

APPENDIX 1

DRAFT STATEMENT OF WORK

Title: Evidence-Driven Collaborating, Learning and Adapting at USAID/Philippines

1. PURPOSE

The purpose of this activity is to bolster the capacity of the USAID/Philippines mission to effectively lead and practice collaborating, learning and adapting (CLA), which has the broader goal of enhancing USAID’s development effectiveness. The implementing partner, hereafter referred to as “the Contractor,” will work closely with USAID/Philippines to integrate CLA principles into the mission’s work — helping staff to strategically collaborate with key internal and external stakeholders, adopt a culture of continuous learning, and adaptive management to achieve greater development impact.

In order to drive a strong learning agenda, the Contractor will be also charged with strengthening the evidence base of the mission by implementing select monitoring, evaluation, research and other analytical tasks to inform key strategic decisions. Additionally, the Contractor — on an as-needed, demand-driven basis — will conduct monitoring services for activities operating in non-permissive environments (NPE) in the Philippines, which USAID staff are unable to travel due to security restrictions, in order to provide strategic information to help guide the management and adaptation of USAID’s programs in conflict-affected sites.

Ultimately, this enhanced, evidence-driven CLA approach will assist the USAID/Philippines mission to deliver better development results as part of the mission’s new 2019-2024 Country Development Cooperation Strategy, support the Philippines on their pathway to self-reliance, and position the mission for the next phase of the U.S.-Philippines’ partnership as development partners after 2024.

2. BACKGROUND

The United States Agency for International Development (USAID) is the lead U.S. government agency for international development and disaster assistance. USAID’s mission in the Philippines (USAID/Philippines) has an overall goal of supporting a more prosperous, stable, and well-governed nation.

USAID/Philippines’ 133 staff manage U.S. foreign assistance resources totaling approximately \$100 million annually. The mission’s development portfolio currently focuses on accelerating and sustaining inclusive socio-economic growth through programs in the areas of governance,

the economy, health, and education. Additionally, the mission implements projects that enhance the country's environmental resilience and foster peace and stability in Mindanao. For more information about USAID's current activities in the Philippines, please visit:

<https://www.usaid.gov/philippines>

The mission is scheduled to launch a new Country Development Cooperation Strategy for the Philippines by mid- to late 2019. Contextual changes, evolving development priorities, and experience from implementing the current strategy that began in 2012 merit close attention to evidence-based learning and smart adaptation to a changing operating environment. While USAID and partners have long been collaborating, learning and adapting in various forms, given increasing complexity and unpredictability in the development landscape, there is an increasing need for strategic collaboration, intentional learning and nimble adaptation so that programming remains relevant and effective.

USAID emphasizes partnerships with host country governments and civil society in their journey to self-reliance. Recent years have seen remarkable economic growth for the country as a whole; however, the benefits of this growth have yet to be enjoyed by all Filipinos. Close partnership with the Philippine government to further advance and sustain growth that is inclusive and resilient is crucial to achieving the Philippines' development goals. Additionally, threats to the country's peace and stability continue to challenge USAID's programming in regions affected by conflict, namely Mindanao.

By August 2019, USAID/Philippines is expected to have eight active projects,¹ each including multiple activities. These projects are: Basic Education, Higher Education, Improving Natural Resources Management, Environment, Cities Development Initiative, Economic Growth and Democratic Governance, LocalWorks and Health. It is to be noted that the USAID/Philippines Office of Health has an existing Collaborating, Learning and Adapting activity (2018-2022) that implements the majority of evaluation, monitoring and learning tasks for this sector.

By August 2019, (estimated start date of contract) it is expected that USAID will have 16 active activities² valued at nearly \$265 million — with some implementation in non-permissive environments in Mindanao. These activities are critical to the achievement of the U.S. and Philippines' development objectives in the country, but for reasons of security, USAID staff are largely unable to regularly monitor their implementation in-person.

