



Strategic Planning, Performance and Monitoring Framework

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Acronyms, Abbreviations and Terms

COB	Corporate Operations Backbone
DDA	Doing Development Appropriately
DDD	Doing Development Differently
DFAT	Department of Foreign Affairs and Trade [Australia]
EOFO	End of Facility Outcomes
GESI	Gender equality and social inclusion
Gol	Government of Indonesia
ICT	Information Communication Technology
KOMPAK	Kolaborasi Masyarakat dan Pelayanan untuk Kesejahteraan
LEAP	Learning, Evaluation, Analytics, and Performance
M&E	Monitoring and Evaluation
OVI	Objectively Verifiable Indicator
PAF	Performance Assessment Framework
PDIA	Problem Driven Iterative Adaptation
PID	Project Implementation Delivery
PMC	Project Management Cycle
RPJMN	Rencana Pembangunan Jangka Menengah Nasional [Medium-term National Development Plan 2015–2019]
SAT	Strategic Advisory Team [KOMPAK]
SC	Steering Committee [KOMPAK]

SIP Strategy, Innovation, and Performance

SMT Senior Management Team

TA Technical Assistance

TC Technical Committee [KOMPAK]

TWP Thinking and Working Politically

Summary

This represents KOMPAK's guiding document for Strategic Planning, Monitoring and Performance and replaces the LEAP Framework.

Section 1 introduces this document and its purpose while Section 2 describes KOMPAK's Strategic Performance Framework. Section 3 goes on to summarise KOMPAK's working assumptions and theories of change, and section 4 summarises KOMPAK's approach to 'doing development differently (DDD), Thinking and Working Politically (TWP).

The theories of change that are articulated in Section 3 will be subject to regular testing and retesting to confirm if they remain relevant, appropriate and defensible over the life-time of the Facility.

Section 5 details the Gender, Equality and Social Inclusion (GESI) strategy while section 6 explains the PMC and learning agenda. Section 7 outlines the analytics and research agendas and Section 8 explains KOMPAK's approach to monitoring performance. Section 9 summarises KOMPAK's communication strategy.

Further detail on the Indicators, PMC process diagram, KOMPAK's Strategic Performance Framework and the GESI strategy are included as Annexes 1 through to 4 respectively.

1. Introduction

KOMPAK is a Facility funded by the Australian Government to support a number of Government of Indonesia (GoI) programs in achieving the RPJMN 2015-2019 targets of reducing poverty by improving the quality and coverage of basic services and by increasing off-farm economic opportunities for the poor.

Working at both the national and sub-national levels, KOMPAK consolidates and builds on GoI and DFAT investments in community empowerment, service delivery, governance, and civil society strengthening by integrating these areas of Activities into a single Facility. KOMPAK structures its work in 3 key 'results areas':

- **Responsive and accountable Frontline services:** KOMPAK will help the government close the key accountability loops for better service delivery;
- **Inclusive and community-led development.** KOMPAK will help the GoI bed down community and village structures to promote and support community driven development; and
- **Communities empowered through greater labour mobility and economic choice.** KOMPAK will help the GoI increase economic opportunities for the poor by increasing options for off-farm employment.

This document has the following purposes:

- To identify KOMPAK's Strategic Performance Framework and how that will enable us to measure the extent to which we are achieving KOMPAK's strategic goal;
- To explain how KOMPAK will integrate strategic (high level) goal setting with operational planning and delivery;
- To articulate KOMPAK's theories of change; to clearly define the working hypotheses regarding how inputs and outputs will translate into the desired Outcomes and goals as per the Strategic Framework;
- To determine clear accountabilities on delivering the desired Outcomes for KOMPAK, as well as identifying the mutual accountabilities for KOMPAK, DFAT and the Government of Indonesia;
- To explain the ways in which KOMPAK will 'do development differently';
- To establish the learning and research agenda; learning about what is working, where and why, and testing how realistic and robust KOMPAK's change hypotheses are; and
- To outline KOMPAK's strategy for gender equality and social inclusion.

2. Framing KOMPAK

KOMPAK has high ambitions: it is a Facility designed to assist the GoI in implementing government programs that focus on improving service delivery and increasing off-farm economic opportunities for the poorer communities, especially those living in rural areas who face considerable difficulty in accessing quality public services and such economic opportunities.

The initial Investment Design Document envisaged KOMPAK working to address three sets of collective action problems:

- To help the GoI achieve greater policy consistency and resource coherence at the national level;
- To help improve the ability of sub-national level governments and service providers to deliver effective and efficient public services¹; and

¹ KOMPAK's is also now working in helping the GoI in its efforts to improve the enabling environment for the creation of off-farm economic opportunities for the poor.

- To improve the functioning of the systems, processes and procedures by which national level decisions are translated into ‘action on the ground by local government’.

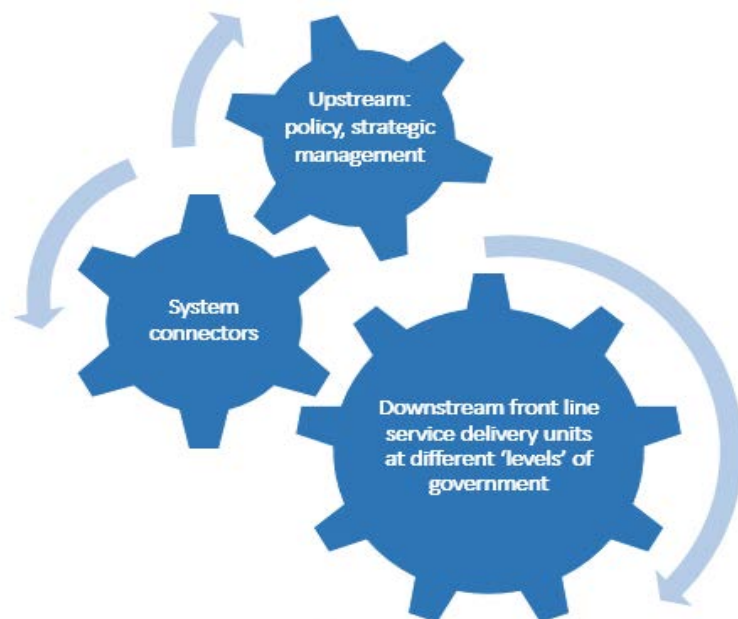


Figure 1 – Framing KOMPAK

For basic ‘Front-line’ services to be delivered effectively and efficiently and for the enabling environment of off-farm employment and labour mobility to create the opportunities desired, the three elements above need to perform better than they do at present. KOMPAK is one of the vehicles available to the GoI to improve whole-of-system performance.

KOMPAK’s Goal (its impact statement) is that “**poor and vulnerable Indonesians benefit from improved service delivery of basic services and greater economic opportunities**”. The three end of Facility Outcomes (or results areas) are:

- EOFO 1: Local government and service units better address the needs of basic service users;
- EOFO 2: The poor and vulnerable benefit from improved village governance; and
- EOFO 3: The poor and vulnerable benefit from increased opportunities for off-farm employment and economic development.

KOMPAK will help achieve these three Outcomes through seven Intermediate Outcomes (or Outputs) and by implementing Projects in support of the seven Intermediate Outcomes². Each Project will contain a number of different Activities of which each represents different types of implementation instruments³.

While recognising that progress is rarely linear, and that some Projects may not have pre-ordained Outcomes, KOMPAK will use a flexible and informed 'Project framework' approach to its Performance Framework as shown in the diagram below:

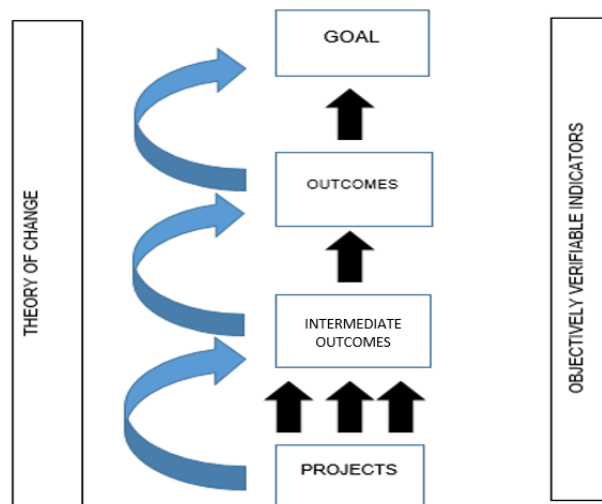


Figure 2 – KOMPAK’s Performance Framework

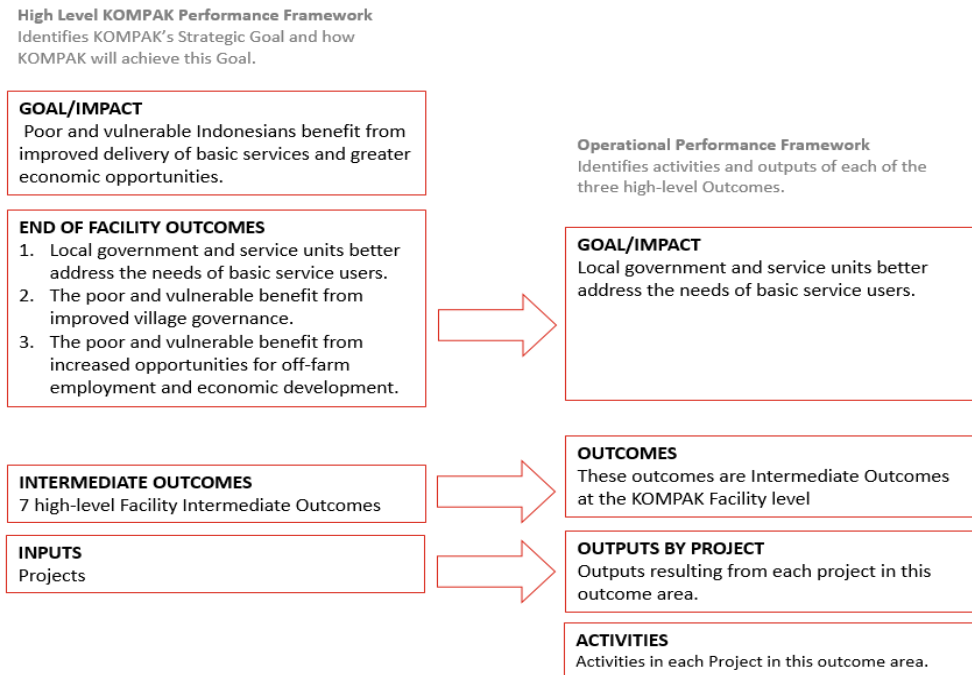
To operationalize this approach, KOMPAK has adopted a cascaded Performance Framework that has two levels; the Strategic Performance Framework level and Operational Performance Framework level as shown in Figure 3 on the following page.

The Strategic Performance Framework identifies the high-level Goal, the End of Facility Outcomes (EFOs), Intermediate Outcomes and the key Projects to be implemented towards achieving the desired EFOs. The three Operational Performance Frameworks go further in describing the specific Activities within the Projects with the Intermediate Outcomes at the Strategic Performance Framework level becoming the Outcomes at an operational level. In other words, the Goal-level of KOMPAK’s Strategic Performance Framework identifies the broader systemic changes towards which KOMPAK seeks to **contribute** to. The EFO level of the Strategic Performance Framework is where KOMPAK expects to achieve measurable changes that can be **attributed** to KOMPAK by the end of the Facility.

² Projects will be defined and approved through the Annual Workplan process. For 2016, KOMPAK will implement 11 Projects. Annex 3 illustrates these 11 Projects in relation to the Strategic Performance Framework.

