

APPENDIX I – INCEPTION REPORT

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

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ACRONYMS

BFAR	Bureau of Fisheries and Agrarian Resources
BFP	Bureau of Fire Protection
BPLO	Business Permitting and Licensing Office
BPLS	Business Permitting and Licensing System
CCC	Climate Change Commission
CDCS	Country Development Cooperation Strategy
CDI	Cities Development Initiative
COP	Chief of Party
CPC	City Program Coordinator
CPDO	City Planning and Development Office
CPC	City Program Coordinators
DENR	Department of Environment and Natural Resources
DICT	Department of Information and Communication Technology
DILG	Department of the Interior and Local Government
DO	Development Objective
DOT	Department of Tourism
DOTC	Department of Transportation and Communication
DPWH	Department of Public Works and Highways
DTI	Department of Trade and Industry
FGD	focus group discussion
HLURB	Housing and Land Use Regulatory Board
ICMA	International City/ Country Management Association
IP	implementing partner
IR	Intermediate Result
KII	key informant interview

LCE	Local Chief Executive
LGU	local government unit
LRA	Land Registration Authority
MSME	micro, small and medium enterprise
NEDA	National Economic and Development Authority
PDP	Philippine Development Plan
PFG	Partnership for Growth
SDG	Sustainable Development Goal
SOW	Scope of Work
STTA	Short-Term Technical Assistance
SURGE	Strengthening Urban Resilience for Growth with Equity
TOC	Theory of Change
WASH	Water, Sanitation, and Hygiene
W-GDP	Women's Global Development and Prosperity

DESCRIPTION OF ACTIVITY

TABLE I - SUMMARY INFORMATION

Activity Name	Strengthening Urban Resilience for Growth with Equity (SURGE)
Implementing Partner	International City/ Country Management Association (ICMA)
Cooperative Agreement number	AID-492-H-15-00001
Total Estimated Cost (TEC)	\$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) –8 CDI Cities: Batangas City, Cagayan de Oro City, Iloilo City, General Santos City, Legazpi City, Puerto Princesa City, Tagbilaran City, and Zamboanga City, plus Marawi City as an expansion city
Mission Development Objective (DO) CDCS 2013-2019	DO 1: Broad-based and Inclusive Growth Accelerated and Sustained IR 1.1: Economic Competitiveness Enhanced DO 3: Environmental Resiliency 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
Evaluation Type	External Performance Evaluation

PURPOSE OF THE EVALUATION

The United States Agency for International Development/Philippines (USAID/PH) commissioned a third-party performance evaluation of the Strengthening Urban Resilience for Growth with Equity (SURGE) Activity. Through this evaluation, USAID/PH aims to assess SURGE's implementation progress and achievement of its project objectives, improving government operations in selected second-tier cities deemed important drivers of inclusive economic growth. SURGE is guided by USAID's strategies on sustainable urban services,¹ water, sanitation, and hygiene (WASH),² and other cross-cutting policies such as gender inclusion and private sector engagement. It is central to the Cities Development Initiative (CDI), a vital 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

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

² See https://www.usaid.gov/sites/default/files/documents/1865/USAID_Water_Strategy_3.pdf

the Development Objectives (DO) 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 (July 27, 2015 to present). The Mission implemented the activity in nine (9) CDI cities, specifically Batangas, Cagayan de Oro, Iloilo, Tagbilaran, Puerto Princesa, Zamboanga, Legazpi, General Santos, and Marawi.³

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 resilience against natural hazards.⁴

Results of the evaluation will inform the co-creation of next-generation activities (Nextgen SURGE) under the USAID policy on urban resiliency, particularly on improving the 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. Aside from accountability and learning, the evaluation will also inform the ongoing formulation of the USAID-wide policy on local capacity development.

The intended audiences of this evaluation are USAID/PH technical and program office staff, 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.

BACKGROUND

In the past decade, the Philippines’ economic growth 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. USAID developed the Cities Development Initiative (CDI) to increase economic growth opportunities to spread to other well-governed, highly urbanized and secondary cities to address this concern. The increased economic growth in these other cities would help equalize income distribution across the Philippines.

The development hypothesis of SURGE is that its interventions can help develop resilient second-tier cities as engines of growth. The primary goal of SURGE is to provide highly innovative, creative, and cost-effective solutions that set conditions for broad-based, inclusive, and resilient economic growth. These interventions will foster increased investment, economic opportunities, and productive employment for a critical mass of cities and surrounding areas outside Metro Manila.

SURGE assists cities and adjacent areas to plan effectively, provide essential public services, reduce

³ The nine cities comprise of the original sites (Batangas, Cagayan de Oro, Iloilo), those identified as first batch (Tagbilaran, Puerto Princesa and Zamboanga), and second batch (Legazpi, General Santos). The city of Marawi was later identified as an extension of Cagayan de Oro City. Intervention in Marawi was part of the Mission’s response to the Marawi Siege.

