infrastructure and transport systems; and 3) Expanding economic connectivity and access between urban and rural areas.

As part of the project’s overall approach to economic inclusion, SURGE advocates for, and works to ensure, that economic growth is equitably distributed and enjoyed by all sectors regardless of gender, ethnicity, and religious beliefs. To support inclusion, SURGE also implements an extensive but focused package of technical assistance to increase the number of women entrepreneurs with access to a greater number of markets, and to increase opportunities to participate in viable supply chains and to enhance the efficiency and profitability of their existing business ventures. These additional tasks are funded under the Women’s Global Development and Prosperity (W-GDP) Initiative, which was launched in 2019 as the United States Government’s (USG’s) first whole-of-government effort to advance global women’s economic empowerment (SURGE/W-GDP, 2020 AMELP).

SURGE fosters the development of conditions for broad-based, inclusive and resilient economic growth for a critical mass of cities and surrounding areas outside Metro Manila, Cebu, and Davao. Figure 1 below illustrates the SURGE’s geographic reach, with Marawi as extension site of Cagayan de Oro.

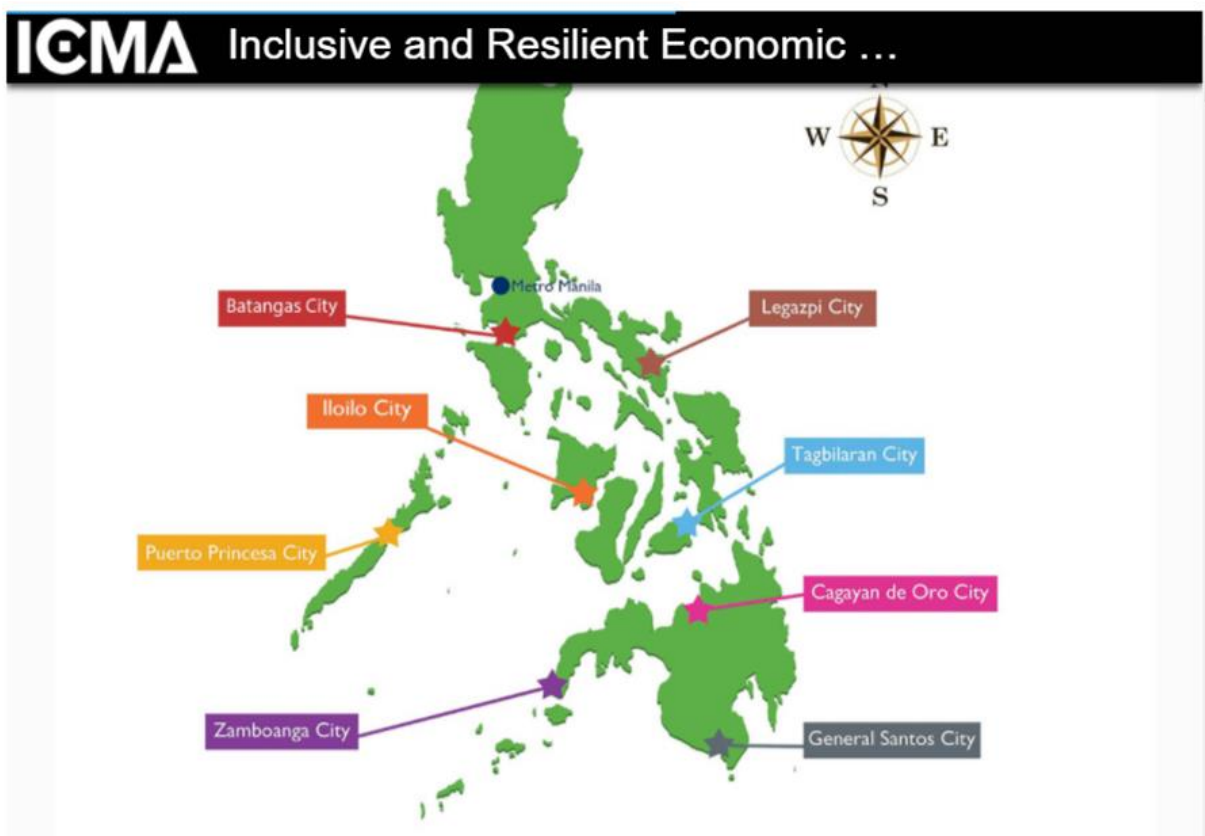


Figure 1 - SURGE Activity Sites

SOURCE: <https://icma.org/programs-and-projects/strengthening-urban-resilience-growth-equity-surge-project>



## DESCRIPTION OF THE INTERVENTION TO BE EVALUATED AND THEORY OF CHANGE

USAID designed SURGE such that at its end, CDI cities and local governments were to be enabling environments for higher levels of investment and private enterprise activity. The CDI regions would benefit from more rational land-use regulation and planning as well as be better positioned to take advantage of emerging economic opportunities and to leverage local competitive advantages. SURGE would build stronger institutionalized foundations and technical expertise on local economic development and related urban issues.

Figure 2 shows the results framework of SURGE based on its Revised Monitoring and Evaluation Plan (March 7, 2017), which considers some risks and assumptions that may influence the results. Accordingly, achievement of the SURGE’s goal assumes certain conditions to prevail over the life of the project such as full cooperation of project partners and demonstrated political will of Local Chief Executives of CDI partner cities to pursue the development objectives. On the other hand, the risks that may derail achievement of the project goal include natural disasters, changes in political leadership, and government inefficiency and corruption, among others. The list of indicators of the results framework of SURGE is shown in Annex I.