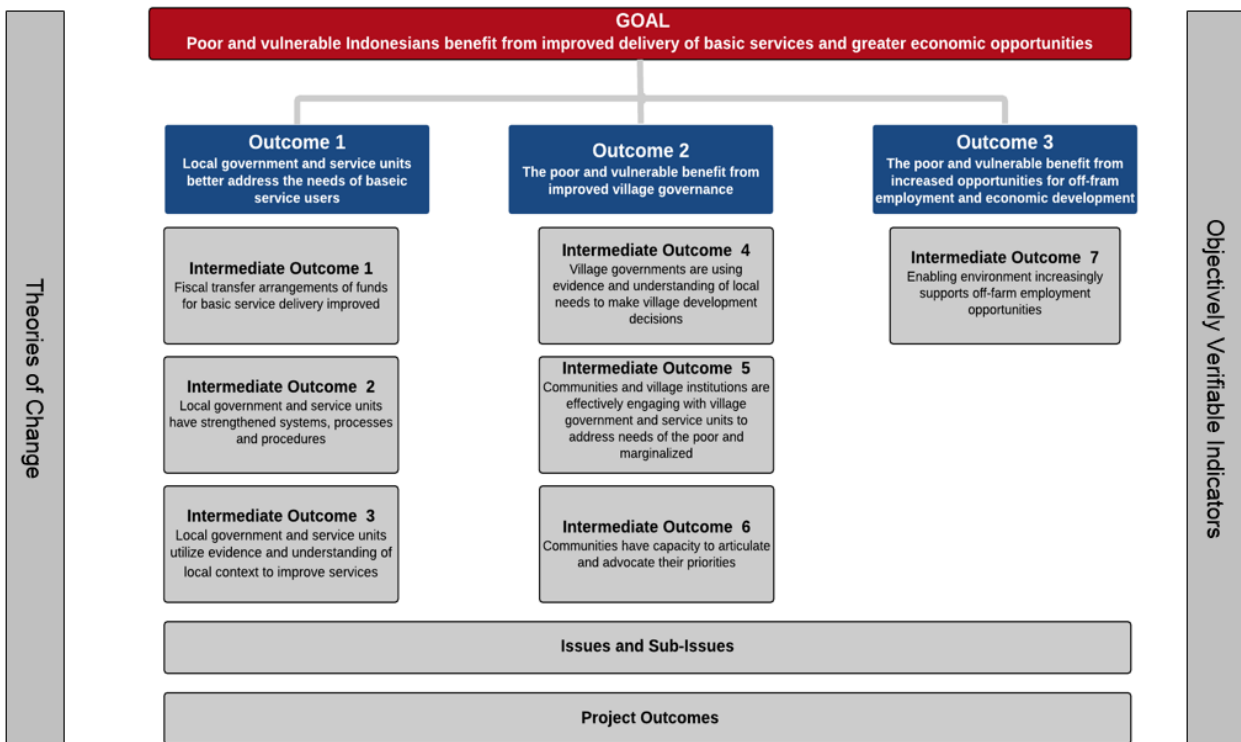
³The 8 implementation instruments used by KOMPAK are policy dialogue, policy advice, capacity/institutional strengthening, PDIA, coalitions for change, pilots and demonstrations and research/analysis.

Figure 3 – Cascaded Approach



The diagram below presents KOMPAK’s over-arching Performance Framework:

Figure 4 – KOMPAK’s High-level Performance Framework



Coherent Objectively Verifiable Indicators (OVIs) are defined at both the Strategic and Operational Performance Framework levels and these OVI's will be measured against baselines with indicative data sources which will be refined continuously once the baselines are established. Both levels of Frameworks have defined theories of change which will be tested and validated every six months to firm them up further as more detailed and nuanced research and analytics is undertaken.

KOMPAK has defined three levels of indicators at the EOFO, Intermediate Outcomes and Projects/Activities:

- Level 1 indicators align with the EOFOs and represent development Outcomes to which KOMPAK can reasonably be held accountable for achieving;
- Level 2 indicators at the Intermediate Outcome levels will measure progress towards the changes KOMPAK expects to achieve throughout its life; and
- Level 3 indicators at the Project/Activity levels measure progress towards the Project level outputs contributing to the Intermediate Outcomes.

KOMPAK recognizes that only contribution (not attribution) can be reasonably claimed at the Goal-level of the Strategic Performance Framework, therefore although some indicators will be identified at the Goal-level as well, they will be used for tracking purposes only and not for holding KOMPAK accountable to the delivery at that level.

The Strategic Performance Framework Approach enables the complex KOMPAK story to be presented in a single, easy to understand diagram underpinned by a theory of change and assumptions as narratives. The Framework also defines and promotes common language and understanding of what KOMPAK does, both within KOMPAK and with our many and varied external stakeholders.

3. KOMPAK's theories of change

The international evidence of the link between benefits for poor and vulnerable people and improved public service policies and practices is strong. It is indisputable that the Government of Indonesia at national and sub-national levels has the key role to play in effective service delivery and creating and maintaining a conducive environment for economic development. However, we know that government administrations at both the national and sub-national levels experience difficulty in fulfilling these roles.

The issue is less one of resources or finance; it is more a mix of: complex and often contradictory policies, systems, and processes; the pace of devolution outstripping governance capacities; weak systems of accountability and coordination; poor systemic links between governments and civil society; and weak processes to address cross-cutting issues. This mix of issues results in bottlenecks at best, outright failure at worst.

KOMPAK's focus is thus on supporting the GoI to implement its 'Frontline' approach, which seeks to address these bottlenecks and failures. KOMPAK will give attention to both the supply side (government) and the demand side (community).

KOMPAK understands that development programs often fail because they do not recognise and address competing interests and incentives. KOMPAK will seek to understand how change may happen where it works. Therefore it is likely that KOMPAK will focus its efforts on helping motivated and incentivised individuals, governments and communities to identify, diagnose, and resolve real-life 'collective action' problems that prevent poor and vulnerable people benefiting from basic services and local economic development. Such

Activities will: take account of the local socio-political context; foster innovation; encourage locally-led solutions; and facilitate iterative sharing of learning, adaptation, replication, and scaling-up of effective solutions.

This approach means that while KOMPAK can identify specific problems and desired Outcomes, it will not always be able to prescribe beforehand some Outputs of selected Activities. These will be diverse, depending on the particular issue to be addressed.

However, all Activities and Outputs will be designed and redesigned to contribute to specified Outcomes. The use of innovation and experimentation means that KOMPAK and its partners will need to tolerate a level of uncertainty. In most cases change will not be linear.

Given the ambition, scale and complexity of KOMPAK, there is no one overarching theory of change; on the contrary, there will be many.

That said, it is possible to construct a sort of ‘meta-hypothesis’ that runs broadly as follows; we assume that more and better services will be delivered to the poor, the marginalised and the disabled and that more off-farm economic opportunities will be created if: policies are more coherent, resources are more appropriately deployed, public service systems function more effectively, citizens are more engaged and more demanding, officials and politicians are more accountable, incentives for individual and organisational delivery are reinforced and if consequences for under-performance are timely and meaningful.

KOMPAK recognises that these changes will generate both support and resistance, and it is not possible in advance to know which changes will gain traction soonest. Thus KOMPAK will invest in a range of Activities, track their progress and stand ready to intervene to either revise or withdraw.

KOMPAK seeks to help the GoI address all these different components of the ‘theory of change’. Within the meta-theory outlined above, there are many embedded micro-theories. The following section details some of them as listed in KOMPAK’s three -year Guiding Strategy document.

KOMPAK will test some of these micro-theories during implementation. Those subjected to rigorous testing will be considered by KOMPAK’s governing body. We will review and test these assumptions in order to judge how and why the change is occurring and in which contexts it is occurring.

Data and information collected in these exercises will be used to bolster the baselines and monitoring data required to monitor KOMPAK’s performance. Further observations may lead to further research and analytical work as part of the longer-term studies KOMPAK intends to undertake.

EOFO 1: Local Government and Service Units Better Address the Needs of Basic Service Users.

As in **Figure 5** on the left, there are three Intermediate Outcomes that KOMPAK believes play a critical role in achieving EOFO 1. In order to achieve this Outcome, we have made a number of assumptions that:

Outcome 1
Local government and service units better address the needs of basic service users

Intermediate Outcome 1
Fiscal transfer arrangements of funds for basic service delivery improved

Intermediate Outcome 2
Local government and service units have strengthened systems, processes and procedures

Intermediate Outcome 3
Local government and service units utilize evidence and understanding of local context to improve services

- Increased Facility-level budget flexibility will lead to more efficient service delivery;
- Improved quality, accessibility and accountability will lead to greater uptake of services;
- Performance contracts increase both supply and demand of services;
- Higher-level delivery monitoring through technology will improve performance;
- Improvements in legal identity will increase social services uptake by the poor;
- More timely data and feedback loops will lead to service improvements;
- Performance-based incentives will improve quality and coverage of services; and,
- Clearer accountabilities and aligned incentives between different levels of government will improve service delivery.

EFO2: The Poor and Vulnerable Benefit from Improved Village Governance.

As in Figure 6 on the left, there are three Intermediate Outcomes that KOMPAK believes play a critical role in achieving EFO2 and our working assumptions are that:

Outcome 2
The poor and vulnerable benefit from improved village governance

Intermediate Outcome 4
Village governments are using evidence and understanding of local needs to make village development decisions

Intermediate Outcome 5
Communities and village institutions are effectively engaging with village government and service units to address needs of the poor and marginalized

Intermediate Outcome 6
Communities have capacity to articulate and advocate their priorities

- Public information on village budgets will reduce corruption;
- Competitive procurement in villages will lower unit costs;
- Village utilities for private and semi-private goods (water and electricity) will increase sustainability of the provision of these services;
- Predictability of transfers will lead to more inter-village Projects;
- Community and facilitator understanding of social services will improve allocations for health, education and other non-infrastructure priorities;
- Representation of poor women and the most marginalized in local decision-making processes will lead to more pro-poor village development with direct benefits for poor women and the most marginalized; and
- Engagement of representative civil society groups in village development processes will improve access to information, access to basic services and opportunities for poor women and the most marginalized in village planning.

EOFO 3: The Poor and Vulnerable Benefit from Increased Opportunities for Off-farm Employment and Economic Development.

As in **Figure 7** on the left, there is 1 Intermediate Outcome that KOMPAK believes plays a critical role in achieving EOFO 3 and our working assumptions are that:

Outcome 3
The poor and vulnerable benefit from increased opportunities for off-farm employment and economic development

Intermediate Outcome 7
Enabling environment increasingly supports off-farm employment opportunities

- More job opportunity information will increase off-site job seeking;
- Community childcare facilities will lead to more employment by women;
- Mobility grants will lower risks and increase job seeking by poorest quintiles;
- Off-farm employment for women increases household investment in their health and education;
- Off-farm employment increases total household welfare against comparators (home-working and farm labour); and
- Off-farm employment increases investments in children's education.

4. How KOMPAK will promote gender equality and social inclusion

Promoting gender equality and social inclusion (GESI) is central to KOMPAK's work and a foundation from which achievement of KOMPAK's goal is possible. KOMPAK adopts a twin track approach to addressing GESI. This means mainstreaming GESI across all program activities while also designing and implementing activities specifically for poor women and the most marginalized to promote their access to basic services and economic opportunities.