⁴ See <https://www.neda.gov.ph/philippine-development-plan-2017-2022/>

business transaction costs, promote competitiveness, support sustainable development, and reduce disaster risks while ensuring inclusive and sustainable growth. SURGE promotes efforts to:

- Improve local capacity in urban development
- Increase local economic development by fostering business enabling measures
- 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. SURGE implements an extensive but focused package of technical assistance for women to increase the number of women entrepreneurs with access to a more significant number of markets, increase opportunities to participate in viable supply chains, and enhance the efficiency and profitability of their existing business ventures. The Women's Global Development and Prosperity (W-GDP) Initiative funds SURGE's inclusion support.

Figure 1 illustrates SURGE's geographic reach. Marawi City is an extension site of Cagayan de Oro for humanitarian assistance and recovery interventions as part of USAID/PH's response to the Marawi Siege.

Figure 1 - Surge Activity Sites



SURGE THEORY OF CHANGE AND DESCRIPTION

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

As a flagship project under the CDI, SURGE's logical framework links directly to the previous CDCS (2013 – 2019). This CDCS had three development objectives, and SURGE contributed to DO 1 and DO 3. Under DO 1, it contributed to two intermediate results: improved policy and regulatory environment (Sub-IR 1.1.1) and increased fiscal performance and transparency (Sub-IR 1.1.4). For DO 3, 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 into 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.

SURGE is part of USAID's response to the Marawi siege, providing support to enhancing access to safe water and sanitation to Marawi City, restoring livelihoods of internally displaced persons, and supporting economic activity in Marawi/Lanao provinces. SURGE also forms part of USAID/PH's COVID-19 response.

EVALUATION QUESTIONS

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

Figure 2 provides a snapshot of the three areas of evaluation and the central evaluation question for each. Tables 1, 2, and 3 present more specific questions under these three major evaluation questions. As presented in Tables 1, 2, and 3, these evaluation questions served as a reference in preparing the evaluation tools and instruments. As seen in [Annex A](#), the Evaluation Design Matrix indicated the data gathering instruments and data analysis methods discussed in detail under methodology.