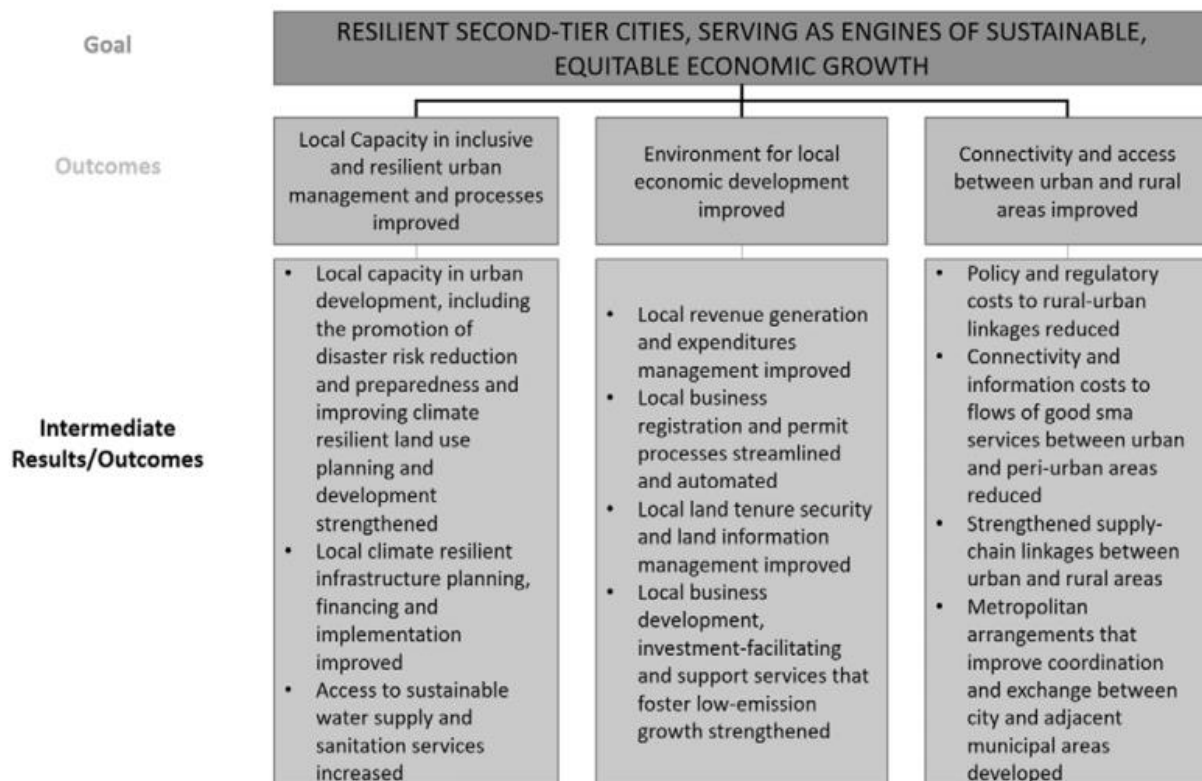


Figure 2 - SURGE Results Framework

As a flagship project under the CDI, SURGE’s logical framework is directly linked to the previous CDCS as shown in Figure 3. This CDCS had three development objectives and SURGE contributed to DO 1 and DO 3. Under DO 1, it contributed to two intermediate results – policy and regulatory environment improved (Sub-IR 1.1.1), and increased fiscal performance and transparency (Sub-IR 1.1.4). For DO3, SURGE directly contributed to five intermediate results: increased disaster preparedness (Sub-IR 3.1.1),

enhanced disaster prevention (Sub-IR 3.1.2), disaster mitigation measures implemented (Sub-IR 3.1.3), improved water supply and security (Sub-IR 3.2.1), and increased climate change resilience and mitigation (Sub-IR 3.2.2).

In the current CDCS, SURGE continues to contribute to the same outcomes with the former DO 1 re-grouped as DO 2, specifically IR 2.1 Regulatory Quality Improved and IR 2.2 Government Capacity to Finance Self-Reliance Increased, and those under DO 3 becoming IR 3.2 Sustainable Use of Natural Resources Strengthened and IR 3.4 Capacity to Mitigate Risks of and Respond to Disaster Strengthened.

