

ANNEX A - EVALUATION DESIGN MATRIX

| I. 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? | | | | | |
| QUESTIONS | SUB-QUESTIONS | COMPONENT SPECIFIC PROBING QUESTIONS | DATA SOURCE (DOCUMENT/ PERSON) | DATA COLLECTION METHODS | DATA ANALYSIS METHODS |
| 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)? | <ul style="list-style-type: none"> - CDCS (previous and current) - PFG/CDI documents - SURGE project Document - CDCS/SURGE Results Framework - SURGE Theory of Change - Key informants from USAID/ICMA | <ul style="list-style-type: none"> - Document Review - Key informant interview | <ul style="list-style-type: none"> - Content analysis - Triangulation |
| | 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: <ul style="list-style-type: none"> - Sustainable Development Goals - Paris Agreement on Climate Change | <ul style="list-style-type: none"> - SURGE project Document - SURGE Theory of Change/ Results Framework - International agreements (e.g., SDG) - Key informants from USAID/ICMA - implementing partner (NEDA/CCC, etc.) | -ditto- | -ditto- |

I. 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?

| QUESTION S | SUB-QUESTIONS | COMPONENT SPECIFIC PROBING QUESTIONS | DATA SOURCE (DOCUMENT/ PERSON) | DATA COLLECTION METHODS | DATA ANALYSIS METHODS |
|--|---|--|--|-------------------------|-----------------------|
| | 1.1.3 How relevant was SURGE in promoting USAID policies on urban resiliency and WASH? | | <ul style="list-style-type: none"> - SURGE project Document - SURGE Theory of Change/ Results Framework - USAID policies on WASH and urban resiliency - Key informants from USAID/ICMA | -ditto- | -ditto- |
| | 1.1.4 Were opportunities present for increasing the contribution of SURGE to higher development objectives? | <p>1.1.4.1 Were there opportunities for increasing SURGE contribution to the development objectives of CDCS (previous and current)?</p> <p>1.1.4.2 Were there opportunities for increasing SURGE contribution to the promotion of international commitments?</p> | <ul style="list-style-type: none"> - SURGE project Document - SURGE Theory of Change/ Results Framework - SURGE project Document - Key informants from USAID/ICMA/IPs | -ditto- | -ditto- |
| 1.2 How relevant were the activities conducted | 1.2.1 How responsive were the activities conducted to | 1.2.1.1 How responsive were the activities conducted to | <ul style="list-style-type: none"> - CDCS (previous and current) - PFG/CDI documents - SURGE project Document | -ditto- | -ditto- |

I. 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?

| QUESTION S | SUB-QUESTIONS | COMPONENT SPECIFIC PROBING QUESTIONS | DATA SOURCE (DOCUMENT/ PERSON) | DATA COLLECTION METHODS | DATA ANALYSIS METHODS |
|--|---|---|--|-------------------------|-----------------------|
| in the context of the development hypothesis of SURGE? | the SURGE development hypothesis, i.e., resilient second-tier cities can serve as engines of growth and help equalize income distribution across the country? | address the 2014 CDIA Project Appraisal Document (see page 3 of Panagora Technical Proposal)? | <ul style="list-style-type: none"> - CDCS/SURGE Results Framework - SURGE Theory of Change - Key informants from USAID/ICMA | | |
| 1.3 How relevant were the activities conducted by SURGE to the development priorities and needs of key stakeholders at the national, regional, and local levels? | 1.3.1 How relevant were the SURGE activities in addressing the development priorities outlined in the National Spatial Strategy and PDP, 2017-2022? | 1.3.1.1 Were there opportunities for SURGE to increase its contribution to national development priorities? | <ul style="list-style-type: none"> - SURGE project Document - SURGE Theory of Change/ Results Framework - Key informants from ICMA/IPs (NEDA) | -ditto- | -ditto- |
| | 1.3.2 How relevant were the SURGE activities in addressing the development priorities outlined in regional development plans? | 1.3.2.1 Were there opportunities for SURGE to increase its contribution to regional development priorities? | <ul style="list-style-type: none"> - SURGE project Document - SURGE Theory of Change/ Results Framework - Key informants from ICMA/IPs (e.g., NEDA) | -ditto- | -ditto- |