Figure 2 - Evaluation Areas and Questions

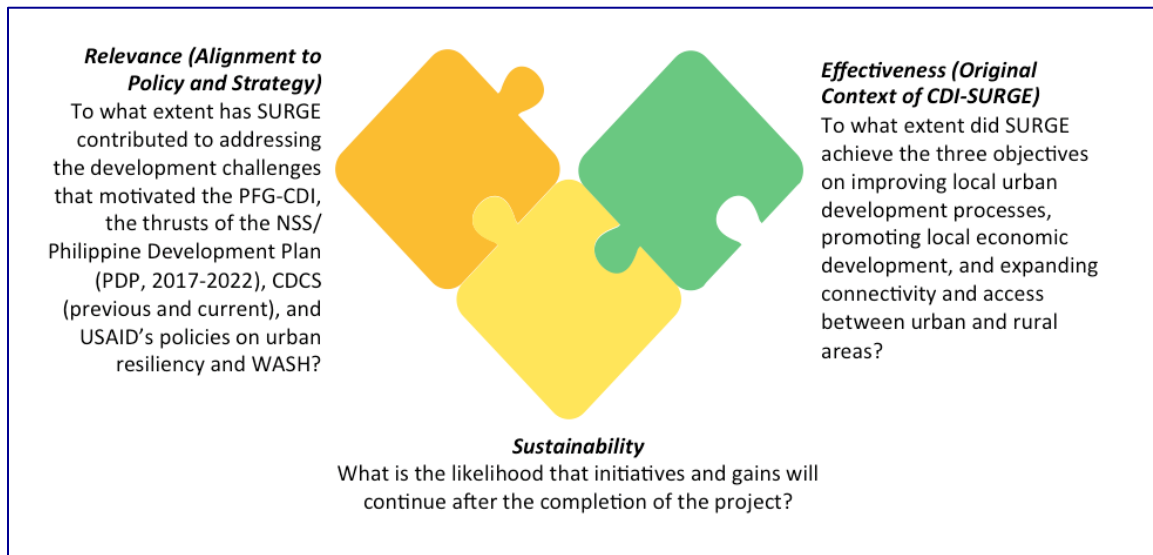


TABLE 2 - SPECIFIC EVALUATION QUESTIONS ON RELEVANCE

I. Relevance (Alignment to Policy and Strategy):

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

QUESTIONS	SUB-QUESTIONS	COMPONENT SPECIFIC PROBING QUESTIONS
I.1 How relevant were the activities/ interventions conducted by SURGE in terms of contributing to higher-level development goals (e.g., CDCS, CDI, PFG)?	I.1.1 To what extent has SURGE contributed to achieving the development objectives of CDCS (previous and current), CDI, and PFG?	I.1.1.1 To what extent has SURGE contributed to the DOI (broad-based and inclusive growth accelerated and sustained) and DO2 (environmental resilience improved)?
	I.1.2 How relevant was SURGE in promoting international development commitments?	I.1.2.1 To what extent has SURGE contributed to promoting the following international commitments: - Sustainable Development Goals - Paris Agreement on Climate Change
	I.1.3 How relevant was SURGE in promoting USAID policies on urban resiliency and WASH?	
	I.1.4 Were opportunities present for increasing the contribution of SURGE to higher development objectives?	I.1.4.1 Were there opportunities for increasing SURGE contribution to the development objectives of CDCS (previous and current)? I.1.4.2 Were there opportunities for increasing SURGE contribution to the promotion of international commitments?
I.2 In the context of the development hypothesis of SURGE, how relevant were the activities conducted?	I.2.1 How responsive were the activities conducted to the SURGE development hypothesis, i.e., resilient second-tier cities can serve as engines of growth and help equalize income distribution across the country?	I.2.1.1 How responsive were the activities conducted to address the 2014 CDI Project Appraisal Document (see page 3 of Panagora Technical Proposal)?
I.3 How relevant were the activities conducted by SURGE to the development priorities and needs of key stakeholders at the national, regional, and local levels?	I.3.1 How relevant were the SURGE activities in addressing the development priorities outlined in the National Spatial Strategy and PDP, 2017-2022?	I.3.1.1 Were there opportunities for SURGE to increase its contribution to national development priorities?
	I.3.2 How relevant were the SURGE activities in addressing the development priorities outlined in regional development plans?	I.3.2.1 Were there opportunities for SURGE to increase its contribution to regional development priorities?
	I.3.3 How relevant were the SURGE activities in addressing the development priorities outlined in city/local development plans?	I.3.3.1 Were there opportunities for SURGE to increase its contribution to local development priorities?
	I.3.4 How relevant were the SURGE activities in addressing the needs of key stakeholders and target beneficiaries?	I.3.4.1 Were there opportunities for SURGE to increase its contribution towards addressing the needs of its stakeholders and beneficiaries?

TABLE 2 - SPECIFIC EVALUATION QUESTIONS ON RELEVANCE

1. Relevance (Alignment to Policy and Strategy):

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

QUESTIONS	SUB-QUESTIONS	COMPONENT SPECIFIC PROBING QUESTIONS
	1.3.5 What are the challenges and opportunities for second-tier cities to foster inclusive growth at the policy and regulatory levels?	1.3.5.1 How did SURGE address the challenges? 1.3.5.2 How did SURGE capitalize on the opportunities?

TABLE 3 - SPECIFIC EVALUATION QUESTIONS ON EFFECTIVENESS

2. Effectiveness (Original Context of CDI-SURGE):

To what extent did SURGE achieve the three outcomes: improving local urban development processes, promoting local economic development, and expanding connectivity and access between urban and rural areas?

QUESTIONS	SUB-QUESTIONS	COMPONENT SPECIFIC PROBING QUESTIONS
2.1 To what extent did SURGE improve local capacity in inclusive and resilient urban development (Component 1)?	2.1.1 To what extent has SURGE achieved its Component 1 indicator targets (Indicator Nos. 1.1.1 to 1.1.8)?	2.1.1.1 What factors facilitated or hindered the achievement of Component 1 targets? 2.1.1.2 How were the hindering factors addressed?
2.2 To what extent did SURGE contribute to the improvement of the environment for local economic development (Component 2)?	2.2.1 To what extent has SURGE achieved its Component 2 indicator targets (Indicator Nos. 2.1.1 to 2.1.5)?	2.2.1.1 What factors facilitated or hindered the achievement of Component 2 targets? 2.2.1.2 How were the hindering factors addressed?
2.3 To what extent did SURGE improve connectivity and access between urban and rural areas (Component 3)?	2.3.1 To what extent has SURGE achieved its Component 3 indicator targets (Indicator Nos. 3.1.1 to 3.1.5)?	2.3.1.1 What factors facilitated or hindered the achievement of Component 3 targets? 2.3.1.2 How were the hindering factors addressed?
2.4 To what extent did SURGE achieve each expected output (sub-components) per objective (component)?	2.4.1 What activities did SURGE implement to achieve each output (sub-component)?	2.4.1.1 Component-specific question (e.g., What activities did SURGE implement to increase access to sustainable water supply and sanitation?) 2.4.1.2 What factors facilitated or hindered the achievement of each sub-component? 2.4.1.3 How were the hindering factors addressed?
	2.4.2 Which government functions were improved and how?	2.4.2.1 To what extent have government functions improved responsiveness to attract private investment and support micro/small/medium enterprises (MSMEs)?
	2.4.3 To what extent has SURGE improved local economic activities between CDI areas and adjacent cities/ municipalities	
	2.4.4 What were the contributions of SURGE towards improving environmental	

TABLE 3 - SPECIFIC EVALUATION QUESTIONS ON EFFECTIVENESS

2. Effectiveness (Original Context of CDI-SURGE):

To what extent did SURGE achieve the three outcomes: improving local urban development processes, promoting local economic development, and expanding connectivity and access between urban and rural areas?