¹ Project definition: A set of complementary activities, over an established timeline and budget, intended to achieve a discrete development result, often aligned with an Intermediate Result in the CDCS Results Framework. Taken together, a Mission's suite of project designs provides the operational plans for achieving the objectives in its CDCS or other applicable strategic plan. (ADS 201.6)

² Activity definition: An activity carries out an intervention, or set of interventions, typically through a contract, grant, or agreement with another U.S. Government agency or with the partner country government. An activity also may be an intervention undertaken directly by Mission staff that contributes to a project, such as a policy dialogue. In most cases, multiple activities are needed to ensure the synergistic contributions necessary to achieve the project's desired results. (ADS 201.6)

As of March 2019, the USAID/Philippines has three foreign service national staff — two within the Program Office and one within the Office of Health — with roles and responsibilities primarily focused on monitoring and evaluation. Each of the four technical offices have an Operations Specialist with limited responsibilities related to data reporting. Additionally, in October 2018, USAID Philippines launched a working group of monitoring, evaluation and learning (MEL) champions from every technical and support office. The MEL champions are a group of professionals who have volunteered to support USAID/Philippines deliver effective programs by strengthening monitoring, evaluation and CLA practices throughout the Program Cycle. The MEL champions mission is to “Enhance USAID’s development impact in complex environments through collaborating, evidence-based learning, and adapting.” While still in the nascent stages of work planning, the MEL champions intend to provide short- and medium-term services to the mission, including but not limited to: deciding on and setting parameters for strategic evaluations; reviewing evaluation/research SOWs; facilitating evaluation reflection discussions and feeding the results into adaptive management; organizing learning events; and supplying information and analysis to support project and activity design. The Contractor should expect to work closely with the MEL champions to advance mission monitoring, evaluation and CLA goals.

The Evidence-Driven Collaborating, Learning and Adapting activity will play a key role in measuring and monitoring progress in the U.S.-Philippines development partnership; facilitating learning from implementation of the CDCS; disseminating key development results and best practices to the Philippine government as well as other development partners; and recommending opportunities for programmatic adaptation so that USAID can strategically support the Philippines in their journey to self-reliance, which is closely linked to the Indo-Pacific Strategy. At the end of the Contract, USAID staff and mission systems should also have significant increased capacity to lead and implement effective CLA practices that boost development results.

3. VISION and OBJECTIVES

VISION: USAID/Philippines is a mission of collaborative leaders that advances effective development programming, journeying with the Philippines in its path to self-reliance.

GOAL: Throughout the implementation of the 2019-2024 CDCS, strategic decision-making and adaptive management at the mission are guided by a strong evidence base of the evolving U.S.-Philippines development partnership.

The Contractor will provide services that will achieve the following objectives:

- Enhance and expand leadership of USAID/Philippines staff to facilitate strategic collaboration among staff, between offices, across projects and activities, development partners and external stakeholders.

- Strengthen USAID/Philippines’ evidence base in a manner that strategically guides USAID’s programmatic decision-making and adapting, namely in the implementation of the 2019-2024 Country Development Cooperation Strategy and related projects and activities.
- Integrate intentional learning into USAID Philippines’ culture, systems and processes, including rigorous meta-analysis and dissemination of lessons learned and good practices inside and outside of USAID — particularly those that shed light on the U.S.-Philippines’ partnership in the journey to self-reliance.

4. STATEMENT OF WORK

The Contractor is expected to provide a set of tasks/services under each of the three objectives. The majority of the tasks will be mission-wide and cross-cutting in nature, serving the mission’s high-level monitoring, evaluation, collaborating, learning and adapting needs. It is important to note that all tasks delivered under this contract must be conducted in close coordination with USAID staff. In no way will the Contractor’s tasks supplant conventional mandate and responsibilities of USAID staff in programming development assistance, namely in geographic areas considered permissive to normal U.S. government operations. Given the intentional capacity building design, the Contractor must actively support USAID staff as the leaders of CLA at the mission and — as appropriate — offer on-the-job coaching for USAID staff to take on increasing leadership responsibilities throughout the life of the Contract.

USAID reserves the right to order other tasks/services related to the Contract objectives that are not explicitly stated below, but the Contractor will not be required to deliver tasks/services that are inherently governmental functions.

- 1. Objective 1: Enhance and expand leadership of USAID/Philippines staff to facilitate strategic collaboration among staff — between offices and across projects and activities —, development partners and external stakeholders, including diverse voices. (15% LOE)**

Illustrative Tasks:

- 1.1. Organize, facilitate, and/or coordinate logistics for collaboration and leadership enhancing opportunities among USAID staff and partners, such as retreats, team-building exercises, leadership development sessions, pause-and-reflect sessions and after-action reviews.
- 1.2. Provide on-the-job coaching for USAID staff to lead and/or co-facilitate collaborative learning and adaptive management-related opportunities and events.
- 1.3. Support USAID staff in managing up to five communities of practice — namely those for which USAID exercises considerable comparative advantage and thought leadership — including but not limited to facilitation, invitations, logistics, documentation, research support etc. For implementing partners operating in NPEs, manage a community of practice among USAID

implementing partners operating in NPEs to promote coordination in data collection and knowledge sharing on complexity aware self-monitoring approaches. Other possible communities of practice may include: private sector engagement, gender, urban development, etc.