I. 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?

| QUESTION S | SUB-QUESTIONS | COMPONENT SPECIFIC PROBING QUESTIONS | DATA SOURCE (DOCUMENT/ PERSON) | DATA COLLECTION METHODS | DATA ANALYSIS METHODS |
|------------|--|---|---|--|-----------------------|
| | 1.3.3 How relevant were the SURGE activities in addressing the development priorities outlined in city/local development plans? | 1.3.3.1 Were there opportunities for SURGE to increase its contribution to local development priorities? | <ul style="list-style-type: none"> - SURGE project Document - SURGE Theory of Change/ Results Framework - Key informants from ICMA/IPs/LGU | <ul style="list-style-type: none"> - Document Review - Key informant interview - Focus group discussion | -ditto- |
| | 1.3.4 How relevant were the SURGE activities in addressing the needs of key stakeholders and target beneficiaries? | 1.3.4.1 Were there opportunities for SURGE to increase its contribution towards addressing the needs of its stakeholders and beneficiaries? | <ul style="list-style-type: none"> - SURGE project Document - SURGE Theory of Change/ Results Framework - Key informants from ICMA/IPs/LGU/affected sector | <ul style="list-style-type: none"> - Document Review - Key informant interview - Focus group discussion - Stakeholder survey | -ditto- |
| | 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? | <ul style="list-style-type: none"> - SURGE project Document - SURGE Theory of Change - Key informants from ICMA/IPs/LGU | <ul style="list-style-type: none"> - Document Review - Key informant interview - Focus group discussion | -ditto- |

2. Effectiveness

(Original Context of CDI-SURGE): To what extent did SURGE achieve the three outcomes on 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 | DATA SOURCE (DOCUMENT/ PERSON) | DATA COLLECTION METHODS | DATA ANALYSIS METHODS |
|---|---|---|---|--|--|
| 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 to 1.10)? | 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? | <ul style="list-style-type: none"> - SURGE project Document - Final M&E Plan, Results Framework, Indicators, and Targets - Annual Work Plans - SURGE Progress/M&E Reports (annual, quarterly) - Baseline assessment reports - Component-related reports - Key informants from ICMA (Component lead, CPC, M&E, etc.) and IPs - LGU/city stakeholders | <ul style="list-style-type: none"> - Document Review - Key informant interview - Focus group discussion - Stakeholder survey | <ul style="list-style-type: none"> - Content analysis - Before and after analysis (qualitative and/or quantitative) - Triangulation |
| 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 to 2.5)? | 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? | -ditto- | -ditto- | -ditto- |
| 2.3 To what extent did SURGE improve connectivity and access between urban and rural areas | 2.3.1 To what extent has SURGE achieved its Component 3 indicator targets (Indicator | 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? | -ditto- | -ditto- | -ditto- |

2. Effectiveness

(Original Context of CDI-SURGE): To what extent did SURGE achieve the three outcomes on 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 | DATA SOURCE (DOCUMENT/ PERSON) | DATA COLLECTION METHODS | DATA ANALYSIS METHODS |
|--|---|---|--------------------------------|-------------------------|-----------------------|
| (Component 3)? | Nos. 3.1 to 3.4)? | | | | |
| 2.4 To what extent did SURGE achieve each expected output (sub-components) per objective (component) ? | 2.4.1 What activities were implemented to achieve each output (sub-component)? | 2.4.1.1 Component-specific question (e.g., What activities were implemented 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? | -ditto- | -ditto- | -ditto- |
| | 2.4.2 Which governmental operations were improved and how? | 2.4.2.1 To what extent governmental operations have improved responsiveness to attract private investment and support micro/small/medium enterprises (MSMEs)? | -ditto- | -ditto- | -ditto- |
| | 2.4.3 To what extent has SURGE improved local economic activities between CDI areas and adjacent cities/ municipalities | | -ditto- | -ditto- | -ditto- |
| | 2.4.4 What were the | | -ditto- | -ditto- | -ditto- |