QUESTIONS	SUB-QUESTIONS	COMPONENT SPECIFIC PROBING QUESTIONS
	resilience (disaster risk, and water supply and security)?	
2.5 To what extent did SURGE contribute to the objectives of W-GDP?	2.5.1 Has SURGE provided equal access to opportunities for economic empowerment to both men and women in the urban and rural areas?	
	2.5.2 Will improved knowledge and increased access to business support services translate to increased incomes for the target enterprises? (Learning Plan, W-GDP)	
	2.5.3 Will SURGE package of technical assistance to targeted participants, areas result in increased employment, participation, and increased incomes for women? (Learning Plan, W-GDP)	
2.6 To what extent did SURGE contribute to higher-level outcomes (e.g., CDCS Results Framework)?	2.6.1 To what extent has SURGE contributed to specific CDCS objectives (e.g., improving policy and regulatory environment; increasing fiscal performance and transparency; increasing disaster preparedness; enhancing disaster prevention; implementing disaster mitigation measures; improving water supply and security; increasing climate change resilience and mitigation)	2.6.1.1 Were there opportunities for increasing SURGE's contribution towards higher-level outcomes?
2.7 What factors facilitated or hindered the achievement of SURGE objectives (outcomes) and outputs?	2.7.1 Which of the identified risks and assumptions deemed to influence the achievement of the project goal occurred (or otherwise)? And if so, how were these managed?	2.7.1.1 How were the risks managed? 2.7.1.2 Were risk assessments conducted?
	2.7.2 Which of the three objectives contributed the most to achieving the development goal of inclusive growth through strengthened urban resiliency with equity?	2.7.2.1 What were the facilitating factors?
2.8 Were there any unintended outcomes (positive or negative) from the SURGE project?	2.8.1 What outcomes were not anticipated or captured by the SURGE ToC or results framework?	2.8.1.1 Were there any synergies achieved between SURGE and other USG-funded projects in CDI cities?
		2.8.1.2 Were there any unintended outcomes that resulted from the Marawi response?
		2.8.1.3 How did SURGE affect USG's visibility in project areas?

TABLE 3 - SPECIFIC EVALUATION QUESTIONS ON EFFECTIVENESS

2. Effectiveness (Original Context of CDI-SURGE):

To what extent did SURGE achieve the three outcomes: improving local urban development processes, promoting local economic development, and expanding connectivity and access between urban and rural areas?

QUESTIONS	SUB-QUESTIONS	COMPONENT SPECIFIC PROBING QUESTIONS
2.9 What lessons did SURGE learn from interventions and approaches?	2.9.1 Which SURGE interventions and approaches worked well (or did not work)?	2.9.1.1 Which among the interventions contributed most/least to the achievement of SURGE intended outcomes? 2.9.1.2 What were the facilitating and hindering factors? 2.9.1.3 Did varying scope or scale of sub-components yield significantly different levels of results?
	2.9.2 What practices were successful, e.g., brought about positive changes? (Note: define practices/ successful)	2.9.2.1 What were the facilitating and hindering factors?

TABLE 4 - SPECIFIC EVALUATION QUESTIONS ON SUSTAINABILITY

3. Sustainability:

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

QUESTIONS	SUB-QUESTIONS	COMPONENT SPECIFIC PROBING QUESTIONS
3.1 What are the prospects that the outcomes and intermediate results generated by the project will continue after project completion without further assistance from SURGE?	3.1.1 Are technical, institutional, and financial capacities adequate to ensure continuity to project activities?	3.1.1.1 What is the likelihood that LGUs will take ownership of the interventions initiated by SURGE?
	3.1.2 Are policies in place to ensure continuity of SURGE activities?	
3.2 Were sustainability mechanisms integrated into the design and implementation of SURGE? What were the intended or unintended results?	3.2.1 What were the exit strategies developed and implemented/conducted by the IPs?	
	3.2.2 Which sustainability mechanisms worked or did not work? What were the facilitating and hindering factors? 3.2.3 What gaps need to be addressed within the Mission and externally by the host government to ensure sustainability?	
3.3 What is the likelihood that the activities and benefits derived from W-GDP will continue after project completion	3.3.1 What is the likelihood that providing equal access to opportunities for economic empowerment to both men and women in the urban and rural areas will continue in CDI cities?	
	3.3.2 What is the likelihood that the SURGE assistance package will continue to produce champions and leaders among target women entrepreneurs	

TABLE 4 - SPECIFIC EVALUATION QUESTIONS ON SUSTAINABILITY

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

QUESTIONS	SUB-QUESTIONS	COMPONENT SPECIFIC PROBING QUESTIONS
	after project completion? (Learning Plan, W-GDP)	
3.4 Are there opportunities for replicating successful SURGE interventions in the future?	3.4.1 Are there national or local government plans to replicate or expand any of the SURGE interventions in the future? 3.4.2 Are there plans by USG to expand or replicate any of the SURGE interventions in the future?	

EVALUATION APPROACH

The evaluation approach is multi-sectoral, consultative, participatory, and stakeholder-driven. This evaluation will engage the various SURGE partners - government, private sector, academe, and individual development actors at national and sub-national levels. Their insights and opinions on the level of performance of SURGE implementation are crucial in responding to the multi-faceted evaluation questions.

Table 5 lists SURGE's major implementation partners.