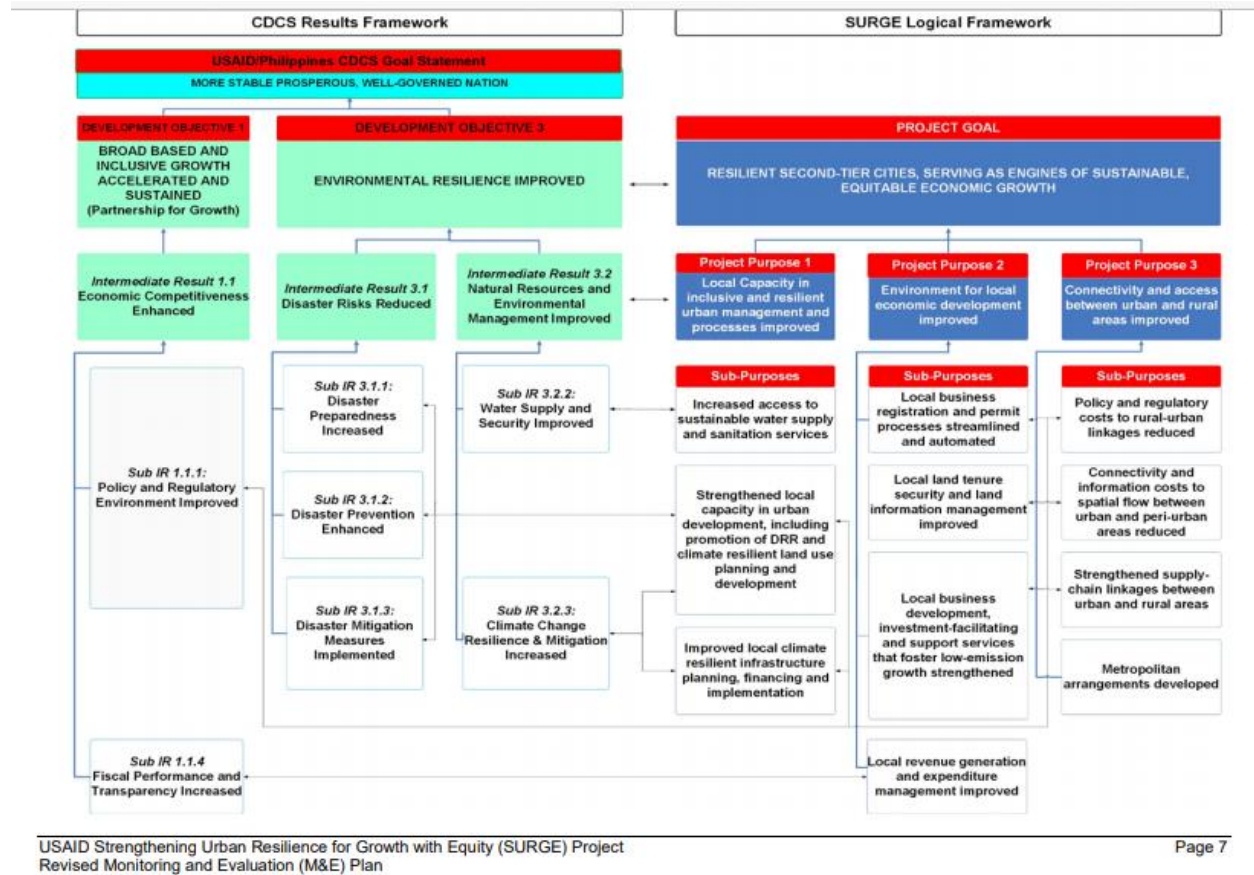


Figure 3 - SURGE Linkages to the CDCS 2013 - 2019

For DO 3, a more elaborate description of the SURGE sub-component on water and sanitation is illustrated in the Theory of Change (Figure 4), with relevant indicators and targets contained in Annex 2. This sub-component highlights the following strategic approaches:

- Institutional strengthening for mainstreaming climate and disaster-risk resilience
- Institutional strengthening for water
- Institutional strengthening for sanitation
- Creating an environment for private sector participation in water and sanitation
- Water resource management