Given its significance to KOMPAK's work, KOMPAK has developed a separate GESI Strategy⁴. Its purpose is to outline the practical strategies that KOMPAK will use to promote GESI, and identify the relevant performance indicators that will be used to track KOMPAK's progress towards: improved access to quality basic services for poor women and the most marginalised, and greater economic opportunities for poor women and the most marginalised. These strategies include:

- **Contributing to the body of evidence and learning on what works and why** for increased policy dialogue with government on gender equality and inclusion related to RPJMN goals for improved service delivery and economic opportunities. Initiatives will aim to link to and build on dialogue of MAMPU and its partners.
- **Supporting locally-led solutions** for poor women and the most marginalised to improve their access to quality basic services and economic opportunities.
- **Leveraging government and non-government champions and existing networks and creating opportunities to build coalitions for change** to help women and the most marginalised gain agency and resources to make decisions, build confidence and act in their own interests. Specifically, this includes working with champions from MAMPU and Peduli.
- **Supporting experimentation and innovation to create long-term positive** shifts in gender relations and inclusion that will improve access for women and the most marginalised to basic services and economic opportunities.

⁴ Please see Annex 4 of this document.

- **Investing in strengthening KOMPAK team** capacity, understanding and commitment to gender equality and social inclusion and what this means for programming at all levels.

Performance indicators relating to GESI can be found in Annex 1 – Indicators.

5. The Project Management Cycle (PMC) and learning

Continuous learning, analytics and research will be a key element in implementing KOMPAK’s DDA. Apart from routine Monitoring and Evaluation at various stages of implementation, the theories of change (assumptions) will be constantly tested and re-tested to judge relevance and applicability.

KOMPAK is putting in place a PMC that will provide structure and discipline to its management and implementation, ensuring that implementation stays on track and remains focused (see figure 8). The PMC brings a consistent, predictable, and accountable process to KOMPAK’s set of Projects and Activities. It also ensures that KOMPAK reflects and learns from its work. The PMC is annual, with quarterly milestone tracking and six-monthly reflection and refocusing exercises.

The Program Implementation and Delivery (PID) team will be supported at each stage of the PMC by the Strategy, Innovation and Performance Team (SIP), the Corporate Operations Backbone (COB), the Technical Committee, and KOMPAKs internal Advisory Team⁵.

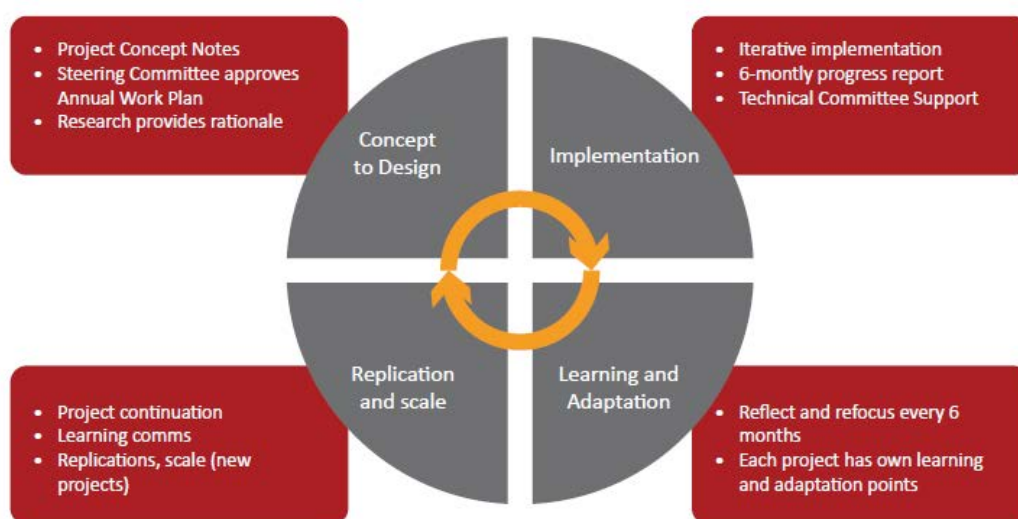


Figure 8 - Project Management Cycle

KOMPAK will institutionalise program wide iterative adaptation through six-monthly **Reflect and Refocus Workshops** that promotes collaborative learning by bringing KOMPAK stakeholders together to review progress, share experiences, work on challenges, consolidate efforts, and adjust priorities. Reflect and Refocus workshops may at times be conducted for the KOMPAK team, and at alternate times be conducted with staff, counterparts, DFAT and beneficiaries.

⁵ The diagrams in Annex 2 summarize the PMC process and the timelines for each action therein.

Quarterly implementation milestones and KPI tracking reports and meetings will enable KOMPAK to ensure delivery of outputs on time and within budget while enabling the application of a robust quality assurance process on an ongoing basis.

KOMPAK Progress Reports will be produced six-monthly and will detail how KOMPAK is tracking against the planned implementation schedule and budget, the operating context, and also reports on findings emerging from monitoring and evaluation Activities. The Progress Reports will indicate where KOMPAK is achieving desired Outcomes, and where changes may be required to achieve the same.

Routine Activity and Project Reports are used by line managers and KOMPAK's Senior Management Team for accountability and progress monitoring purposes. These provide essential tracking information on a day-to-day basis and act as an early warning system to the Senior Management Team in case of emerging problems. Some reports will be provided monthly, others quarterly and the Project Management System will provide access to the most current information on a constant basis.

6. Analytics and research

The KOMPAK analytics agenda will be set annually in consultation with key stakeholders. Organising hypotheses will stem from KOMPAK's theories of change and the approach will involve four broad areas as follows:

- **Rapid response studies** – GoI requires 'just in-time' analysis. Current government procurement regulations make it difficult for government agencies to contract local think-tanks and research institutes to provide rapid-response services. KOMPAK will provide carefully selected 'rapid response' analytical services to ensure that government partners have the analytical inputs needed to make evidence-based decisions;
- **Evidence-building** - KOMPAK will continuously test its theories of change to ensure that they remain relevant to current contexts. Therefore KOMPAK will undertake selected research and analysis from time to time in this regard;
- **Supporting the GoI to measure for impact** – KOMPAK will need to set statistically-robust baselines that can be used to track the effectiveness of its interventions. Analytics will also support the monitoring and evaluation function in collecting quantitative and qualitative data to help measure impact against the baselines; and
- **Longer-term studies** – KOMPAK will support selected longer-term studies through partnerships with organizations already working in KOMPAK's focus areas. The criteria for selecting these partners and studies will include: (a) responsiveness to KOMPAK's Outcomes, (b) government endorsement, (c) robust designs and clear hypothesis and (d) credible plans for take-up or use of the outputs towards achieving the KOMPAK Outcomes by Indonesian stakeholders.

7. Monitoring performance

Organising the Facility's interventions around the Performance Framework will help focus KOMPAK's attention on the *Outcomes* to be achieved, and the *change* that is needed. This encourages flexible investment decisions among Inputs in order to seek and identify those that will contribute towards achieving desired Outcomes.

KOMPAK's performance, monitoring and evaluation will include the following:

- Establishment of robust baseline data that provides the evidential basis to measure progress and Outcomes;
- Regular input-output monitoring to monitor/assess the Projects and their performance with a view to respond and adjust Project implementation accordingly to any observations and lessons learnt;

- Impact evaluations of KOMPAK's work with the beneficiaries (information collected by the village government, facilitators and supplemented by monitoring and evaluation staff at provincial level); and
- External evaluations and specific studies to examine the long-term impact of KOMPAK's work and as a response to any issues arising during Project implementation.

Performance Indicators are attached to each of the Outcomes and to each of the Intermediate Outcomes. KOMPAK indicators are aligned to the indicators defined by DFAT's Performance Assessment Framework (PAF) section at the Intermediate Outcome level and at the Project-level. A full suite of these Performance Indicators is detailed in Annex 1 of this document.

KOMPAK will collect the necessary baseline information for each Project/Activity through the use of secondary sources and the undertaking of necessary primary baseline data generation Activities. This baseline data will be used to shape the performance indicators and output targets for each Project/Activity.

The program Implementation team and partners will monitor progress against the defined milestones and indicators at the Operational Performance Framework level and will prepare progress reports as per agreed schedules with KOMPAK's Senior Management Team (SMT). This information will feed into the overall KOMPAK reporting to DFAT.

Project/Activity-level reports will include a narrative that describes completed Activities for the reporting period, the progress made in achieving what was expected, a reflection on any gaps between the expected and actual achievements and a response on how the gaps will be bridged. The report will also identify lessons learnt and indicate how these lessons will influence future implementation.

Pilot Project-Activities will undergo a progress review (typically at the midpoint of implementation) and an evaluation in the final quarter of the implementation to determine whether the pilot should be supported for replication and scale up.

DFAT and KOMPAK will discuss the possibility of undertaking joint monitoring and evaluations for key Projects in the KOMPAK portfolio. The approach will be to develop a joint evaluation plan executed over the course of implementation during the year, the first such plan to be in place from the end of 2016.

8. Communications

KOMPAK has developed a Communications Strategy⁶ that will be continually updated throughout the lifetime of the Facility and which is currently grounded in the following objectives:

- Establishing awareness and understanding of KOMPAK programs to internal and external audiences through appropriate methods and tools;
- Deepening collaboration with relevant stakeholders to gain and maintain support;
- Building a positive perception of KOMPAK by demonstrating and communicating progress, successes, lessons and results from KOMPAK's work;
- Assist KOMPAK to effectively and purposefully engage with the GoI, DFAT and other key stakeholders.

KOMPAK will develop communication tools and processes for disseminating Project/Activity information, reporting progress, results and evaluation findings and will ensure that this information and knowledge is socialised using effective communications and knowledge management best practices.

KOMPAK will also use communications as a tool to quality assure evaluation findings and to nurture opportunities for the use of these findings by KOMPAK and others. This will be achieved through the use of summary sheets, research briefs, policy briefs, summarized evaluation findings tables, dashboards, infographics,

⁶ Refer to the KOMPAK Communications Strategy (December 2015) for further information.

data visualizations, images/photos, interactive web-pages or web apps, photostories, comic strips, blogs and multi-media reports.

Annex 1 – Performance measurement and evaluation framework

This chapter of the KOMPAK strategic performance framework focuses on measuring performance at the level of End of Facility (EOFO) and Intermediate Outcomes (IO). Additional processes are in place for monitoring progress against workplans and contractual compliance. This framework emphasises performance measurement and evaluation for learning, evidence gathering, and decision making, as well as accountability to stakeholders. The framework includes a number of inter-related elements, outlined as follows:

Key evaluation questions

KOMPAK's performance measurement and evaluation seeks to answer the following questions:

- EOFO 1: What changes in the delivery of selected frontline services has KOMPAK contributed to and how? What evidence is there that these services are better addressing the needs of service users, particularly the poor and vulnerable?⁷
- EOFO 2: What changes in village governance, including representativeness and responsiveness, has KOMPAK contributed to and how? What evidence is there that this is benefiting the poor and vulnerable?
- EOFO 3: What changes in opportunities for off-farm employment and economic development are observed? How has KOMPAK contributed to these? What evidence is there that this is benefiting the poor and vulnerable?

This will be done through analysis of data collected against a number of high level indicators (see section following) and through a range of tools and processes (section 3).

High level indicators

KOMPAK performance measurement and evaluation will focus on the End of Facility and Intermediate outcome levels. High level indicators are linked to Government of Indonesia plans and strategies, particularly the Indonesia Medium Term Development Plan (RPJMN II) and DFAT governance and social development indicators. At the goal level, KOMPAK will track a number of indicators extracted from the RPJMN II at a national level and in geographic areas where KOMPAK is supporting relevant work. KOMPAK expects to *contribute* to long-term (potentially beyond KOMPAK) progress in relation to these goal indicators, particularly in target districts, but will focus on the next levels down (End of Facility and Intermediate Outcomes). High level indicators are of two forms:

- Quantitative indicators, predominantly related to budgets, expenditure, household or community engagement in and perceptions of various aspects of community governance, and summary indicators of the number and proportion of sites exhibiting certain areas of change.
- Qualitative indicators, primarily highlighting areas where examples of particular changes will be collected and then later analysed

⁷ Consideration of the 'poor and vulnerable' throughout this framework will include specific attention to differences between experiences of males and females.