TABLE 5 - SURGE'S MAJOR IMPLEMENTATION PARTNERS

NATIONAL GOVERNMENT AGENCIES	NATIONAL GOVERNMENT AGENCIES AT THE REGIONAL AND CITY LEVELS	AGENCIES AND INSTITUTIONS AT THE CITY LEVEL
National Economic and Development Authority (NEDA)	NEDA Regional Offices	Office of the Local Chief Executive
Department of Trade and Industry (DTI)	DTI Regional and City Offices	City Planning and Development Office (CPDO)
Department of Interior and Local Government (DILG)	BFP Regional Offices	Business Permitting and Licensing Office (BPLO)
DILG – Bureau of Fire Protection (BFP)	DILG Regional Offices	Local Economic and Investment Promotion Office
Department of Housing – Housing and Land Use Regulatory Commission (HLURB)	DOT Regional Offices	Office of the Building Official
Department of Environment and Natural Resources (DENR)	HLURB Regional Offices	Office of the Treasurer
Department of Information and Communication Technology (DICT)	LRA Regional Offices	City Assessor's Office
Department of Tourism (DOT)		City Tourism Office
Climate Change Commission (CCC)		City Environment and Natural Resources Office
Land Registration Authority (LRA)		City Water District
		Rural waterworks and sanitation association
		Office of the District/City Fire Marshall
		City Chamber of Commerce and Industry/City Business Groups and Associations

TABLE 5 - SURGE'S MAJOR IMPLEMENTATION PARTNERS

NATIONAL GOVERNMENT AGENCIES	NATIONAL GOVERNMENT AGENCIES AT THE REGIONAL AND CITY LEVELS	AGENCIES AND INSTITUTIONS AT THE CITY LEVEL
		Academic and research institutions

EVALUATION METHODOLOGY

The evaluation of the eight CDI cities will use mixed methods. The evaluation encompasses an overall assessment of SURGE interventions across all the eight CDI cities, a deeper analysis of four CDI cities, as well as a focused analysis of specific interventions in two CDI cities.

The evaluation team will use quantitative and qualitative tools and analysis, including a simple survey to gather feedback from a broader base. The analysis will be descriptive, primarily presented in crosstabs and listings. The qualitative tools include document reviews, key informant interviews, focus group discussions, and case studies. The researchers will make sense of qualitative data through content and thematic analysis and quantitative information through trend analysis. Finally, the research will use baseline data and final outputs and outcomes for comparative analysis.

STUDY POPULATION AND SAMPLING FRAME

The Mission has identified four CDI cities for this study: Iloilo City, Cagayan de Oro, Tagbilaran City, and Puerto Princesa. The selection criteria included the following: representation from the initial and extension lists, level of SURGE investment, and the number of interventions and activities implemented.

For the focused analysis, the Mission selected two cities based on the level of earmarked funds. These are Marawi for the WASH component, and Legazpi for resilience.

The sampling frame for the survey for gathering data from the eight CDI cities are as follows:

- the population for the survey is LGU personnel and officials who have participated in training programs, workshops, mentoring sessions, and other interventions introduced by SURGE in each city; and
- the sampling unit is the person and not the office or agency that the government employees/officials represent.

As per ICMA records, 4,105 individuals (components 1 and 2, and cross-cutting interventions) received training under the SURGE activity. The sample size will be 352 individuals (computed at 95 percent confidence level and a five percent margin of error).

The researchers will use a systematic stratified sampling methodology to ensure appropriate representation in each sub-group with equal chances of being selected. The strata will be the cities. The proportion of participants to total participants was computed and used to allocate samples in a given city. Table 5 shows the distribution of the survey respondents.

TABLE 6 - DISTRIBUTION OF SURVEY RESPONDENTS PER CDI CITY

CDI	NUMBER OF BENEFICIARIES	WEIGHT (%)	SAMPLE ALLOCATION
Batangas	124	0.03	11
Cagayan de Oro	706	0.17	61
General Santos	951	0.23	82
Iloilo	248	0.06	21
Legazpi	354	0.09	30
Puerto Princesa	1,093	0.27	94

Tagbilaran	502	0.12	43
Zamboanga	127	0.03	11
TOTAL	4,105	1.00	352

This research will employ a computer-generated randomizer to determine the participants in the survey. To ensure a good number of responses to generate relevant statistics, the researchers will replace non-responding invited participants from the pool that the computer will generate. Once the survey instruments are released, the invited respondents should return their survey questionnaire within two weeks to return their survey questionnaire. Otherwise, the researchers will generate a new set until a 50 percent response rate is reached.^{20F5}

Annex B.11 presents the sample questionnaire.

DATA COLLECTION

The evaluation of the SURGE activity utilizes mix-methods for triangulation and to ensure consistency. Given the constraints brought about by the pandemic, Field Cities Evaluation Assistants will gather data remotely. The data gatherers will use digital platforms, including video conferencing via Zoom or Google Meet. For the eight-city survey, the researchers will use digital survey tools, with the possibility of sending and receiving survey questionnaires via electronic mail.

If travel restrictions are lifted, the researchers will collect in-person data primarily for the two case studies – Marawi and Legazpi.