- 1.4. Deliver periodic training and coaching sessions for USAID staff on collaborative leadership approaches.
- 1.5. Procure and administer, as appropriate, leadership development training and coaching materials.

2. **Objective 2: Strengthen USAID/Philippines' evidence base in a manner that strategically guides USAID's programmatic decision-making and adapting. (40% LOE)**

Illustrative Tasks:

- 2.1. Support USAID staff in Mission Performance Management Plan (PMP) development, revision, high-level monitoring, annual review and updating, as appropriate (based on mission need and timing of CDCS approvals) including, but not limited to: offer technical advice to staff on possible indicators to measure objectives laid out in the CDCS, including the mission's approach to the journey to self-reliance; assist in reviewing, compiling and updating Performance Indicator Reference Sheets for high-level indicators
- 2.2. Assist with the development and refinement of the Mission Learning Agenda, including working closely with the MEL champions to craft learning questions for Development Objectives of the CDCS, defining approaches to addressing knowledge gaps in the Learning Agenda
- 2.3. Assist Program Office staff and MEL champions in data collection, baseline development, target-setting, monitoring and review of high-level, cross-cutting indicators and contextual indicators that are part of the Mission PMP
- 2.4. Develop and support USAID staff to manage a user-friendly knowledge management tool to be used in the interim until the Development Information System (DIS) is fully functional; Assist in the transfer of data to the DIS
- 2.5. Contribute to SOW development for select, strategic evaluation and research activities
- 2.6. Provide technical assistance on evaluation statements of work on and as-needed basis for non-traditional designs, such as complexity-aware and participatory monitoring and evaluation methods
- 2.7. Conduct select external assessments, evaluations and other research including developing evaluation designs, evaluation methodology, field work, data analysis and drafting evaluation reports. These select external assessments, evaluations and research shall be determined by mission management, Program Office and the MEL champions in alignment with the mission learning agenda, and will likely include at least one performance evaluation for each of the projects noted in the background section, not including health and LocalWorks. The Contractor may also, on an as-needed basis, conduct a limited number of evaluations for accountability purposes as commissioned by USAID. Anticipated evaluations, assessments and analyses from 2019-2024 may include, but are not limited to, the following: Basic education impact evaluation (1); Basic education performance

evaluation (1); Environment performance evaluations (2); Economic growth activity performance evaluation (1); governance activity performance evaluation (1); urban development project whole-of-project evaluation (1); national survey of citizens' perceptions of USAID; gender analysis for 2025-2030 CDCS development; and Political Economy Analysis for 2025-2030 CDCS development.

- 2.8. Provide technical input to select internal evaluations led by USAID staff. This may include but is not limited to: advising on evaluation designs, coaching USAID staff on interviewing methods, analyzing data that emerge from internal evaluations and arranging logistics.
- 2.9. For activities operating in NPEs only:
 - 2.9.1. Collaborate with USAID staff managing activities in NPEs to develop annual and quarterly monitoring plans, including but not limited to: data points required for activity management; site selection for monitoring, monitoring approaches, methodology, tools.
 - 2.9.2. Conduct visits to activity sites determined by the monitoring plan, including, but not limited to: gathering both quantitative and qualitative data on activity outputs and inputs; collecting beneficiary feedback; rapid assessments of USAID interventions; targeted activity-level performance audits
 - 2.9.3. Verify inputs and outputs of performance data as specified in implementing partner reports and verify for compliance on agreed programming approach, including triangulation of data on project/activity outcomes as appropriate;
 - 2.9.4. Conduct or support data quality assessments for, at minimum, required indicators in the Performance Plan and Report that require routine data quality assessments per Agency policy;
 - 2.9.5. Conduct preliminary analysis of data and deliver summaries of data gathered in usable formats to USAID staff, compatible with USAID knowledge management platforms
 - 2.9.6. If deemed necessary and appropriate, explore opportunities to use information and communications technology to enable USAID staff to quickly access activity data and information.