Data against End of Facility and Intermediate Outcome indicators will be collected from a range of primary and secondary sources as outlined in the detailed description (section 5). Goal level indicators will be tracked drawing only on secondary data sources, particularly the National Socio-Economic Survey (Susenas) and the Village Potential Statistics (PODES).

Table 1 KOMPAK high level indicators

GOAL: Poor and vulnerable Indonesians benefit from improved delivery of basic services and greater economic opportunities	
Indicator	2019 target⁸
Poverty level	7-8% (10.96% in Sept 2014)
Number of underdeveloped villages	Reduce to 5,000 villages
Number of self-sustained villages	Increase at least by 2,000 villages
Legal identity for poorest 40% • Birth registration among 0-17 year olds	77.4% (64.6% in 2013)
Health: • The number of kecamatan that have at least one accredited <i>Puskesmas</i> • Percentage of districts / cities which reaches 80 percent complete basic immunization in infants • The number of <i>Puskesmas</i> that have at least five types of health personnel	5,600 95 % 5,600 (1,015 in 2014)
Education: • SD with B Accreditation • SMP with B Accreditation • SMA with B Accreditation	84 % (69 % in 2014) 81 % (63 % in 2014) 85 % (74 % in 2014)
All EOFOs	
0. Number of significant instances where KOMPAK support resulted in improved policy at (i) village; (ii) sub-district; (iii) district/provincial or (iv) central level. (PAF #15, #19) PAF # 9. Number of women and men who apply improved technical skills to deliver better quality services PAF # 16. Number of people, especially women and marginalized groups, who contribute to improved policy PAF # 17. Number of platforms that support inclusive development	
EOFO 1: Local government and service units better address the needs of basic service users	
1. Examples of changes in availability of and access to selected frontline services at sub-district level	
2. Number and proportion of villages where poor and vulnerable state that they have been able to access selected frontline services in accordance with their needs.	
<i>Intermediate Outcome 1: Fiscal transfer arrangements for basic service delivery improved.</i>	

⁸ Source: Table 5.1, Principal National Development Goals (*Tabel 5.1 Sasaran Pokok Pembangunan Nasional*), Government of Indonesia (2014) RPJMN 2015-2019 Chapter 5, pp.6-12

<p>3A Annual budget allocation and expenditure for:</p> <ul style="list-style-type: none"> - Dana Alokasi Khusus (DAK) (central – >district) - Dana Insentif Daerah (DID) (central –> district) - Alokasi Dana Desa (ADD) (district –> village) - Dana Desa (DD) (central –> district –> village) 	<p>3B Annual district budget allocation and expenditure associated with increased delegation of responsibilities to the sub-district (district –> sub-district)</p>
	<p>3C Annual district and sub-district budget allocation and expenditure on selected frontline services (tracked on a case study basis, not in all locations)</p>
<p>4. Examples of improvements in fiscal policy relevant to frontline service delivery or implementation of the village law to which KOMPAK has contributed (PAF # 6)</p>	
<p>5. Number of districts demonstrating full, partial, or non-compliance with fiscal transfer policies and procedures for village fund (DD) and village fund allocation (ADD) (PAF #12)</p>	
<p><i>Intermediate Outcome 2: Local government and service units have strengthened systems, processes and procedures.</i></p>	
<p>6A. Examples of improvements in management systems, processes, and procedures related to supervision and support to village governments and selected Frontline services to which KOMPAK has contributed (PAF #12)</p>	<p>6B. Number/proportion of target districts with examples of improvements in management systems, processes, and procedures related to supervision and support to village governments and selected Frontline services to which KOMPAK has contributed (PAF #12)</p>
<p><i>Intermediate Outcome 3: Local governments and service units utilise evidence and understanding of local issues to improve services</i></p>	
<p>7. Examples of coordination, information exchange, or advocacy, between (any of) sub-district, selected frontline services, and villages being used to improve frontline service delivery or village planning and budgeting (PAF#13)</p>	
<p><i>EOFO 2 - The poor and vulnerable benefit from improved village governance.</i></p>	
<p>8. Number and proportion of sampled males and females that state that decisions made by village governance structures are responsive to their needs</p>	
<p>9. Community perceptions of changes in village governance and frontline services</p>	
<p><i>Intermediate Outcome 4: Village governments are more responsive and accountable to the identified needs of their communities, particularly those of the poor and vulnerable.</i></p>	
<p>10. Examples of shifts in funding allocations in village plans towards addressing service delivery issues or inequality</p>	
<p>11A. Number and proportion of village plans that include funding for delivery and/or access to frontline services, or addressing other inequality</p>	<p>11B. Proportion of village funds (i) allocated, and (ii) spent on selected frontline services or addressing other inequality as per the village plan</p>
<p>12. Examples of new accountability and transparency initiatives relevant to village planning and budgeting or service delivery (linked also to IO 5 and IO 6 through social accountability initiatives)</p>	
<p><i>Intermediate Outcome 5 (revised): Village institutions and other actors (e.g. private sector, CSOs) are effectively engaging with village government and service units to address needs of the poor and marginalised. (Additional high level indicators not required (covered by IO 4 and IO 6).</i></p>	

Intermediate Outcome 6 (revised): Communities are increasingly advocating for their priorities in relation to village development, including access to frontline services

13A. Examples of changes in community engagement and influence in village planning and budgeting processes. (PAF# 16)

13B. Number/proportion of villages in target areas with examples of changes in community engagement in village planning and budgeting processes

14. Examples of initiatives to improve representativeness of village governance structures in target sub-districts/villages

EOFO 3 - The poor and vulnerable benefit from increased opportunities for off-farm employment and economic development.⁹

Indikator tingkat tinggi akan dikonfirmasi dalam strategi EOFO 3

Intermediate Outcome 7: The enabling environment increasingly supports off-farm employment opportunities.

18. Examples of improvements in policy and procedures relevant to the enabling environment for off-farm employment to which KOMPAK has contributed

19A. Number and proportion of village plans that include funding for economic development activities

19B. Proportion of village funds (1) allocated, and (2) spent on economic development activities as per the village plan

[19A and 19B analysis to consider disaggregation by funds for general community/ women/ people with disability/ poor and vulnerable/ other marginalised groups activities]

DFAT PAF Indicators 2.0

6. Number of improvements to public revenue and expenditure management

9. Number of women and men who apply improved technical skills to deliver better quality services

12. Number of districts that made improvements in service delivery practices and policies

13. Number of service units with improved institutional capacity to address frontline service needs

16. Number of people, especially women and marginalized groups, who contribute to improved policy

17. Number of platforms that support inclusive development

15. Number of instances of improved policy for human development

19. Number of instances of improved policy for inclusive development

⁹ Note that there will be further development of indicators in relation to EOFO 3 as work is designed.

Tools and processes

KOMPAK Tool #1: Baseline Study

The baseline study includes four main elements:

- A baseline survey completed at household, village (village apparatus), sub-district levels (by a survey contractor)
- Budget analysis – of village plans (in collaboration with PSF), and of a small number of sub-district and district line items
- Compilation of relevant information from other studies mobilised to inform project development (such as kecamatan assessment, CRVS study, and PFM study)
- Compilation of data from secondary sources such as Susenas and PODES

Components of the baseline study, such as specific modules included in the household and village may be conducted at more frequent intervals in a sample of locations. Secondary data will be collated and analysed annually. An endline survey is expected to be mobilised in the final year of KOMPAK, but nature of this will depend on the situation and ongoing plans at the time.

KOMPAK Tool #2: Internal Policy Engagement Review

This will contribute to KOMPAK's 6 monthly report and documentation of achievement of policy change for DFAT.

A regular (at least six-monthly) internal review of activities and progress related to policy or procedure reform, recorded as a journal or blog. This will be facilitated and documented by PRE, and focus on the following questions:

- What issues or problems is the reform seeking to address? Is this focus still relevant? Or has the context changed and something else is required?
- [For later reviews] How is this policy development linked with other areas of policy or system development – for example, between central and district, district and sub-district, or between ministries?
- What progress has been made? What factors have assisted this (e.g. public pressure, incentives, triggers)?
- What has KOMPAK's role been? Who else has been/should be involved?
- Is the KOMPAK advice, activity, or output of good quality? What is the reaction or uptake?
- What has KOMPAK done to promote gender equality or social inclusion considerations in the reform? Is this sufficient (or why not)?
- What are the lessons for future engagement?

Independent *outcome and contribution analysis* related to a small sample of significant policy reforms will be undertaken with a focus on learning about effective processes and verifying KOMPAK's role.

Completed policies will be reviewed against KOMPAK input to identify specific areas of contribution.

KOMPAK Tool #3: After Event Report

The After Event Report (AER) form replaces the BTOR for documenting events (workshops, missions, presentations, piloting, trainings, etc.). The AER is an important data collection tool for KOMPAK. It will provide information to the PRE and Communication teams as well as to PID leads, COB, and the SMT on the activities and resulting outputs of KOMPAK.

What information is collected?

- The AER documents:
 - The KOMPAK staff who attended the event (Q. 1,2)
 - When and where the event took place (Q.3,4)
 - The intermediate outcome the event is related to (Q.5)
 - Narrative description of the event (Q.6; can be taken from the ToR)
 - The type of event (Q.7)
 - Who (other than KOMPAK staff) attended or participated in the event (Q.8)
 - Quantitative data (counts for PAF indicators) (Q. 9-11)
 - Qualitative (outcome stories, learnings, next steps, follow up) (Q. 12, 13)
- In addition, the AER provides links (or includes attachments) to any artifacts relevant to the event (agendas, reports, photos, video, etc).

When should the AER form be completed?

- The AER form is to be completed after an event that generates data, learnings, outputs, next steps, or anything of interest to KOMPAK. Events can include: workshops, training, focus group discussions, field or site visits, presentations to the GOI, presentations to other stakeholders, scoping missions, information-gathering visits to other development programs, etc. The form contains a list of possible events as well as an option to select “other” and describe the event attended.
- The AER form is to be completed following events attend in Jakarta as well as outside of Jakarta.
- Like the former BTOR, the AER form will alert COB that travel is completed.

Who should complete the AER form?

- A single form can be completed for a team. Indicate in Q. 1 who completed the AER and in Q2 who else was in attendance.

KOMPAK Tool #4: Participant Assessment Survey

This form is customised depending on the type of event and desired outcomes.

KOMPAK Tool #5: Story of Change and Story of No Change Template

This should be used to describe any changes or results than can be linked to KOMPAK’s work. Stories of Change can include news or social media items, photos, audio or video files. Interviews or quotes are great to include.

When writing your Story of Change, please consider the following guiding questions (in any order, whichever questions are relevant).

- **Describe the context in which the change has occurred – what were the issues or problems?** How were the issues or problems identified? *Consider these particularly from the perspective of the poor, women, people with disabilities or other marginalised groups (as relevant).*
- **What is the result or change that has occurred?** Please be as specific as possible – think about who is doing what differently, or what is now in place that was not before.
- **How did this change come about?** Think about the motivations and incentives that made this occur – was it driven by individuals or organisations? Government or non-government stakeholders? What role did KOMPAK play in bringing

about this change? Who else was involved and what did they do? (government, civil society, and other donor contributions or relationships)

- **What does this mean for organisations/agencies or the people of Indonesia?** Think particularly about the poor, women, people with disabilities or other marginalised groups (as relevant).
- How does this link to KOMPAK's intermediate or end of facility outcomes?
- **What is the source of this information?** *How do you know about this – e.g. observation, evaluation, secondary source, interviews with people involved?* Note this is really important – we need to substantiate what is said.