The STTA specialists will facilitate the FGD and KIs with the assistance of the field staff to ensure proper documentation. To ensure that transcriptions and codes reflect the actual answers of the FGD participants and key informants, the team will conduct quality checking of audio recording and the transcription of the recordings, and the proper translation of local dialects to English.

KII RESPONDENTS

Key informant interviews are one-on-one interviews with people of authority based on their function or role in an organization, or their affiliation with a specific group. Key informants will provide extensive, reliable, and official responses concerning the relevance, effectiveness, and sustainability of the SURGE activity. Annex B (B.1 to B.7) presents the protocol for the KIs conducted.

Based on initial estimates, a total of 58 KII sessions is necessary. Table 6 shows the distribution of KIs.

TABLE 7 - KII DISTRIBUTION	
PARTICIPANTS	NO. OF RESPONDENTS
USAID	2
ICMA (Central office)	4 (1 COP, 3 Component Leads)
LGU Executives (Mayors)	4 (1 per city)
LGU Executives (Dept. Heads)	24 (6 per city)
Implementing Partner Institutions	12 (3 per city)
WASH service providers executives	8 (2 per city)

⁵ Babbie E. Survey Research Methods. Belmont, Calif: Wadsworth; 1990.

Business Group	4 (1 per city)
Total	58

FOCUS GROUP DISCUSSIONS

The researchers will probe deeper into questions of how and why through focus group discussions. Participants will provide information about the challenges and opportunities experienced through the SURGE interventions.

There will be four (4) participant groups for the FGD with multiple sessions, leading to a total of 11 sessions with about 100 participants (see Table 7). Ideally, there would be a maximum of 10 participants to allow each participant a chance to share their views within a 90-minute session.

The CPCs of the eight (8) CDI cities were selected to draw out the relevance of their role in implementing SURGE and their insights on project delivery within their assigned city. Their responses will feed into the sustainability aspect. The research team will invite select LGU personnel to participate in an FGD to better understand the effectiveness and sustainability of SURGE. Likewise, the evaluation team will ask the technical working groups for the different components to provide more information about relevance and sustainability. Finally, representatives from the academe who are partners under the Urban Development Learning Program will also participate in an FGD to give insights on SURGE sustainability.

TABLE 8 - FGD DISTRIBUTION		
Participants	No. of Sessions	No. of Participants
ICMA CPCs (8 cities)	1	8
LGU Personnel (Users)	4	40
TWGs (Multi-sectoral)	4	40
Academe (those with UDLP)	2	15
Total	11	103

Annex B (B.8 to B.10) presents the protocol for each of the FGDs.

CASE STUDIES

There will be two (2) case studies: (1) on the WASH intervention in Marawi and (2) SURGE resilience interventions in Legazpi City.

There were two major SURGE activities in Marawi – Livelihood Recovery and WASH. The WASH intervention arose in response to the Marawi siege in 2017. Another USAID activity already probed the Livelihood Recovery Intervention, so this aspect will no longer be studied. Instead, the research team will conduct a more thorough review of the WASH intervention to gain helpful insights for designing future activities for Marawi.

This evaluation will look into the SURGE interventions on resiliency for Legazpi, a city in constant exposure to disasters. The study will investigate measuring the effectiveness of the various interventions undertaken.

Refer to Annex D for the outline for the case studies.

DOCUMENT REVIEW

The evaluation team will review baseline assessment reports and end-project project reports to measure gains and losses of the various interventions. Intervening progress and performance monitoring reports determining how the SURGE interventions have moved through the years, understanding any challenges or opportunities that the implementing partners and the city experienced. [Annex E](#) provides a list of requested documents.

The team will also gather legislative documents and memoranda of the agreement to assess how the city has progressed in legislation and private-partner relations. [Annex E](#) enumerates the complete list of documents needed.

Finally, the team will deploy secondary data capture forms on water supply operation and sanitation facilities for all the WASH service providers (rural waterworks and sanitation associations and water districts) in eight (8) CDI cities ([Annex B-12](#)).

DATA ANALYSIS

The evaluation team will use the content comparison technique in qualitative data analysis where transcriptions or textual data from the FGDs and KIs will undergo line-by-line coding of concepts to generate themes. The evaluation will focus on themes gathered from the discussions that reveal perceptions of the relevance, effectiveness, and sustainability of the SURGE interventions. The researchers will use the NVivo software to code and categorize concepts to form themes and sub-themes.

The evaluation team will analyze the quantitative data generated from the SURGE stakeholders survey using descriptive statistics and other relevant quantitative tools. The team will deploy the survey to sample respondents using Google Forms. The survey will gather information on the effectiveness and sustainability of SURGE interventions. The researchers will use the STATA software to analyze the survey and secondary data from the WASH data capture forms.