3. **Objective 3: Integrate intentional learning into USAID Philippines mission culture, systems and processes, including rigorous meta-analysis and dissemination of lessons learned and good practices inside and outside of USAID — particularly those that shed light on the U.S.-Philippines' partnership in the journey to self-reliance. (45% LOE)**

Illustrative Tasks:

- 3.1. Facilitate a review, or updated review(s), of mission CLA systems and capacity by using the USAID CLA maturity matrix tool or other appropriate tools. Design a targeted mission CLA capacity building approach based on the findings of the assessment.
- 3.2. Coach and support mission leadership and mission MEL team to infuse CLA practices into existing mission processes; this may include but is not limited to:

- reviewing existing mission procedures and recommending opportunities for enhanced CLA; offering technical advice on state-of-the-art CLA and organizational change management approaches as CDCS implementation evolves
- 3.3. Undertake analysis of cross-sectoral, time-series and contextual trends of select high-level indicators identified in the PMP, particularly those that capture the journey to self-reliance
 - 3.4. Conduct meta-analyses and/or synthesize data compilations of evaluations and research inside and outside of USAID and other data useful for learning (e.g. site visit reports, notes from learning moments)
 - 3.5. Communicate findings and recommendations from analyses aforementioned in the preceding illustrative tasks for mission processes such as portfolio reviews, strategic planning meetings, project and activity design workshops, etc. through easily digestible and usable formats
 - 3.6. Collaborate with mission MEL champions to recommend to USAID staff possible opportunities for adaptive management, based on evidence and iterative learning; this may be done through various fora, such as following portfolio reviews or evaluation finding presentations
 - 3.7. Facilitate occasional review of project theories of change, together with project management teams, and recommend adjustments as appropriate; coach USAID staff to conduct reviews of activity theories of change and related project and activity MEL plans
 - 3.8. Facilitate discussions with USAID staff and partners regarding possible use of evaluation, research, high-level indicator monitoring and select third-party monitoring in NPEs findings to inform adaptive management; document actual utilization and facilitate feedback loops
 - 3.9. Support the documentation and dissemination of lessons learned and good practices, including the development of innovative knowledge products designed for utilization (e.g., short videos, infographics, dashboards, etc.)
 - 3.10. Support mid-course and end-line 2019-2024 CDCS stock-taking, including, but not limited to: literature reviews of contextual trends; analysis of PMP data trends; facilitating and arranging logistics for internal and external reflection sessions
 - 3.11. Coordinate, facilitate and arrange logistics for partner meetings, external portfolio reviews and other on thematic issues related to learning and adaptive management in both Manila as well as other locations in the Philippines.
 - 3.12. Coordinate, manage and facilitate periodic evidence-sharing summits, including external stakeholders that highlight progress in the Philippines' journey to self-reliance
 - 3.13. Organize, facilitate, and/or coordinate logistics for project and activity co-design workshops
 - 3.14. Coordinate and share best practices with ongoing USAID/Philippines Office of Health CLA and mission LocalWorks activities.

5. USAID GUIDING CROSS CUTTING PRINCIPLES

The ADS 201 enumerates the following three core principles that underpin the success of USAID development programming, which should also guide the whole range of planning, design, implementation and assessment of the Evidence-Driven CLA platform:

1. **Apply Analytic Rigor to Support Evidence-based Decision-Making** – USAID’s decisions about where and how to invest foreign assistance resources should be based on analysis and conclusions supported by evidence. Analysis may refer to formal assessments, evaluations, and studies conducted by USAID or other development actors, but may also include less structured, yet valuable learning opportunities, such as site visit data, knowledge dissemination fora, after action reviews, etc.
2. **Manage Adaptively through Continuous Learning** – Facilitating international development inherently requires that USAID work in countries with evolving political and economic contexts. USAID is increasingly working in countries that are unstable or in transition and even in the most stable environments, it is difficult to reliably predict how events or circumstances will evolve and impact programs. Therefore, USAID must be able to readily adapt programs in response to changes in context and new information. Learning can take place through a range of processes and use a variety of sources such as monitoring data, evaluation findings, research findings, analyses, lessons from implementation, and observation.
3. **Promote Sustainability through Local Ownership** – The sustainability and long-term success of development assistance requires local ownership and strong capacity of local systems to produce development outcomes. USAID is guided by principles that indicate the importance of pursuing development activities in the context of broader, interlinked systems.