The Story of No Change template is almost the same as the Story of Change. You should complete a Story of No Change Template when you feel that there should have been progress, but this has not happened. Stories of no change are important for learning.

KOMPAK Tool #6: District/sub-district scan and Village scan

The purpose of the district/sub-district scan is to systematically identify changes that have occurred in relation to KOMPAK outcomes or indicators. Examples can be further developed into stories of change or be part of more in-depth analysis.

The district or Village scan should be completed approximately every six months, and can be part of visits conducted for other purposes. This process can be implemented or supported by PRE staff.

Additional Tools

Longitudinal case studies, using a hybrid participatory video/documentary methodology, centred initially on a small selection of frontline services and then later potentially village governance structures.

Specific studies and evaluations to address knowledge gaps, evidence the theories of change, and provide real-time information for decision making.

Evidencing the theory of change

KOMPAK evaluation and research will have an ongoing focus on learning about, and evidencing, particular hypotheses that make up KOMPAK's theories of change. This will focus on the following questions:

1. **What are the observed motivations, incentives, and barriers to positive change:**

- *In relation to various actors¹⁰ being accountable to identified needs of communities, particularly the poor and vulnerable, women, people with disabilities, or other marginalised groups?*

This is to include methods of outreach and information sharing, particularly involving the poor and marginalised, availability and use of grievance procedures, transparent and responsive use of funds, promotion of participation and representativeness.

- *In relation to the participation and influence of the poor and vulnerable, women, people with disabilities, or other marginalised groups?*

¹⁰ Consideration of relevant district and sub-district government agencies, village governance structures, frontline services.

This is to include consideration of how communities, particularly the poor and vulnerable, women, people with disabilities, or other marginalised groups want to engage (or don't) and how they can best have influence; what difference participation makes; and what various parties get out of the process.

2. What kind of policies and regulations, at what level, are most effective in supporting improvements in frontline services?

These questions will be integrated into a range of research and evaluation activities, as well as be used to guide part of KOMPAK's 6-monthly **reflect and refocus** meetings.

Definitions

The following terms or phrases are used in the indicator framework, and so are defined here:

Poor and vulnerable	KOMPAK uses the Government of Indonesia definition of the 'bottom 40 percent', representing those living under the Indonesian poverty line, and those vulnerable to slipping below it in response to particular shocks and periodic and economic downturns.
Marginalised	KOMPAK recognises that there are many reasons for marginalisation, many of which are location specific. KOMPAK activities will include a focus on these groups, when identified as relevant. Women and people with disability will be considered as potentially marginalised groups in all locations, and thus may warrant specific attention.
Selected frontline services	The GOI frontline strategy aims to improve access of the poorest 40 percent of the population to quality basic services. These include: i) legal identity; ii) health; iii) education; iv) protection; and v) basic infrastructure: housing, water and sanitation. KOMPAK's focus is on legal identity (from district level down, birth certificates only), health (puskesmas and posyandu), and education (PAUD (preschool), SD, SMP) services.
Service Providers (DFAT PAF)	Include staff of service units (specifically health (puskesmas), schools (PAUD, SD, SMP, SMA), and legal identity (birth certificate) services), related committees (school committees, health committees), village governance (village apparatus and BPD), as well as civil society organisations (particularly women and disability focused CSOs) involved in village planning and monitoring.
Target districts	The districts where KOMPAK is supporting a range of activities in various combinations through the Frontline and Landasan pilots, and through the sub-national focus on NTB and East Java. Other activities are supported in other areas, such as through CSO partners, or in response to particular government requests:
Village governance structures	This refers to the village and sub-village apparatus (Head, Secretary, Treasurer) and Village Deliberation Body (<i>Badan Permusyawaratan Desa, BPD</i>)
Technical skills (DFAT PAF)	Include those related to management, planning, leadership, consultation, and accountability. Note that KOMPAK is not directly supporting development of technical skills related to providing services (such as medical or teaching skills).

Policy

Significant policy includes Law (Undang Undang), Presidential/Government/Ministerial/District Governor Regulations (Peraturan) and Decrees (Keputusan).

Lower level policy includes village, sub-district (office of Camat and sectoral) regulations, SOPs, guidelines, lower level decrees, etc.

Detailed description of EOFO and IO indicators and processes

RELEVANT RPJMN, DFAT PAF INDICATORS	KOMPAK INDICATORS	DEFINITION AND INTERPRETATION	SOURCE AND FREQUENCY	BASELINE NEEDS AND AVAILABILITY	ADDITIONAL RESEARCH AREAS
<p>EOFO 1: Local government and service units better address the needs of basic service users</p> <p>Assumption/s: Increased Facility-level budget flexibility will lead to more efficient service delivery; Improved quality, accessibility and accountability will lead to greater uptake of services; Performance contracts increase both supply and demand of services; Performance-based incentives will improve quality and coverage of services; and, Clearer accountabilities and aligned incentives between different levels of government will improve service delivery.</p> <p>Key evaluation questions: What changes in the delivery of selected frontline services has KOMPAK contributed to and how? What evidence is there that these services are better addressing the needs of service users, particularly the poor and vulnerable?</p>					
<p>RPJMN II: Fulfilment of Village Minimum Service Standards (Strategy 1) Ministry of Health (MoH) medium-term plan: # sub-districts with at least 1 accredited Puskesmas (target in 2019: 56) MOHA medium-term plan: % districts fulfilling basic services (target 2019: 60%)</p>	<p>1. Examples of changes in availability of and access to selected frontline services at sub-district level</p>	<p>This indicator is included to maintain focus on the intention that access to services will be improved (supply side) as a result of changes in policy and procedures. At this level the emphasis is on understanding the process behind the change, particularly the role of policy and procedure change.</p>	<p><i>Method:</i> Secondary data analysis of PODES and other data from line ministries as relevant. Focus on target districts. <i>Frequency:</i> Annual (note there will be a lag in data becoming available)</p>	<p>2014 PODES, focus on indicators from RPJMN (see goal indicators above)</p>	<p>Qualitative information on changes in service quality Application of key learning questions – investigation of factors contributing to observed changes</p>
<p>2. Number and proportion of villages in target districts where poor and vulnerable state that they have been able to access selected frontline services in accordance with their needs.</p>	<p>Definition and interpretation to be developed through the KOMPAK baseline survey development. Exact wording may change.</p>	<p><i>Method:</i> Survey <i>Source:</i> KOMPAK initiated survey, Frontline pilot <i>Frequency:</i> Baseline and End of Facility</p>	<p>KOMPAK Baseline [Tool 1] to complement LANDASAN and Frontline pilot studies on people’s perception of services</p>		

RELEVANT RPJMN, DFAT PAF INDICATORS	KOMPAK INDICATORS	DEFINITION AND INTERPRETATION	SOURCE AND FREQUENCY	BASELINE NEEDS AND AVAILABILITY	ADDITIONAL RESEARCH AREAS
<p>Intermediate Outcome 1: Fiscal transfer arrangements for basic service delivery improved.</p> <p>Assumption/s: Clearer accountabilities and alignment between different levels of government will improve policy formulation and service delivery. If districts/sub-districts have better systems and processes, they will be able to attract more funding.</p> <p>Evaluation pair¹¹: Intermediate outcome 2 indicator: Examples of improvements in management systems, processes, and procedures in target districts/sub-districts. Also analysis at different levels – e.g. positive change at district level may be an indicator of positive changes in national policy environment and implementation.</p>					
<p><i>RPJMN II - Ministry of Finance:</i> Enhance the quality of policy formulation related to inter-governmental fiscal relations</p> <p>Inter-region financial equality index (Williamson Index)</p> <p><i>DFAT PAF Indicator 6:</i> Number of improvements to public revenue and expenditure management (limited contribution)</p> <p><i>DFAT PAF Indicator 12:</i> Number of districts that made improvements in service delivery practices and policies</p> <p>Ministry of Home Affairs (MoHA) - medium-term plan: percentage of local budget oriented at basic service (baseline 2014: 15%; target in 2019: 25%)</p> <p>MoH medium-term plan: Number of Puskesmas (local health clinics)</p>	<p>3A. (i) Annual budget allocation from district to sub-district and (ii) Actual annual sub-district expenditure on selected frontline services</p> <p>3B. Proportion of district and sub-district budget (i) allocated to and (ii) expended on selected frontline services</p>	<p>Disaggregated by type of service, location</p> <p>By 2019 hope to see service delivery units with most needs receiving higher funding, and, funding allocated according to performance and not just based on previous year's allocation with x% increase.</p> <p>Expect to see increased budget allocation to services, and closer alignment of expenditure to budget (proportion of budget for which funds received and then expended)</p>	<p><i>Method:</i> Review of annual budget allocation and expenditure in target districts</p> <p><i>Frequency:</i> Every 6 months for disbursement and annually for expenditure (note there will be approximately a 3-month lag - data is available around March each year).</p> <p><i>Source:</i> Budget disbursement can be obtained from MoF and district (BPKAD/DPKAD) data. Budget expenditure review can be obtained from periodic filed visits. Line items to be confirmed.</p>	<p>Baseline, Mid-Term and End of Facility review to include target districts and comparison to a sample of other districts:</p> <ul style="list-style-type: none"> From the same province, but which are not KOMPAK or similar program focus districts; <p>Provinces with no intervention in this area</p>	
	<p>4. Examples of improvements in fiscal policy relevant to frontline service delivery to which KOMPAK has contributed</p>	<p>Definition of improvement will depend on the problem/s being addressed (see note in definitions).</p> <p>2016 will see some focus at central level, after which focus will be balanced with sub-national.</p> <p>Specific policies for which</p>	<p><i>Method:</i> KOMPAK internal review of policy engagement process and progress [TOOL 2]</p> <p>Verification of a selection of KOMPAK policy engagement activities at various points in the process (to be identified through annual planning</p>	<p>The PFM study will identify particular bottlenecks and areas for reform that will inform GOI prioritisation of reforms with KOMPAK support</p>	<p>Qualitative spot-checks on policy implementation</p> <p>Contribution analysis of small sample of significant policy developments</p> <p>Application of key</p>

¹¹ Throughout this framework evaluation 'pairs' are identified. These identify areas of complementary analysis and verification. For example, if community advocacy is effective, the evidence of this will be changes in village budget allocation and then in frontline service delivery – therefore these two sides are an evaluation pair.