KNOWN LIMITATIONS TO THE EVALUATION DESIGN

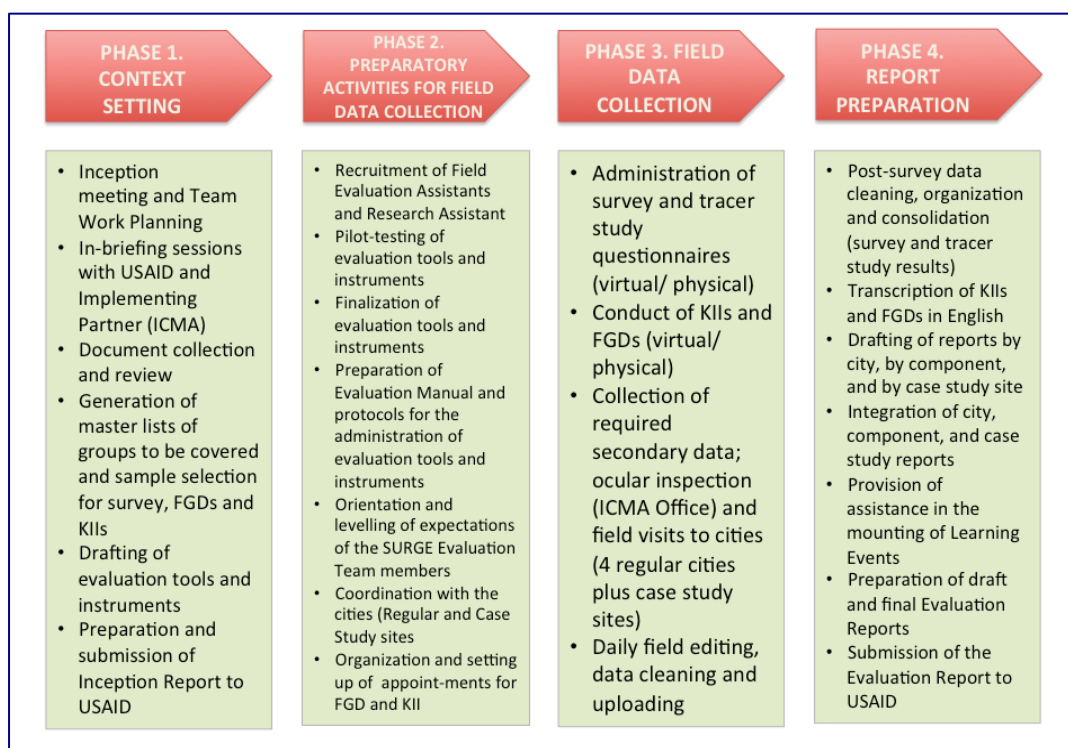
1. *Sample size*: Some respondents may not be able to participate due to health reasons/COVID-19 or a weak internet connection, resulting in a reduced number of samples. To mitigate this, the researchers will replace non-responding invited participants from the computer-generated pool.
2. *Self-reported data*: Surveys, KIs, and FGDs rely on what respondents will say, and responses will depend on what people can remember because these activities or events took place in the past. We use triangulation to mitigate this limitation, ensuring data are collected from a variety of sources.
3. *Access to documents*: Some contacts are probably no longer connected with their agencies, and office staff will need more time to look for records, potentially resulting in delays or limited access to documents. To mitigate this potential drawback, the evaluation team will start requesting documents immediately.
4. *Site visits*: Some study sites might not be accessible due to COVID-19 quarantine restrictions. To mitigate this, the team may have to rely on other sources of primary data, including KIs and FGDs.

5. *Delays in secondary data collection among SURGE CDI Cities:* Secondary data collection may be delayed because of work-from-home restrictions. To mitigate this, the team will start data collection immediately, working within the time parameters afforded by the evaluation.

EVALUATION PHASES AND ACTIVITIES

Based on the overall approach and methodology, Figure 3 presents the phases and detailed activities for the evaluation. [Annex F](#) provides a more detailed implementation schedule in the Gantt chart.

Figure 3. Evaluation Study Implementation Phases and Activities



With the submission of this Inception Report, the evaluation team has completed all activities in Phase 1.

Phase 2 initiates the preparatory period for fieldwork. During Phase 2, the evaluation team will pilot test the tools and instruments. Based on this pilot, the team will finalize the tools and prepare the Evaluation Manual and protocols to guide the administration of the tools. The evaluation team will also coordinate its field research in the cities and schedule the FGDs and KIIs. The evaluation team will travel to the evaluation sites or conduct all FGDs and KIIs remotely, subject to government restrictions on COVID-19.

Evaluation fieldwork begins during Phase 3. During fieldwork, the evaluation team will divide into six two-person groups. Each team will be composed of one specialist (Team Leader, Evaluation Specialist, or Data Analyst) and one field evaluation or research assistant and will focus on a specific city² IF⁶ for conducting KIIs and FGDs. However, the whole evaluation team will run the initial set of KIIs and FGDs

⁶ When rational, it is possible that some teams will cover more than one city.

to ensure that all team members understand how to implement the evaluation protocols and processes in the Evaluation Manual. This exercise will ensure consistency in administering the instruments.

During Phase 3, the evaluation team also will conduct the survey and tracer study of stakeholders and beneficiaries. This survey and tracer study will use an online survey platform for stakeholders and in-person interviews for target respondents less likely to access the online platform. Local enumerators will conduct the in-person interviews. Suppose COVID lockdowns prevent local enumerators from conducting interviews. In that case, the survey will explore the feasibility of the online survey platform and other remote data collection options such as a cell phone or SMS survey.