6. PERSONNEL:

The services under this contract require the personnel specified below. If the required expertise for individual TOs has not been captured in the relevant labor categories, USAID reserves the right to add new labor categories at a later date.

Below are specific key personnel who should comprise the core staff of the contract:

- **Chief of Party (COP)/CLA Director:** The COP/CLA Director — an expert in both management and learning — will concurrently serve as the COP and the overall director of collaborating, learning and adapting activities. S/he will be the main person responsible for ensuring the effective and efficient performance of all aspects of this Contract, including provision of Contract oversight, maintaining acceptable standards of quality for all assigned tasks and expected deliverables, including overall responsibility

for leading and coordinating all activities; all required reports; and for staff management. S/he will serve as the main point of contact between USAID and the Contractor, frequently serving as a facilitator or co-facilitator of high-level discussions and fora among USAID staff and partners regarding learning and adaptive management. S/he is charged with working closely with and coaching USAID staff so that CLA leadership is fully assumed by mission staff by the end of the Contract.

- **Senior M&E Advisor:** The Senior M&E Advisor oversees and participates in all monitoring, evaluations, assessments and research throughout the life of the contract. S/he is the manager of the embedded indefinite quantity contract that will be used to carry out specific monitoring, evaluation and learning activities as requested by the mission, including but not limited to third-party monitoring requirements in NPE environments. S/he also serves as the principal investigator for at least the majority of strategic evaluations and research implemented through this Contract. S/he designs and develops field data validation plans and appropriate methodologies and instruments, and conducts and/or oversees corresponding data analysis. S/he also conducts tests to examine data's reliability and validity. S/he maintains strong networks with the local M&E community and ensures that all M&E designs and approaches employ rigorous methods and high-quality, state-of-the-art practices. S/he provides guidance and management for subcontractors, lower-level M&E specialists, data collectors, and any other technical specialists tasked with implementing monitoring, evaluation, assessments and research activities as part of this contract.
- **Learning and Research Specialist (mid-level):** The Research and Learning Specialist is a mid-level professional who supports the CLA Director on all CLA activities. S/he is responsible for tracking the mission learning agenda and project and activity MEL plans, analyzing relevant development trends in data both inside and outside of USAID, and supplying information to guide USAID staff in learning events and other activities. S/he supports USAID staff to set up and/or strengthen USAID systems to integrate learning and knowledge management. S/he is responsible for effective communications to document and disseminate of learning. His/her services will be on-demand based on specific tasks requested by USAID staff.
- **Monitoring in NPEs Specialist (Mid-Level):** The Monitoring in NPEs Specialist will serve as the primary overseer of all third-party monitoring work in NPEs. Working closely with the Senior M&E Specialist, s/he will collaborate with USAID staff to determine monitoring priorities for activities that USAID staff are unable to visit due to security visits. S/he is responsible for designing and recommending appropriate approaches and methods to fulfill monitoring needs. S/he should ideally be based in Mindanao and should lead the majority of the third-party monitoring site visits, data collection, data analysis and reporting. S/he will work closely with implementing partners who operate in NPEs to strengthen their capacity to effectively collect data. His/her

services will be on-demand based on contextual and programmatic needs that will likely evolve throughout the life of the Contract.

Key personnel must have strong networks with Philippine technical experts in learning, monitoring, evaluation, research, economic growth, governance, health, education and environment. Technical specialists and consultants may be brought in intermittently for specific evaluations or communities of practice, for example, technical experts in higher education, basic education, governance, economic growth, biodiversity, energy, water, gender, graphic design, etc.

7. RESULTS/OUTCOMES

As a result of the activity, USAID will deliver greater development impact in the Philippines' journey to self-reliance through the utilization of CLA tools throughout the Program Cycle. The following results, aligned with the aforementioned contract objectives, illustrate the intended outcomes the Contractor should achieve together with USAID staff no later than the end of the activity's performance period. As part of the Contractor's MEL plan, measurable indicators for each of the intended outcomes shall be developed.

Intended Outcomes:

- A. USAID/Philippines staff, with enhanced capacity, lead the mission and others in CLA practices.
- B. Strategic evaluation and research employing rigorous methods deliver findings and recommendations that are widely disseminated and used for project/activity design and adaptive management.
- C. Good practices in CLA are clearly integrated into USAID/Philippines procedures and routinely utilized.