RELEVANT RPJMN, DFAT PAF INDICATORS	KOMPAK INDICATORS	DEFINITION AND INTERPRETATION	SOURCE AND FREQUENCY	BASELINE NEEDS AND AVAILABILITY	ADDITIONAL RESEARCH AREAS
utilising BOK funds (baseline in 2014: 9,655 Puskesmas; target in 2019: 10,315)		there is KOMPAK support or engagement to be identified on an ongoing basis.	process) Analysis of outcome stories [TOOL 3] focused on application of revised policy and procedures through field visits <i>Frequency:</i> At least 6 monthly for internal review; outcome stories collected on ongoing basis; verification at least at Mid-term and End-of-Facility points.		learning questions
	5. Number of districts demonstrating full, partial, or non-compliance with selected fiscal transfer policies and procedures (village fund (DD), village fund allocation (ADD), specific allocation fund (DAK), regional incentive fund (DID))	Selected policies and procedures will be identified based on PFM study and fiscal decentralisation reform agenda. Focus on allocation fund, performance-based incentive fund and village fund. As a priority likely to focus on on-timely submission of budgets, correct use of on-line systems	Timing of investigation will be responsive to needs and in accordance with the timeframe for the implementation of improved arrangements.	Baseline will depend on area of investigation. Broader compliance data may be available from the Supreme Audit Agency and government supervision systems.	As useful, more complex periodic assessment against specific regulations will be used to identify where issues remain and to inform follow-up actions.
Intermediate Outcome 2: Local government and service units have strengthened systems, processes and procedures.					
Assumption/s: Improved human resource capacity linked with performance-based incentives will improve quality and coverage of services; If service units have good systems, they will be able to access funds. However it is noted that there may be a positive relationship between fiscal transfers and service delivery, but not necessarily with services reaching the poor.					
DFAT PAF Indicator 13. Number of local service units with improved institutional capacity to address frontline service	6A. Examples of improvements in management systems, processes, and procedures related to selected Frontline	Improvements are expected to include increased emphasis on public financial management at subnational level, human resource	<i>Method/source:</i> Project evaluation supplemented by periodic checks through field visits with a focus on BAPPEDA, DPKAD, BPMD,	<i>Baseline:</i> Focus is on changes from start of intervention, based on problem analysis. Compile from data and field	Research on drivers of change

RELEVANT RPJMN, DFAT PAF INDICATORS	KOMPAK INDICATORS	DEFINITION AND INTERPRETATION	SOURCE AND FREQUENCY	BASELINE NEEDS AND AVAILABILITY	ADDITIONAL RESEARCH AREAS
<p>needs</p> <p>MoHA med-term planning:</p> <p># districts with finalised budget and budget accountability on time (baseline 2014: 30 provinces, 250 districts; target in 2019: 30 provinces, 300 districts)</p> <p># districts implementing accrual based accounting system (baseline: 20 provinces, 250 districts; target 2019: 28 provinces, 350 districts)</p> <p>Ministry of Health:</p> <p># Puskesmas publishing BOK utilisation report in Puskesmas or subdistrict office board (baseline 2014: 5.000; target in 2019: 7.737)</p>	<p>services in target districts to which KOMPAK has contributed</p> <p>6B. Number/proportion of target districts with examples of improvements in management systems, processes, and procedures related to selected Frontline services to which KOMPAK has contributed</p>	<p>performance based management system, appropriate use of incentives and sanctions, evidence of changing staff allocation to match required functions, adherence to appropriate and relevant SOPs</p> <p>Specific focus on for BOK (Health Operational Fund), BOS (School Operational Fund)</p>	<p>BKN, BKD</p> <p>Analysis of outcome stories collected through field visits [TOOL 3].</p> <p><i>Longitudinal case studies of a selection of frontline services</i> [TOOL 5]: Regular structured interviews with a small number of each kind of service – suggest 2 each of legal identity, SD, puskesmas. Potential to use audio/visual tools</p> <p><i>Frequency:</i> Project evaluation schedule TBC. Periodic checks/outcome stories collected on ongoing basis.</p>	<p>reports from MoF on district budget analysis; Data from BKN and BKD may be able to be accessed to looked at previous staff deployment profiles.</p>	

RELEVANT RPJMN, DFAT PAF INDICATORS	KOMPAK INDICATORS	DEFINITION AND INTERPRETATION	SOURCE AND FREQUENCY	BASELINE NEEDS AND AVAILABILITY	ADDITIONAL RESEARCH AREAS
<p>Intermediate Outcome 3: Local governments and service units utilise evidence and understanding of local issues to improve services</p> <p>Assumption/s: More timely data and feedback loops will lead to service improvements</p> <p>Evaluation pair: Intermediate outcome 4 indicators: (i) Examples of village projects that respond to identified needs and priorities of the poor and vulnerable; (ii) Proportion of villages in target areas where governance structures can demonstrate responsiveness and accountability to identified needs, particularly of the poor and marginalised.</p>					
<p>DFAT PAF Indicator 13. Number of local service units that have improved institutional capacity to address frontline service needs</p>	<p>7. Examples of coordination, information exchange, or advocacy, between (any of) sub-district, selected frontline services, and villages being used to improve frontline service delivery</p>	<p>Areas of change are complex and not yet fully defined. Need to have a flexible and responsive approach. Look to embed in the kecamatan planning as review process, so that those involved are also involved in identifying issues, progress, and future actions (akin to an action learning model). Methodology to incorporate use of data – e.g. from social accountability initiatives and other community advocacy, against minimum service standards. Focus of this is on mutual (KOMPAK + Camats, village, and service representatives) learning and adjustment.</p>	<p><i>Method/source:</i> Analysis of outcome stories collected through field visits [TOOL 3]. Learning/practice communities [TOOL 4] involving Camat, village heads + women reps, service unit heads to review and adjust processes between sub-district and village. Test initially with 2 Kecamatan. Combination of on-line and face-to-face. <i>Longitudinal case studies of a selection of frontline services</i> [TOOL 5]: <i>Frequency:</i> Ongoing</p>	<p>There is existing baseline information (KOMPAK, PSF, and other sources) on the village government capacity aspects and on use of funds for service delivery – to be compiled. Less information is available on the community side. Some can be drawn from kecamatan study, legal identity baseline, and PFM study Additional data from KOMPAK village baseline [TOOL 1]</p>	<p>Research on process by which local governments and service units use feedback from communities in improving services.</p>

RELEVANT RPJMN, DFAT PAF INDICATORS	KOMPAK INDICATORS	DEFINITION AND INTERPRETATION	SOURCE AND FREQUENCY	BASELINE NEEDS AND AVAILABILITY	ADDITIONAL RESEARCH AREAS
<p>EOFO 2 - The poor and vulnerable benefit from improved village governance.</p> <p>Assumption/s: Representation of the poor and vulnerable, including women and the most marginalised, in local decision-making processes will lead to more pro-poor village development with direct benefits for these groups.</p> <p>Key evaluation questions: What changes in village governance, including representativeness and responsiveness, has KOMPAK contributed to and how? What evidence is there that this is benefiting the poor and vulnerable?</p>					
<p>RJPMN II Strategy 5: Capacity development and facilitation of village government apparatus and village government institutions</p> <p>Oversee the implementation of Village Law systematically, consistently, and sustainably through coordination, facilitation, supervision, and counselling (Strategy 4)</p> <p>Ministry of Health medium-term planning:</p> <p>% villages utilise 10% village funds for UKBM (community-based health activities)</p>	<p>8. Number and proportion of sampled males and females in target districts that state that village development is responsive to their needs.</p>	<p>Definition and interpretation to be developed through the KOMPAK baseline survey development. Exact wording may change.</p>	<p><i>Method:</i> Survey</p> <p><i>Source:</i> KOMPAK initiated survey, Frontline pilot survey</p> <p><i>Frequency:</i> Baseline and End of Facility</p>	<p>KOMPAK Baseline [TOOL 1] to complement LANDASAN and Frontline pilot studies on people's perception of services</p>	<p>Exploration of motivations and incentives for and barriers to engagement from community side and responsiveness from service provider side.</p> <p>Exploration of pathways of influence, particularly for women and disadvantaged groups</p>
	<p>9. Examples of community engagement in, and perceptions of, changes in village governance and frontline services</p>	<p>To include focus on school committees, health committees, and CSOs (particularly women and disability focused CSOs) in village planning and budgeting processes.</p> <p>Also involvement of communities in monitoring of frontline service quality and complaints handling mechanisms, and links to improving frontline services.</p>	<p><i>Method:</i> Outcome stories, SMS tool, social accountability initiatives, RCA</p> <p>Possibly <i>Longitudinal case studies</i> [TOOL 5] if this approach is show to be useful at service level, may be extended to villages</p> <p><i>Frequency:</i> Ongoing</p>	<p>Not required</p>	
<p>Intermediate Outcome 4: Village governance is more responsive and accountable to the identified needs of their communities, particularly those of the poor and vulnerable.</p>					
	<p>10. Examples of shifts in funding allocations in village plans in target districts</p> <p>11A. Number and proportion of village plans in target districts that include funding for delivery and/or access to frontline services</p> <p>11B. Proportion of village</p>	<p>To focus on allocations that specifically aim to respond to needs of the poor and vulnerable – e.g. support to poor families to access these services</p> <p>Hoping to see a broadening of types of activities supported through village</p>	<p><i>Method/source:</i> Review of a sample of village plans lodged at kecamatan office using a custom analysis tool. The tool will (preferably) be the same or minimal revision of that used by</p>	<p>Analysis will focus on trends over time since the introduction of village funds in 2015. Starting point will be a retrospective analysis of 2015 Plans (completed by PSF), and previous analysis of use of PNPM</p>	

RELEVANT RPJMN, DFAT PAF INDICATORS	KOMPAK INDICATORS	DEFINITION AND INTERPRETATION	SOURCE AND FREQUENCY	BASELINE NEEDS AND AVAILABILITY	ADDITIONAL RESEARCH AREAS
	<p>funds (i) allocated, and (ii) spent on selected frontline services as per the village plan</p>	<p>plans, and indications of village influence</p> <p>Requires detailed disaggregation by type of service and should encompass spending on activities including service provision, training or development of cadres, and financial or other support to the poor to access services, and logistics or infrastructure spending to improve access to services (e.g. wheelchair access, school transport).</p>	<p>PSF.¹² Aim will be to review a sample of all plans (approximately 100) in areas targeted by Landasan and Frontline pilots.</p> <p><i>Frequency:</i> Annual, forward and back looking (planned vs actual)</p> <p>Data collection to be combined with process for indicators 19A and 19B.</p>	<p>funds.¹³</p>	
<p>Strategy 5. Capacity development and facilitation of village government apparatus and village government institutions sustainably through the strategies of: (a) increasing the capacity of village government and BPD through facilitation, training, and counselling in: (i) planning, implementation and monitoring of village development;</p>	<p>12. Examples of new accountability and transparency initiatives relevant to village planning and budgeting</p>	<p>Village governance generally is focused on reporting up in order to get the money, and using information reporting system. Need more transparency and about how village heads are reporting to the community. Want to see that the system is established – MusDes where Village Heads report to villages.</p>	<p><i>Method/source:</i> Outcome stories collected through regular field visits [TOOL 3] and extracted from various studies (e.g. RCA immersion studies, social accountability initiatives), and observed evidence of accountability measures such as village notice boards and other forms of information dissemination.</p> <p><i>Frequency:</i> Ongoing</p>	<p>Link to analysis of village plans (EOFO 2), to include spot checks of background information referred to (e.g. mapping exercises, village meetings, community group or individual advocacy)</p>	

¹² PSF plan to review approximately 1,500 village plans, via opportunistic sampling to analyse how village budgets are being spent. Using the same or highly consistent tool will enable cross comparison and sharing of data. Some KOMPAK focus locations may also be in the PSF sample. It is not yet known if PSF will do this as an annual or one-off exercise.