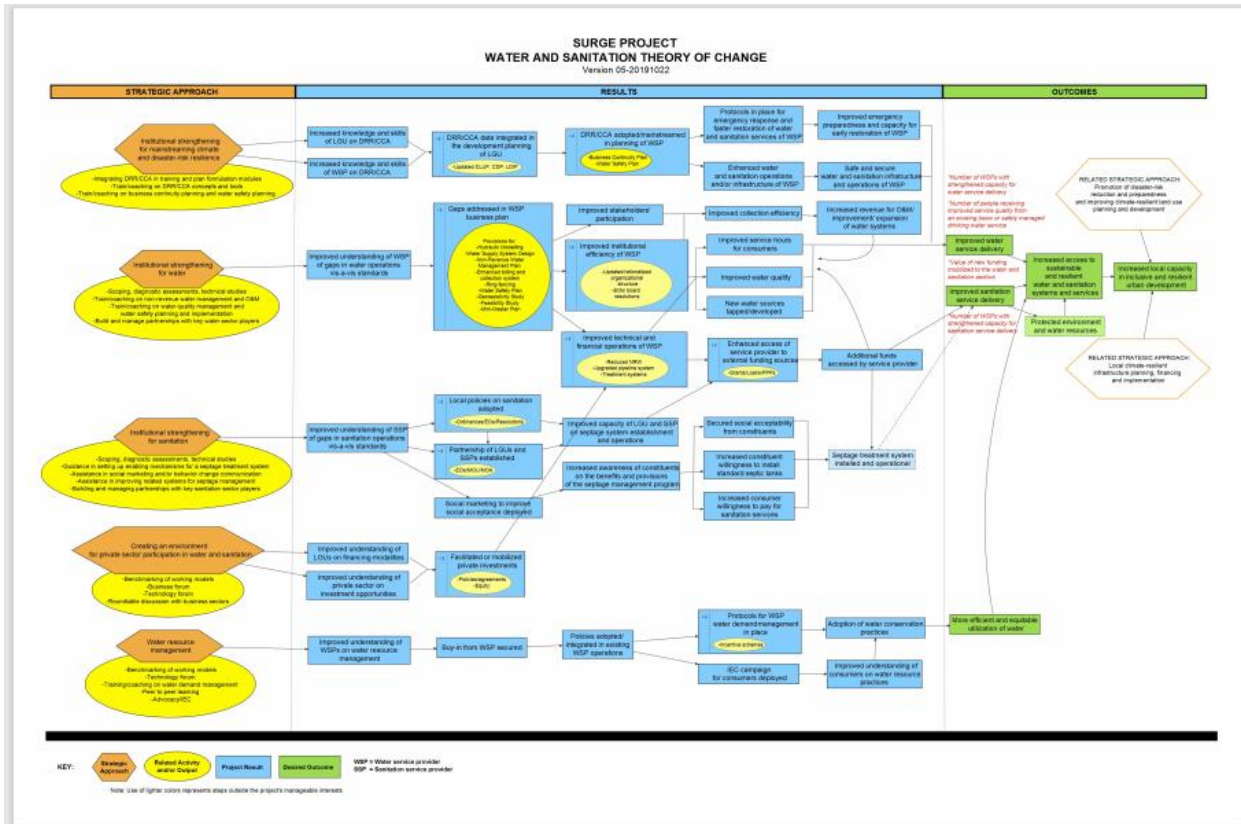


Figure 4. SURGE – TOC (water and sanitation sub-component)

The International City/ Country Management Association of (ICMA) is the SURGE implementing partner. According to ICMA, some of SURGE’s measures of success are:

- Number of cities with improved urban planning capacity
- Number of city regulations and administrative procedures simplified
- Increases in locally generated revenue sources, private investment, jobs, and new business registrations
- Overall ranking in sub-national competitive indices
- Number of stakeholders with increased capacity to adapt to the impacts of extreme weather events
- Improvements in land tenure
- Reductions in the time and cost of transporting goods between cities and their surrounding areas
- Improvements in access to safe drinking water, sanitation facilities, and social services

Recent statistics show that the Philippine Competitiveness Index significantly improved from 59.8 in 2017 to 62.13 in 2018. However, in 2019, it declined incrementally to 61.87.<sup>5</sup> Among Highly Urbanized

<sup>5</sup> See Philippine Competitiveness Index 2017-2019 Data at: <https://tradingeconomics.com/philippines/competitiveness-index>

Cities (HUCs), Iloilo City was included in the *2019 Most Improved Rankings*, from 11th place in 2018 to 9th in 2019.<sup>6</sup>

## EVALUATION QUESTIONS

The evaluation will focus on SURGE's performance in achieving its stated objectives and outputs. The questions focus on SURGE's relevance, effectiveness, and sustainability, and incorporate learning questions in SURGE's AMELPs.

**RELEVANCE** (alignment to policy and strategy): To what extent has SURGE contributed to addressing the development challenges that motivated the PFG-CDI, the thrusts of the NSS/Philippine Development Plan (PDP, 2017-2022), CDCS (previous and current), and USAID's policies on urban resiliency and WASH?

**EFFECTIVENESS** (original context of CDI-SURGE): To what extent did SURGE achieve the three objectives on improving local urban development processes, promoting local economic development, and expanding connectivity and access between urban and rural areas?

**SUSTAINABILITY:** What is the likelihood that initiatives and gains will continue after the completion of the project?

## EVALUATION DESIGN AND METHODOLOGY

The evaluation will be a performance evaluation of the six-year duration of the SURGE Activity. It shall be conducted within a seven-month period from March to September 2021. The scope of the evaluation will be the period corresponding to the six-year duration of SURGE performance.

The offeror is strongly encouraged to conduct appropriate mixed-method evaluation to obtain information necessary to answer each of the evaluation questions. The evaluation design and methodology would include quantitative and qualitative methods. The qualitative methods would include, among others, surveys, focus group discussions, outcome harvesting, governmental operations assessment, and case studies,

The offeror will have the option of proposing approaches in assessing the achievement of outcomes towards achieving the development hypothesis in the Theory of Change (TOC) (Figure 4) and the Results Framework (Figure 2).

The offeror is expected to propose a selection of CDI Cities, from among the original and expansion cities, with options for case studies on water and sanitation, and possible inclusion of Marawi City, as an extension Cagayan de Oro City, for USAID/PH's approval.

In terms of the unit of analysis, the offeror is expected to consider the synergy and linkages of indicators in the results framework. As a basis in determining the scope and extent of work considering time and budget, the evaluation would focus on changes on the part of the key stakeholders, brought about by SURGE's capacity building interventions in CDI sites. The offeror is also encouraged to evaluate the

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<sup>6</sup> See Cities & Municipalities Competitiveness Index at: <https://cmci.dti.gov.ph/pages/rankings/>

benefits gained by selected clients towards contributing to inclusive growth in the Philippines, with reference to outcome indicators in the results framework.

The offeror's evaluation proposal shall outline a research design that elaborates the methodologies to be used in data gathering and analysis as well as the establishment of criteria for the selection of study sites.

## **DELIVERABLES AND REPORTING REQUIREMENTS**

The following are the deliverables under this evaluation contract:

1. Inception Report with Evaluation Design and Work Plan;
2. Briefings and Learning Events;
3. Draft Evaluation Report; and
4. Final Evaluation Report

## **EVALUATION TEAM COMPOSITION**

The Offeror is encouraged to propose an evaluation team composed of a mix of experts with a combination of in-depth knowledge and understanding of local governance, governmental operations, urban and land use planning, disaster risk reduction, water and sanitation, micro, small and medium enterprise (MSMEs), and expertise in evaluation. Below is a suggested team composition:

### CLAIMDev Staff Oversight and Quality Control

- Principal Investigator (1 – CLAIMDev)
- Evaluation Specialist (1 - CLAIMDev)
- Travel and Meetings Coordinator (1 – CLAIMDev)

### Evaluation Team

- Team Leader (1)
- Local Governance Specialist (1)
- WASH Specialist (1)
- Micro, Small and Medium Enterprise (MSMEs) Specialist (1)
- Field Cities' Evaluation Assistants (4)
- Research Assistant (1)

At least one member of the evaluation team should have expertise in gender issues and women economic empowerment.