2. Effectiveness

(Original Context of CDI-SURGE): To what extent did SURGE achieve the three outcomes on 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 | DATA SOURCE (DOCUMENT/ PERSON) | DATA COLLECTION METHODS | DATA ANALYSIS METHODS |
|---|---|--------------------------------------|---|--|--|
| | contributions of SURGE towards improving environmental 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 To what extent has SURGE achieved its W-GDP indicator targets (Indicator Nos. 3.5.1 to 3.5.5)? | | <ul style="list-style-type: none"> - SURGE project Document - SURGE W-GDP Learning Plan, Work Plan and Targets - SURGE Progress/M&E Reports (annual, quarterly) - Baseline assessment reports - Key informants from ICMA/IPs - W-GDP stakeholders and beneficiaries | <ul style="list-style-type: none"> - Document Review - Key informant interview - Focus group discussion | <ul style="list-style-type: none"> - Content analysis - Before and after analysis (qualitative and/or quantitative) - Triangulation |
| | 2.5.2 Has SURGE provided equal access to opportunities for economic empowerment to both men and women in the urban and rural areas? | | -ditto- | -ditto- | <ul style="list-style-type: none"> - Content analysis - Triangulation |
| | 2.5.3 Will improved knowledge and increased access to business support | | -ditto- | -ditto- | -ditto- |

| 2. Effectiveness (Original Context of CDI-SURGE): To what extent did SURGE achieve the three outcomes on 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 | DATA SOURCE (DOCUMENT/ PERSON) | DATA COLLECTION METHODS | DATA ANALYSIS METHODS |
| | services translate to increased incomes for the target enterprises? (Learning Plan, W-GDP) | | | | |
| | 2.5.4 Will SURGE package of technical assistance to targeted participants, areas result in increased employment, participation, and increased incomes for women? (Learning Plan, W-GDP) | | -ditto- | -ditto- | -ditto- |
| 2.6 To what extent did SURGE contribute to the COVID-19 response and recovery efforts in target CDI cities? | 2.6.1 To what extent has SURGE achieved its indicator targets related to COVID-19 response and recovery? (Indicator Nos. 3.5.1 to 3.5.5) | 2.6.1.1 What factors facilitated or hindered the achievement of COVID-19-related targets? 2.6.1.2 How were the hindering factors addressed? | <ul style="list-style-type: none"> - SURGE project Document - COVID 19 Abbreviated Work Plan - SURGE Progress/M&E Reports (annual, quarterly) - Baseline assessment reports - Key informants from ICMA/IPs - LGU/city stakeholders | <ul style="list-style-type: none"> - Document Review - Key informant interview - Focus group discussion | <ul style="list-style-type: none"> - Content analysis - Before and after analysis (qualitative and/or quantitative) Triangulation |
| | 2.6.2 What activities were implemented related to | 2.6.2.3 What factors facilitated or hindered the implementation of | -ditto- | -ditto- | <ul style="list-style-type: none"> - Content analysis - Triangulation |

| 2. Effectiveness (Original Context of CDI-SURGE): To what extent did SURGE achieve the three outcomes on 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 | DATA SOURCE (DOCUMENT/ PERSON) | DATA COLLECTION METHODS | DATA ANALYSIS METHODS |
| | COVID-19 response and recovery? | COVID-19 related activities? 2.4.1.3 How were the hindering factors addressed? | | | |
| 2.7 To what extent did SURGE contribute to higher-level outcomes (e.g., CDCS Results Framework)? | 2.7.1 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) | 2.7.1.1 Were there opportunities for increasing SURGE's contribution towards higher-level outcomes? | <ul style="list-style-type: none"> - CDCS (previous and current) - PFG/CDI documents - SURGE project Document - CDCS/SURGE Results Framework - SURGE Theory of Change - Key informants from USAID/ICMA | -ditto- | -ditto- |
| 2.8 What factors facilitated or hindered the achievement of SURGE objectives | 2.8.1 Which of the identified risks and assumptions deemed to influence the | 2.8.1.1 How were the risks managed? 2.8.1.2 Were risk assessments conducted? | <ul style="list-style-type: none"> - SURGE Logframe and/or results framework - SURGE Progress/M&E reports | -ditto- | -ditto- |