¹³ Analysis of expenditure of village funds from PNPB may not be a viable comparison due to different expenditure regulations – e.g. required to be used for infrastructure, or required to be used in relation to services (PNPM Generasi)

RELEVANT RPJMN, DFAT PAF INDICATORS	KOMPAK INDICATORS	DEFINITION AND INTERPRETATION	SOURCE AND FREQUENCY	BASELINE NEEDS AND AVAILABILITY	ADDITIONAL RESEARCH AREAS
<p>Intermediate Outcome 5: Communities and village institutions are effectively engaging with village government and service units to address needs of the poor and marginalised.</p> <p>Additional indicators not required (covered by IO 4 and IO 6). Further analysis to focus on type and quality of engagement between various actors and the underlying motivations for and constraints to this.</p>					
<p>Intermediate Outcome 6 (revised): Communities are increasingly advocating for their priorities in relation to village development, including access to frontline services</p> <p>Assumption/s: Public information on village budgets will reduce corruption; Engagement of representative civil society groups in village development processes will improve access to information, access to frontline services and opportunities for poor women and the most marginalized in village planning; More representative structures will be more innovative and responsive, decisions will be influenced by different perspectives</p> <p>Evaluation pair: Intermediate Outcome 5 Proportion of villages in target areas where governance structures can demonstrate responsiveness and accountability to identified needs, particularly or the poor and marginalised</p>					
<p>Strategy 3. Development of human resources, improvement of empowerment, and the establishment of social and cultural capital of village community through the strategy of: (c) capacity building and institutionalizing of the village community and customary institutions; (d) increasing the capacity and participation of communities including women, children, youth and disabilities through facilitation, training, and mentoring in the planning, implementation, and monitoring of rural development</p> <p><i>DFAT PAF #16. Number of people, especially women and marginalized groups, who contribute to improved</i></p>	<p>13A. Examples of changes in community engagement and influence in village planning and budgeting processes.</p> <p>13B. Number/proportion of villages in target areas with examples of changes in community engagement in village planning and budgeting processes</p>	<p>Data collection and analysis to include discussion of planning process and information used in decision making, particularly successful influencing from women and women's groups, and disabled peoples' organisations.</p> <p>Examples are expected to include:</p> <ul style="list-style-type: none"> • Lobbying or negotiating • Collective action, use of networks • Involvement of CSOs (particularly women focused or disabled peoples' organisations) or the media • Involvement of women, people with disabilities, poor and vulnerable as village cadres or in other ways • Transparency initiatives • Participation in social accountability initiatives 	<p><i>Method/source:</i> Outcome stories [Tool 3], SMS tool, RCA immersion studies, social accountability study, PEKKA cadre grant.</p> <p>Possibly <i>Longitudinal case studies</i> [TOOL 5] if this approach is shown to be useful at service level, may be extended to villages.</p> <p><i>Frequency:</i> Ongoing</p>	<p>Not required, focus is on observed changes over duration of KOMPAK</p>	

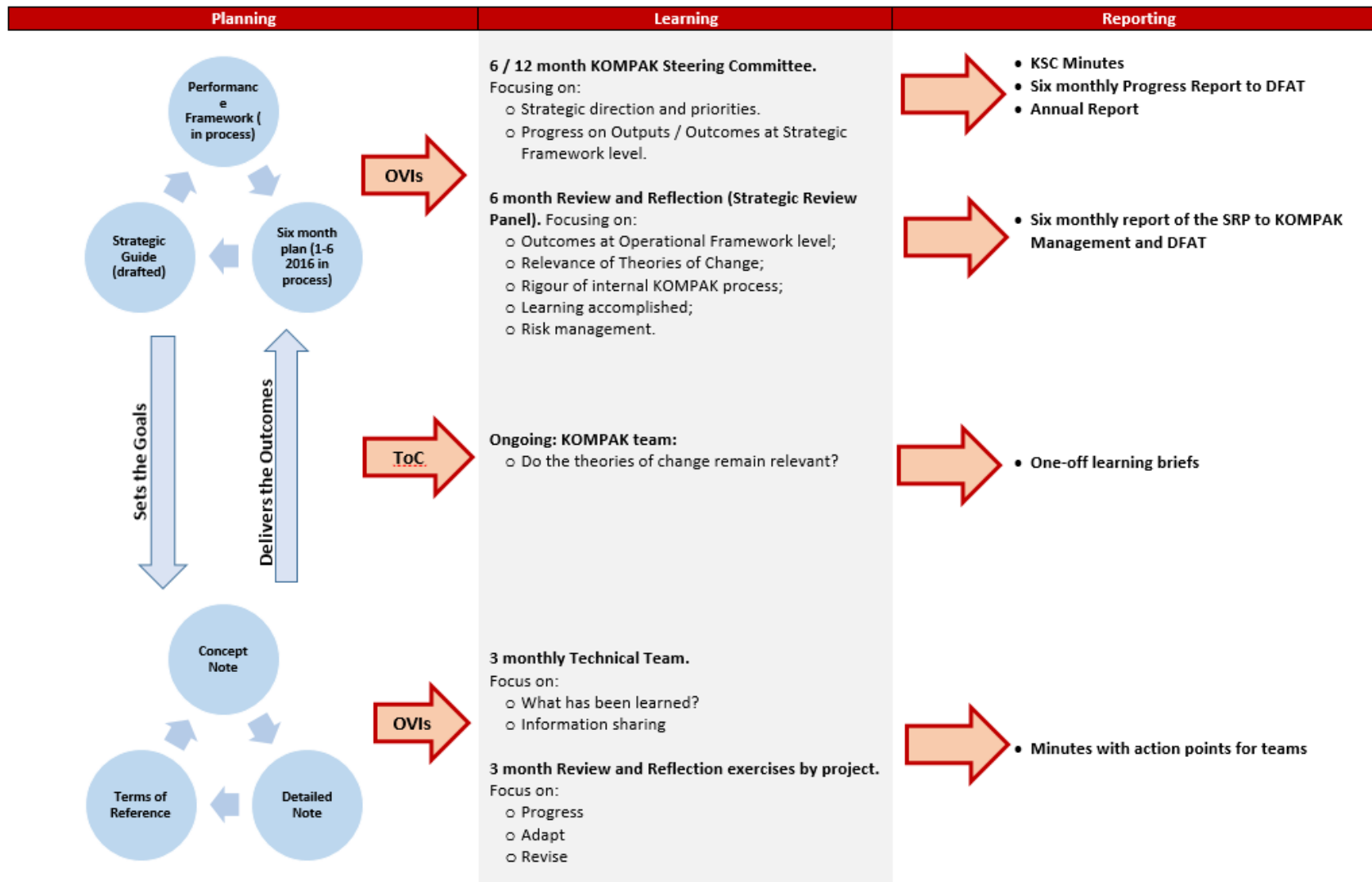
RELEVANT RPJMN, DFAT PAF INDICATORS	KOMPAK INDICATORS	DEFINITION AND INTERPRETATION	SOURCE AND FREQUENCY	BASELINE NEEDS AND AVAILABILITY	ADDITIONAL RESEARCH AREAS
<i>policy</i>	14. Examples of initiatives to improve representativeness of village governance structures in target sub-districts/villages	<p>Representative is the active participation and filling of formal positions (village head, secretary, treasurer etc) of different groups with an initial focus on women.</p> <p>As the level of change and the contribution that KOMPAK can have in relation to this is uncertain, this will be as a 'watching brief' to try to understand what is driving any observed changes</p>	<p><i>Method/source:</i> Outcome stories collected through regular field visits [TOOL 3]; Some examples may be included village plans; PEKKA cadre grant</p> <p>Supported by quantitative data from PODES on number of female and male village heads, secretaries, treasurers in the areas where KOMPAK is supporting various activities.</p>	2014 PODES.	<p>To start with preliminary analysis on representation of women (in Project 5), followed by identification of opportunities to test how to shift this. Initial focus on appointed rather than elected positions.</p> <p>Link to drafting of the BPD PerMen (led by PSF) to advocate for higher quotas for women in BPD positions.</p> <p>Research on women's leadership pathways and perceptions of women in village governance (link with MAMPU)</p>
<p>EOFO 3 - The poor and vulnerable benefit from increased opportunities for off-farm employment and economic development.</p> <p>Assumption/s: Off-farm employment increases total household welfare (based on income) against comparators (home-working and farm labour); Sufficient off-farm employment is available to accommodate changing workforce; Increased household savings both suggest increased household income as well as offering benefits in terms of protection from shocks as well as increased potential to purchase assets; Off-farm employment for women increases household investment in their health and education, and in children's education.</p> <p>Key evaluation questions: What changes in opportunities for off-farm employment and economic development are observed? How has KOMPAK contributed to these? What evidence is there that this is benefiting the poor and vulnerable, with particular consideration of women?</p> <p>Note that this section of the framework requires further development as the overall program develops and as supply side work comes online.</p>					
RPJMN II: Reduction in the poverty rate from 10.96%	15A. Per capita monthly cash income of eligible	'Economic development' is broader than areas of	<i>Method/source:</i> Specific survey	Baseline (2016) and endline (2019?). Some baseline	Also needs to consider changes in

RELEVANT RPJMN, DFAT PAF INDICATORS	KOMPAK INDICATORS	DEFINITION AND INTERPRETATION	SOURCE AND FREQUENCY	BASELINE NEEDS AND AVAILABILITY	ADDITIONAL RESEARCH AREAS
<p>to 7.0% - 8.0%, and unemployment Rate of 4.0% - 5.0% (from 5.94%)</p>	<p>households in the activity areas</p> <p>15B. Proportion of monthly cash income of eligible households in the activity areas contributed by women <i>[15A and 15B analysis to consider disaggregation by FHH/MHH or FMH/MMH*¹⁴]</i></p> <p>16. Number of hours spent on (1) household (2) individual income generation <i>[disaggregation by female/male]</i></p> <p>17. Monthly earnings from individual income generation in eligible households in the activity areas</p>	<p>KOMPAK influence. The focus will be on changes for people (supply side), rather than the wider environment (demand side), which KOMPAK will have little control over or influence on 'Benefit' in this case is interpreted as increased in household income.</p> <p>Eligible households are those identified from Unified Database list as being in the poorest 40% of the population.</p> <p>Disaggregation by female/male individuals; farm/off farm employment</p>	<p><i>Frequency:</i> Baseline and endline</p> <p>Mechanisms for progress tracking to be identified</p>	<p>information already collected through the rural household socio-economic survey and postal savings study.</p> <p>Additional areas to explore through research studies:</p> <ul style="list-style-type: none"> • Changes in labour patterns, particularly additional burdens on women as they take on income earning roles. • Household and community perceptions of off/on farm employment changes – e.g. changes in opportunities, unintended consequences <p>Safety, dignity, and financial viability of off-farm employment, particularly for the poor and marginalised</p>	<p>labour patters, particularly on women assuming multiple roles</p>
<p>Intermediate Outcome 7: The enabling environment increasingly supports off-farm employment opportunities.</p> <p>Assumption/s: More job opportunity information will increase off-site job seeking; Community childcare facilities will lead to more employment by women; Mobility grants will lower risks and increase job seeking by poorest quintiles.</p>					
<p>RPJMN II: Employment (2015-2019):</p> <p>Create job opportunities - 10 million in 2019 (approx. 2 million in each year)</p> <p>Percentage of formal workers increased to 51%</p>	<p>18. Examples of improvements in policy and procedures relevant to the enabling environment for off-farm employment to which KOMPAK has contributed</p>	<p>This area will require further development when labour market staff are online – too undeveloped to go deeper at this point, other than child care pilot which will need its own evaluation strategy.</p>	<p>As per indicator 4.</p>		