To reduce bias, members shall not have been involved in any recent, on-going or substantial way with the implementation of SURGE. All team members will be required to provide a signed statement attesting to a lack of conflict of interest or describing an existing conflict of interest. The evaluation team shall demonstrate familiarity with [USAID's Evaluation Policy](#).

## EVALUATION SCHEDULE

The period of performance for this Statement of Work is approximately seven months, with an estimated start in March 2021. The Offeror should propose the total level of effort required to complete the evaluation given the period of performance and budget.

EVALUATION SCHEDULE			
TASK NUMBER	TASK NAME	ESTIMATED DURATION	ESTIMATED SCHEDULE
Phase 1 – Recruitment and Hiring of STTA			
1	Recruit evaluation team	15 days	
*	On-demand task order issued	0 days	
2	Issue STTA contracts to evaluation team	5 days	About eight weeks after approval and award of research proposal
3	In-brief meeting with USAID	0 days	
Phase 2 – Conduct of Evaluation			
4	Evaluation team planning meeting	3 days	
5	Document review	10 days	
6	Initial consultations with IP and major stakeholders	5 days	
7	Prepare inception report with evaluation design, methodology, tools, and schedule	10 days	
8	Submit inception report to PI and COP for review	5 days	
9	Submit inception report to USAID for approval	0 days	39 calendar days after mobilization
10	Revise inception report	5 days	
11	Pilot tools and finalize	5 days	
12	Schedule data collection interviews and arrange logistics	10 days	
13	Submit revised inception report to USAID	0 days	75 calendar days after mobilization
14	Document review and analysis	10 days	
15	Data collection	30 days	
16	Data processing and analysis	10 days	
17	USAID Out brief	0 days	146 calendar days after mobilization
18	Findings, conclusions, and recommendations workshops with IP and major stakeholders	5 days	
19	Final report drafting	15 days	
20	Submit final report for PI and COP review	5 days	



## EVALUATION SCHEDULE

TASK NUMBER	TASK NAME	ESTIMATED DURATION	ESTIMATED SCHEDULE
21	Final report revisions	5 days	
22	Submit final report for Home Office review	5 days	
23	Submit final report draft to USAID	0 days	194 calendar days after mobilization
24	USAID Comments on final report	5 days	
25	Final report revisions based on USAID comments	5 days	
	Phase 3: Final Report Submission and Learning Events		
26	COP and Home Office report finalization	5 days	
27	Final report submission	0 days	215 calendar days after mobilization
28	Final report approval	5 days	
29	Final report submitted to the DEC. Data uploaded to the DDL	0 days	
30	Preparation and participation to Learning Event	5 days	

## FINAL REPORT FORMAT

The evaluation findings, conclusions, and recommendations will be consolidated into a message-oriented final report. The evaluation final report should include an executive summary; background of the local context and the Activity being evaluated; the main evaluation questions; the methodology or methodologies; the limitations to the evaluation; findings, conclusions, and recommendations; and lessons learned as applicable. The report should be formatted according to USAID’s evaluation report template, as listed below.

1. Abstract
2. Executive Summary
3. Evaluation Purpose
4. Background on the context and the strategies/projects/activities being evaluated
5. Evaluation Questions
6. Methodology
7. Limitations to the Evaluation
8. Findings, conclusions, and (if applicable) recommendations
9. Annexes

The report should not exceed 40 pages, inclusive of the executive summary. The executive summary should be 3–5 pages in length and should summarize the purpose, background of the Activity being evaluated, main evaluation questions, methods, findings, conclusions and recommendations and lessons learned (if applicable).



The evaluation methodology shall be explained in the report, in detail. Limitations to the evaluation shall be disclosed in the report, with particular attention to the limitations associated with the evaluation methodology (e.g., selection bias, recall bias)

The annexes to the report shall include the following: (a) the Evaluation SOW; (b) the Evaluation design and work plan; (c) any statements of difference, if any, regarding significant unresolved differences of opinion by funders, implementers, and/or members of the evaluation team; (d) all tools used in conducting the evaluation, such as questionnaires, checklists, and discussion guides; (e) sources of information, properly identified and listed; and (f) disclosure of conflict of interest forms for all evaluation team members, either attesting to a lack of conflicts of interest or describing existing conflicts of interest.

The Principal Investigator will ensure that the final evaluation report is publicly available through the USAID Development Experience Clearinghouse within 90 calendar days of the official completion date of the evaluation contract. The approved evaluation report shall be uploaded to the DEC by the evaluators. Per ADS 579, all collated data shall be stored in electronically readable form and submitted to the Development Data Library.