| 2. Effectiveness (Original Context of CDI-SURGE): To what extent did SURGE achieve the three outcomes on 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 | DATA SOURCE (DOCUMENT/ PERSON) | DATA COLLECTION METHODS | DATA ANALYSIS METHODS |
| (outcomes) and outputs? | achievement of the project goal occurred (or otherwise)? And if so, how were these managed? | | (quarterly, annual) - Risk management plans - Key informants from ICMA | | |
| | 2.8.2 Which of the three objectives contributed the most to achieving the development goal of inclusive growth through strengthened urban resiliency with equity? | 2.8.2.1 What were the facilitating factors? | -ditto- | -ditto- | -ditto- |
| 2.9 Were there any unintended outcomes (positive or negative) from the SURGE project? | 2.9.1 What outcomes were not anticipated or captured by the SURGE ToC or results framework? | 2.9.1.1 Were there any synergies achieved between SURGE and other USG-funded projects in CDI cities? 2.9.1.2 Were there any unintended outcomes that resulted from the Marawi response? 2.9.1.3 How did SURGE affect USG's visibility in project areas? | - SURGE ToC/Logframe and/or results framework - SURGE Progress/M&E reports (quarterly, annual) - Key informants from ICMA/USAID - LGU/City stakeholders | -ditto- | -ditto- |
| 2.10 What lessons were learned from SURGE interventions | 2.10.1 Which SURGE interventions and approaches worked well | 2.10.1.1 Which among the interventions contributed most/least to the achievement of | - SURGE Progress/M&E reports (quarterly, annual) | -ditto- | -ditto- |

| 2. Effectiveness (Original Context of CDI-SURGE): To what extent did SURGE achieve the three outcomes on 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 | DATA SOURCE (DOCUMENT/ PERSON) | DATA COLLECTION METHODS | DATA ANALYSIS METHODS |
| and approaches? | (or did not work)? | SURGE intended outcomes? 2.10.1.2 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? | <ul style="list-style-type: none"> - Pause and Reflection Reports - Project documentation reports - Key informants from USAID/ICMA/IPs - LGU/City Stakeholders | | |
| | 2.10.2 What practices were successful, e.g., brought about positive changes? (Note: define practices/successful) | 2.10.1.2 What were the facilitating and hindering factors? | -ditto- | -ditto- | -ditto- |

| 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 | DATA SOURCE (DOCUMENT/ PERSON) | DATA COLLECTION METHODS | DATA ANALYSIS METHODS |
| 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? 3.1.2 Are policies in place to ensure continuity of SURGE activities? | 3.1.1.1 What is the likelihood that LGUs will take ownership of the interventions initiated by SURGE? | <ul style="list-style-type: none"> - SURGE Progress/M&E Reports (annual, quarterly) - Component-related reports - LGU policies proposed or adopted - LGU plan and budget - Key informants from ICMA/IPs - LGU/city stakeholders | <ul style="list-style-type: none"> - Document Review - Key informant interview - Focus group discussion | <ul style="list-style-type: none"> - Content analysis - Triangulation |

| 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 | DATA SOURCE (DOCUMENT/ PERSON) | DATA COLLECTION METHODS | DATA ANALYSIS METHODS |
| 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? | | <ul style="list-style-type: none"> - SURGE Progress/M&E Reports (annual, quarterly) - Sustainability/exit plans - Component-related reports - Key informants from ICMA/IPs - LGU/city stakeholders | -ditto- | -ditto- |
| | 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? | | | <ul style="list-style-type: none"> - SURGE Progress/M&E Reports (annual, quarterly) - Sustainability/exit plans - Key informants from USAID/ICMA | -ditto- |
| 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? | | <ul style="list-style-type: none"> - SURGE W-GDP Learning Plan, Work Plan and Targets - W-GDP sustainability and/or exit plans - Key informants from ICMA/IPs - W-GDP stakeholders and beneficiaries | -ditto- | -ditto- |
| | 3.3.2 What is the likelihood that the SURGE assistance package will continue to produce champions and leaders among target women entrepreneurs after project completion? (Learning Plan, W-GDP) | | -ditto- | -ditto- | -ditto- |
| 3.4 Are there opportunities for replicating | 3.4.1 Are there national or local government plans to | | <ul style="list-style-type: none"> - SURGE Progress/M&E | -ditto- | -ditto- |

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 | DATA SOURCE (DOCUMENT/ PERSON) | DATA COLLECTION METHODS | DATA ANALYSIS METHODS |
|---|---|--------------------------------------|---|--|-----------------------|
| successful SURGE interventions in the future? | replicate or expand any of the SURGE interventions in the future? | | Reports (annual, quarterly) - Sustainability/exit plans - Component-related reports - Key informants from ICMA/IPs/LGU/city stakeholders | | |
| | 3.4.2 Are there plans by USG to expand or replicate any of the SURGE interventions in the future? | | - Sustainability/exit plans - Replication plans - Concept papers, if any - Key informants from ICMA/USAID | - Document Review - Key informant interview | -ditto- |