The evaluation team will edit, clean, and upload the data that the field teams collect each day to help ensure complete, consistent, and accurate data. The Evaluation Manual will detail the procedures for this daily data processing. The Team Leader and Data Analyst will perform data quality control checks by reviewing the daily data upload and providing feedback and input to the field data collection teams.

Phase 4 includes data analysis, report writing, learning materials, and event preparation. The first step will be to clean, organize and consolidate survey and tracer study data and review and clean the KII and FGD transcriptions completed during the fieldwork phase. Once the data are clean and organized, the evaluation team will use the methods listed in the evaluation matrix ([Annex A](#)) to analyze the data. The principal tool that the team will use to analyze the qualitative data is NVivo. To analyze quantitative data, the team will use Excel and SPSS for the codable survey data. The team will triangulate data findings from the qualitative and quantitative data.

The evaluation team will conduct a Findings, Conclusions, and Recommendations workshop with USAID and its major stakeholders to support a contextualized report that presents actionable recommendations supported by evidence from the findings and conclusions.

The team leader will be responsible for drafting the evaluation report, supported by the evaluation specialists and the data analyst. The report will present the evaluation's findings, conclusions, and recommendations in narrative form.

THE EVALUATION TEAM

The evaluation team is comprised of experts with in-depth knowledge and understanding of local governance, government operations, urban and land use planning, disaster risk reduction, water and sanitation, micro, small and medium enterprise, gender and social inclusion, and evaluation studies.

The team operates on two levels: (a) the first level is the CLAimDev team, which provides oversight, quality control, and staff support; and (b) the second level is the external evaluation team.

The CLAimDev team is composed of the following CLAimDev staff: (a) Chief of Party; (b) Senior Monitoring, Evaluation, and Learning Specialist; (c) Evaluation Specialist; and (d) Travel and Meetings Coordinator. The CLAimDev roles and responsibilities are related to ensuring evaluation quality and rigor and providing the evaluation team with logistical support.

The external evaluation team is composed of the following: (a) Evaluation Advisor; (b) three (3) Technical Specialists; (c) Data Analyst; (d) five (5) Field Cities' Evaluation Assistants; and (e) a Research Assistant. These evaluation team members and their roles and responsibilities are as follows:

- **Mr. Nicasio Angelo Agustin** will serve as the **Team Leader** and **Lead Evaluator**. He will oversee all aspects of the evaluation under the supervision of the Principal Investigator, Mr. Sicad. As primary coordinator, Mr. Agustin will work closely with the Principal Investigator. He will manage the evaluation team's activities and ensure timely implementation. He will ensure the overall technical soundness of the evaluation design, including methodologies, instruments, and analysis. The Team Leader will have primary responsibility for drafting and revising all evaluation deliverables for the Principal Investigator's review before submission to USAID/PH. Further, he will ensure the completion of deliverables according to evaluation standards (e.g., OECD-DAC criteria) and requirements and compliance with applicable USAID policies, procedures, and protocols.
- **Mr. Rudini Baoy, Mr. Senen Dizon, and Ms. Ginny Santiago**, as **Technical Specialists**, will work closely with the Team Leader to implement the work plan. They will focus on documents review, data analysis on their respective field of specialization, and the integral and cross-cutting elements of the evaluation. They have subject matter and thematic expertise, broad sector knowledge, experience relevant to the components and focus areas, plus general knowledge of the Local Government Units covered by SURGE and their peripheries. The consultants will complement each other in integrating the three focus areas of SURGE and its contribution to the goal of the PFG and the development objectives of the previous and current CDCS. Together with the Team Leader, the Technical Specialists will ensure the technical soundness of the evaluation design, methodologies, instruments, and outputs. At least one evaluation team member will have expertise in gender issues related to governance, urban development, MSME, and WASH.
- **Mr. Rupert Deluna**, as **Data Analyst**, will support the evaluation team in ensuring the quality and sufficiency of data collected for the evaluation. He will be in charge of data consolidation and perform a systematic and holistic analysis of data generated, both qualitative and quantitative. He will aid the evaluation team in the strategic and operational interpretation and presentation of results and evaluation findings.

- The pandemic restricts fieldwork and face-to-face interactions. Hence, **Field Cities' Evaluation Assistants** will conduct field data collection using the evaluation tools and instruments, following prescribed methodologies (e.g., documents review, survey, focus group discussions, in-depth interviews) in cities that the evaluation team will cover. They will also perform data processing at the field level (documentation, transcription, encoding, tabulation, etc.), both qualitative and quantitative, using a prescribed format and software. Further, they will assist the evaluation team in packaging evaluation outputs. When site visits are possible, the Field Cities' Evaluation Assistants will coordinate site visits and site-specific data gathering activities, including communication with local respondents and logistics preparations.
- A **Research Assistant** will assist the evaluation team in overall data management, including developing and formatting data collection tools, designing remote data collection systems, data consolidation and processing, analysis, and presentation. S/He will also be responsible for maintaining organized evaluation files and formatting and proofreading all evaluation deliverables.