## **CRITERIA TO ENSURE THE QUALITY OF THE EVALUATION REPORT**

Per USAID ADS 201.3.5.17, draft evaluation reports must undergo a peer review organized by the office managing the evaluation. The following criteria will serve as the basis against which the report is reviewed:

- Evaluation report should represent a thoughtful, well-researched, and well-organized effort to objectively evaluate the strategy, project, or activity.
- Evaluation report should be readily understood and should identify key points clearly, distinctly, and succinctly.
- The Executive Summary of the evaluation report should present a concise and accurate statement of the most critical elements of the report.
- Evaluation report should adequately address all evaluation questions included in the SOW, or the evaluation questions subsequently revised and documented in consultation and agreement with USAID.
- Evaluation methodology should be explained in detail and sources of information properly identified.
- Limitations to the evaluation should be adequately disclosed in the report, with particular attention to the limitations associated with the evaluation methodology (i.e., selection bias, recall bias, unobservable differences between comparator groups).
- Evaluation findings should be presented as analyzed facts, evidence, and data, and should not be based on anecdotes, hearsay, or simply the compilation of people's opinions.

- Findings and conclusions should be specific, concise, and supported by strong quantitative or qualitative evidence.
- If evaluation findings assess person-level outcomes or impact, they should also be separately assessed for both males and females.
- If recommendations are included, they should be supported by a specific set of findings and should be action-oriented, practical, and specific, with particular focus on following criteria to ensure the quality of the evaluation report.

## **OTHER REQUIREMENTS**

All quantitative data collected by the evaluation team must be provided in an electronic file in easily readable format agreed upon with the Contracting Officer's Representative (COR). The data should be organized and fully documented for use by those not fully familiar with the Activity or the evaluation. USAID will retain ownership of all datasets developed.

USAID contractors must submit any Dataset created or collected with USAID funding to the DDL in accordance with the terms and conditions of their awards. This is in keeping with Executive Order 13642 and the OMB Open Data Policy (M-13-13) which states that an agency's "public data listing may also include, to the extent permitted by law and existing terms and conditions, datasets that were produced through agency-funded grants, contracts, and cooperative agreements."

## ANNEX I: SURGE INDICATORS

Desired Impact/ Outcome	Indicator	Description & Unit of Measurement	Reporting Frequency	Data Sources & Collection Method
(Overall Purpose of SURGE:) Economically Thriving and Resilient Growth Centers Outside Metro Manila	0.1 IMPACT Indicator: CDI Cities' Wealth of Cities Index (WCI)	Number (Index)	Annual	The measure of the wealth of cities is yet to be developed in Year 2 by the SURGE Technical Team and subject to USAID Approval. It will be a composite index of the existing set of indicators.  The index will be computed annually by the SURGE Team.
Component I: Local capacity in inclusive and resilient urban management and processes improved	1.1.1 OUTCOME Indicator: Number of CDI Cities with risk sensitive, socially inclusive and gender responsive land use plans	Number (Cumulative)	Annual	Source: LGUs /SURGE  Reports will be collected from the cities through the City Program Coordinators. Data sources include the following:  Comprehensive Land Use Plan (CLUP)  Comprehensive Development Plan (CDP)
	1.1.2 OUTCOME Indicator: Number of people supported by the USG to adapt to the effects of climate change (EG 11.5)	Number (Cumulative; disaggregated by sex)	Quarterly	Annual Investment Plan (AIP) - Local Climate Change Action Plan (LCCAP)  Disaster Risk Reduction Management Plan (DRRMP)  Executive Legislative Agenda (ELA)  Annual Budget and Expenditures Environmental Management Plan
	1.1.3 OUTCOME Indicator: Number of people using climate	Number (Cumulative; disaggregated by sex)	Quarterly	Reports from the Training/Capability Development activities will be collected.

	information or implementing risk reducing actions to improve resilience to climate change as supported by USG assistance (EG 11.6)			
	1.1.4 OUTCOME Indicator: Number of people trained in clean energy supported by USG assistance (EG 12-1)			
	1.1.5 OUTCOME Indicator:  Amount of investment mobilized (in USD) for climate change adaptation as supported by USG assistance (EG.11-4)	Amount (in USD; disaggregated by public/private, domestic/ international funds)	Annual	Source: LGUs/SURGE  Annual Reports/Statement of Receipts and Expenditures will be requested from the CDI cities. Funds utilized for climate change adaptation and disaster risk reduction and management must be reflected in the reports.
	1.1.6 OUTCOME Indicator Greenhouse gas (GHG) emissions, estimated in metric tons of CO2e, reduced, sequestered, or avoided	Metric Tons CO2 equivalent		Source: LGUs /SURGE  Available GHG inventory data on the cities from secondary sources (e.g., Carbon Registry) and USAID B-LEADERS. GHG Management Planning will be conducted in Year 2 for accounting and updating of GHG inventory.

	through clean energy activities as supported by USG assistance (EG. 12-6)			Reports from implementing partners on the emission reductions will be aggregated.
	<p>1.1.4 OUTCOME Indicator Number of people receiving improved service quality from an existing basic or safely managed drinking water service as a result of USG assistance (HL.8.1-3)</p>	Number (Cumulative; Disaggregated by sex and residence)	Annual	<p>Source: LGUs /SURGE</p> <p>Basis for baseline: Rapid water assessment in non-Be Secure cities.</p> <p>Targets are determined using the Water and Sanitation Assessment. - Reports will be collected from partner implementing agencies (e.g., water districts, water service providers).</p>
	<p>1.1.5 OUTCOME Indicator Number of people gaining access to a basic sanitation service as a result of USG assistance (HL.8.2-2)</p>	Number (Cumulative; Disaggregated by sex and residence)	Annual	
Component 2: Environment for local economic development improved	<p>2.1.1 OUTCOME Indicator CDI Cities' Cities and Municipalities Competitiveness Index (CMCI) improved</p>	Number (Index)	Annual	<p>Source: NCC</p> <p>Reference for CMCI Methodology available at <a href="http://pdf.usaid.gov/pdf_docs/PA00K5T2.pdf">http://pdf.usaid.gov/pdf_docs/PA00K5T2.pdf</a></p> <p>Ranking of CDI cities will be the overall rank excluding NCR, Cebu, and Davao.</p>

	<p>2.1.2 OUTCOME</p> <p>Indicator Number of newly registered businesses</p>	<p>Number (Cumulative)</p>	<p>Annual</p>	<p>Source: SURGE/LGUs</p> <p>This indicator is expected to show how SURGE cities are improving its business-enabling environment.</p> <p>To be collected from the BPLO of the cities.</p>
	<p>2.1.3 OUTCOME</p> <p>Indicator Percentage increase of locally sourced or municipal (city) revenue</p>	<p>Percentage (Cumulative)</p>	<p>Annual</p>	<p>Source: LGUs /BLGF</p> <p>Annual Report on Budget on Expenditures/Statement of Revenues and Expenditures (SRE) will be collected from the LGUs for the computation of the percentages. - URL for the SRE reports found under LGU Fiscal Data: <a href="http://blgf.gov.ph/lgufiscal-data/">http://blgf.gov.ph/lgufiscal-data/</a></p>
	<p>2.1.4 OUTCOME</p> <p>Indicator Number of parcels with relevant parcel information corrected or incorporated into an official land administration system as a result of USG assistance (10.4-5)</p>	<p>Number (Cumulative)</p>	<p>Annual</p>	<p>Source: LGUs /SURGE</p> <p>The Project will facilitate the establishment of a Unified Land Information System (ULIS) and a Digital Cadastral Database (DCDB). The data on the parcels will be collected from the system.</p>
	<p>2.1.5 OUTCOME</p> <p>Indicator Number of firms receiving USGfunded technical assistance for</p>	<p>Number (Cumulative)</p>	<p>Quarterly</p>	<p>Source: LGUs /SURGE</p> <p>The data will be collected from the Component 2 and 3 reports on technical assistance provided to BPLOs, IPCs, LEIPOs, BSOs, and other implementing partners that</p>

	improving business performance (5.2-1)			were supported to facilitate assistance to firms in the CDI cities.
Component 3: Connectivity and access between urban and rural areas improved	3.1.1 OUTCOME Indicator Time and Cost of transporting goods between CDI city and peri-urban areas reduced	Number (Time in Hours) and Amount (in USD)	Annual	Source: LGUs /SURGE  Formulation of Measurement Tool and the Monitoring System for reduction of Connectivity and Information Costs [to be undertaken in Year 2].  Number of hours and amount to be updated for the progress in reduction using the formulated measurement tool.
	3.1.2 OUTCOME Indicator Number of municipal (city) regulations and administrative procedures that have been simplified as a result of USG assistance (4.6-1-14)	Number (Cumulative)	Quarterly	Source: LGUs/SURGE  Reports and necessary documentation from the cities will be collected after they are approved/formally adopted.
	3.1.3 OUTCOME Indicator Number of beneficiaries receiving improved transport services due to USG assistance (4.4.3-7)	Number (Cumulative; disaggregated by sex)	Annual	Source: LGUs /SURGE  Reports from implementing agencies will be collected. Project will identify the infrastructure that has been supported with USAID funding, and to estimate using reasonable methods the number of beneficiaries of this infrastructure



	<p>3.1.4 OUTCOME Indicator Private investment in CDI cities and adjacent peri-urban areas increased</p>	<p>Amount (in PHP and USD) . (Cumulative)</p>	<p>Annual</p>	<p>Source: LGUs /SURGE/NCC</p> <p>Reports from the BPLO on private investments (capitalization of new businesses) will be collected.</p> <p>Historical database will be collected (included in the Economic Dynamism Sub-Index)</p>
<p>Cross Cutting</p>	<p>4.2.1 OUTPUT Indicator Number of laws, policies, or procedures drafted, proposed or adopted to promote gender equality at the regional, national or local level</p>	<p>Number (Cumulative)</p>	<p>Annual</p>	<p>Source: LGUs/SURGE</p> <p>Reports from the cities through the CPCs, Component Leads and Gender Specialist will be collected.</p>

# ANNEX 2: SURGE – ENVIRONMENT OFFICE INDICATORS AND TARGETS

**SURGE ENVI-OFFICE INDICATORS ANNUAL TARGETS**  
(Accomplishment as of Dec 2020)

Indicators	Year 1		Year 2		Year 3		Year 4		Year 5		Year 6 (Q1)		Cumulative/LOP (as of Dec 2020)		
	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target <sup>1</sup>	Actual	%
1.1 Number of CDI Cities with risk-sensitive, socially inclusive, and gender-responsive land use plans	2	2 <sup>2</sup>	1	1	5	1	3	1	1	1	2	0	6	4	67%
1.2 Number of people supported by the USG to adapt to the effects of climate change (EG.11-5)	0	0	200,000	251,034	500,000	70,933	178,000	165,617	165,000	152,158	70,000	0	720,000	639,742	89%
1.3 Number of people using climate information or implementing risk-reducing actions to improve resilience to climate change as supported by USG assistance (EG.11-6)	0	0	956	2,297	2,000	257	1,000	564	80	164	80	0	3,330	3,282	99%
1.4 Number of people trained in clean energy supported by USG assistance (EG.12-1)	0	337 (reported postfacto)	50	44	50	48	50	72	0	0	0	0	200	541	271%
1.5 Amount of investment mobilized (in USD) for climate change adaptation as supported by USG assistance (EG.11-4)	0	0	\$299,166	\$409,207	\$200,000	\$61,553	\$30,000	\$38,961	0	0	0	0	\$500,000	\$509,721	102%
1.6 Greenhouse gas (GHG) emissions, estimated in metric tons of CO2e, reduced, sequestered, or avoided through clean energy activities supported by USG assistance (EG.12-6)	0	0	0	0	500 <sup>3</sup>	0	0	0	300 <sup>3</sup>	241.84	1,200	167.97	1,500	411.81	27%
1.7 Value of new funding mobilized to the water and sanitation sectors as a result of USG assistance (HL.8.4-1)	n/a	n/a	n/a	n/a	n/a	n/a	n/a	\$105,095	\$900,000 <sup>3</sup>	\$1,099,085	\$1,000,000	\$238,792	\$2,000,000	\$1,337,877	67%
1.8 Number of water service providers with strengthened capacity for water service delivery	n/a	n/a	n/a	n/a	n/a	n/a	n/a	28	30	40	20	0	60	42	70%
1.9 Number of water service providers with strengthened capacity for sanitation service delivery	n/a	n/a	n/a	n/a	n/a	n/a	n/a	3	4	5	2	1	7	8	114%
1.10 Number of people receiving improved service quality from an existing basic or safely managed drinking water service as a result of USG assistance (HL.8.1-3)	0	0	200,000	24,525	200,000	4,032	175,000	191,772	200,000	144,638	50,000	0	450,000	364,967	81%
Ret. (F) Number of people gaining access to safely managed drinking water services as a result of USG assistance (HL.8.1-2)	n/a	0	n/a	0	0	44,972	100,000	44,972	n/a	n/a					
Ret. (F) Number of people gaining access to a basic sanitation service as a result of USG assistance (HL.8.2-2)	0	0	295,000	0	1,000	-	30,000	-	n/a	n/a					
Ret. (F) Number of people gaining access to a safely managed sanitation service as a result of USG assistance (HL.8.2-3)	n/a	n/a	n/a	n/a	300,000	300,000	300,000	300,000	n/a	n/a					

<sup>1</sup> Adjusted following revisions in in Year 5 and addition of Year 6 targets; Sept 2020  
<sup>2</sup> Baseline reported as Actual  
<sup>3</sup> Original targetline was 500 tCO2e per year from Years 3 to 5.

Indicators	Year 1		Year 2		Year 3		Year 4		Year 5		Year 6 (Q1)		Cumulative/LOP (as of Dec 2020)		
	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	%
<b>MARAWI</b>															
M1.1 (F) Value of new funding mobilized to the water and sanitation sectors as a result of USG assistance (HL.8.4-1)			n/a		\$2,000,000	\$40,000	Balance	\$2,880,000	Balance	\$1,828,000	Continuing		\$2,000,000	\$4,748,000	237%
M1.2 Number of water service providers with strengthened capacity for water service delivery			n/a		n/a	n/a	n/a	New; replacement	1	1	Continuing		1	1	100%
M1.3 Number of water service providers with strengthened capacity for sanitation service delivery			n/a		n/a	n/a	n/a	New; replacement	1	1	Continuing		1	1	100%
M1.4 Number of people educated on tools, approaches, and/or methods for water security, integrated water resource management, and/or water source protection as a result of USG assistance			n/a		200	50	Balance	44	Balance	146	Continuing	22	200	262	131%
M1.5 Number of improved water and wastewater treatment policies, laws, plans strengthened, developed, adopted and/or implemented			n/a		3	0	Balance	0	Balance	3	Continuing		3	3	100%
<b>COVID-19 WASH Indicators<sup>3</sup></b>															
CV5 Number of cities supported with USG assistance to improve on handwashing program for disease prevention and control					n/a				8	8	8	8	8	8	100%
CV6 (From ESF Pillar 4 list) Number of health facilities, schools, water points, markets and other public spaces or businesses equipped with handwashing facilities in accordance with local standards with USG assistance.					n/a				3	6	27	4	30	10	33%
CV7 (F) Value of new funding mobilized to the water and sanitation sectors as a result of USG assistance (HL.8.4-1)					n/a				\$20,000	\$27,702	\$10,000	\$44,356	\$30,000	\$72,058	240%

## **ANNEX 3. LIST OF RELEVANT PROJECT DOCUMENTS**

The evaluation team will have access to reports and other assessments which were part of SURGE's monitoring, evaluation, and learning (MEL) activities.

The Implementing Partner and the SURGE COR will provide a list of relevant contacts and provide the evaluation team with access to relevant activity documents. The timely provision and access to activity documents and assessments will be critical to ensure that members of the evaluation team have background documentation necessary to conduct the evaluation. An initial list of references related to the implementation of SURGE are listed below.

- USAID's Country Development Cooperation Strategy (CDCS 2013-2019 and 2019-2024)
- CDI Project Appraisal Document (March 2014)
- SURGE Revised Monitoring and Evaluation Plan (March 2017), including prior and updated versions
- SURGE Years 1-4 Pause and Reflect Workshop Documentation Report
- SURGE W-GDP Monitoring, Evaluation and Learning (MEL) Plan (2020)
- SURGE Annual Reports
- SURGE's most recent quarterly report
- CDI Newsletters on SURGE ([icma.org](http://icma.org))
- CDI Rapid Assessment Report (May 2019)