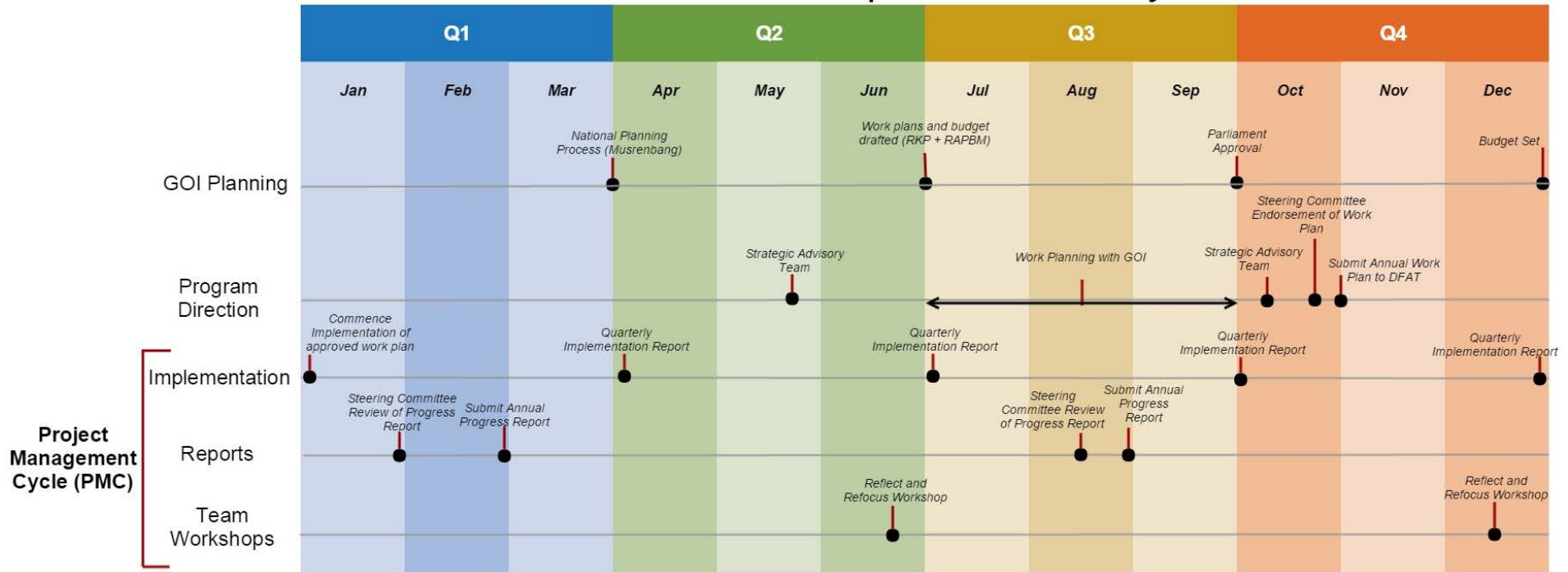
¹⁴ F/MHH – female/male headed households (recorded in most surveys); F/MMH – female/male maintained households, not always a specific survey question but often possible to extrapolate – sex of primary breadwinner/income earner.

RELEVANT RPJMN, DFAT PAF INDICATORS	KOMPAK INDICATORS	DEFINITION AND INTERPRETATION	SOURCE AND FREQUENCY	BASELINE NEEDS AND AVAILABILITY	ADDITIONAL RESEARCH AREAS
<p>in 2019</p> <p>Percentage of skilled labour: 42% in 2019</p> <p>Percentage national training centres that implement competency-based training: 25% in 2019</p> <p>Number of training events: 2,170,377 (2015-2019);</p> <p>Number of certifications issued 836,819 (2015-2019)</p>	<p>19A. Number and proportion of village plans in target districts that include funding for economic development activities</p> <p>19B. Proportion of village funds (1) allocated, and (2) spent on economic development activities as per the village plan</p>	<p>19A and 19B analysis to consider disaggregation by funds for general community/ women/ people with disability/ poor and vulnerable/ other marginalised groups activities</p>	<p>Data collection to be combined with process for indicators 11A and 11B.</p>		
	<p>20. Share of per capita monthly cash income of eligible households from formal and informal off-farm employment in the activity areas</p>	<p>20, 21A and 21B analysis to consider disaggregation by FHH/MHH or FMH/MMH</p>	<p>To be identified in project design.</p>		
	<p>21A. Number of households using child care facilities supported by KOMPAK</p> <p>21B. Number/proportion of these that are in off-farm/on-farm employment</p>			<p>To be identified in project design. It may be possible to draw on previous work by ILO under MAMPU.</p>	<p>Investigation of impacts of availability of child care on household labour and employment – of women/mothers and others who may also often care for children Link with AIPEG research on women's workforce participation</p> <p>Link to AIPEG research on women's labour force participation</p>

Annex 2 – Project Management Cycle (PMC)



KOMPAK Implementation Cycle



Informed by DFAT Strategy, GoI's RPJMN, consultations, evidence and analysis



STRATEGY
3-year Guiding Strategy
Strategic Outcomes Framework
Strategic Performance & Monitoring

Informed by the Steering Committee, consultations, M&E, findings, audits, analysis



ANNUAL WORK PLAN

Informed by M&E findings, implementation progress and expenditure



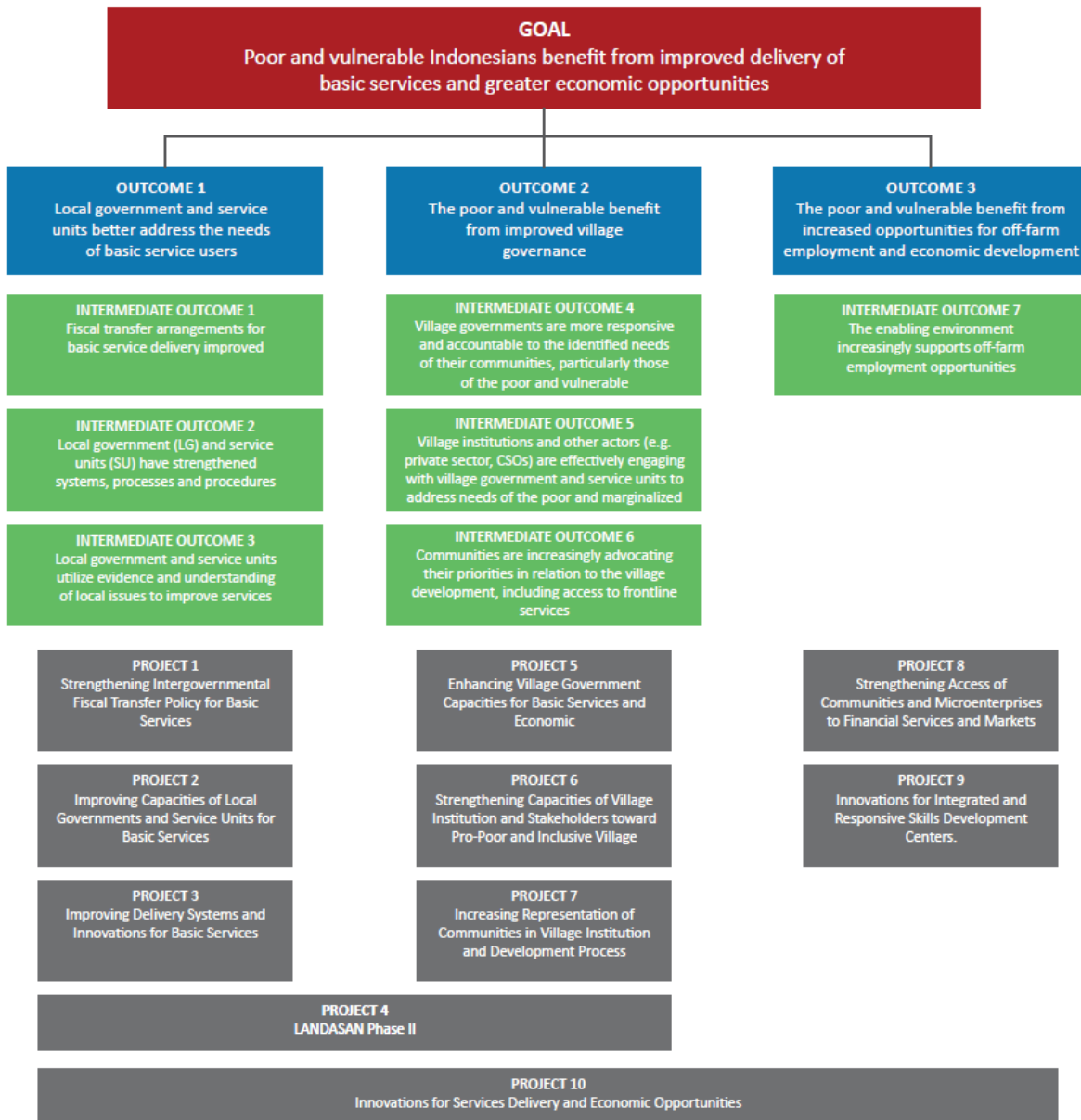
PROGRESS REPORTS

Informed by M&E findings, implementation progress, expenditure and comparative analysis



PROJECT AND ACTIVITY REPORTS

Annex 3 – KOMPAK’s Projects (2017-2018)



Annex 4 – Gender Equality and Social Inclusion Strategy¹⁵

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¹⁵ Version 3 as of 17 January 2015

Introductory Note

Promoting gender equality and social inclusion is central to achievement of the Government of Indonesia's (GoI) Medium Term Development (RPJMN 2015-2019) goals related to economic growth and poverty reduction. It is therefore central to KOMPAK's work and a foundation from which achievement of KOMPAK's goal is possible. KOMPAK's Gender Equality and Social Inclusion (GESI) Strategy provides practical ways in which the Facility will support the GoI's agenda by promoting gender equality and social inclusion, and identified success measures of these strategies. This document outlines aspects of the Facility Theory of Change that relate directly to gender equality and social inclusion and aligns with the KOMPAK Three Year Guiding Strategy (2015-2018). Annex 1 outlines gender equality and social inclusion activities to be undertaken in 2016 within projects outlined in the KOMPAK's 2016 Work Plan.

KOMPAK adopts a twin track approach to addressing gender equality and social inclusion. This means mainstreaming gender equality and social inclusion across all program activities while also designing and implementing activities specifically for poor women and the most marginalised to promote their access to basic services and economic opportunities.

Supporting the government to address in a sustainable way the constraints for poor women and the most marginalised to accessing basic service delivery and economic opportunities goes beyond any single initiative and any single program. In addition, donor investments are a small proportion of the government's available resources. Partnerships and building coalitions to jointly pursue common goals and maximise results is core to KOMPAK's work. KOMPAK recognizes the comparative advantage of DFAT funded programs such as MAMPU in working with and for women, and Peduli in reaching and working with the most marginalised. KOMPAK seeks to build on and learn from what works and why in different contexts for different groups, leveraging where possible these programs' partners and coalitions. The program approach to gender equality and inclusion looks for innovation, to leverage existing networks and partners and to work with local champions to drive long-term sustainable change.

This strategy is a living document. KOMPAK's team will continuously improve upon this based on learning through implementation about what works.

December 2015

The Indonesia Context

Jokowi's nine-point Nawacita agenda and Medium-term National Development Plan (*Rencana Pembangunan Jangka Menengah Nasional* or RPJMN) 2015–2019 sets the national targets of stable economic growth at 6-8 percent per year, reducing poverty to 7-8 percent and the Gini coefficient to 0.36 by 2019. The government has also set specific targets to improve access and quality of basic services among the bottom 40% of the population. Against the backdrop of growing inequality and high vulnerability, the government is taking a new approach to targeted poverty reduction that integrates more strongly the investments in social services with community-based efforts for more sustainable livelihoods. Global evidence shows that gender equality and social inclusion enable economic growth and poverty reduction, and conversely where gender gaps and inequalities are high, can slow economic growth and flatten the rate of poverty reduction.

Gender equality¹⁶ is a development objective in its own right. It is also smart economics.¹⁷ Women's economic empowerment is a prerequisite for sustainable development and promotes economic growth. It increases women's access to economic resources and opportunities including jobs, financial services, productive assets, skills development and market information. It also contributes to poverty reduction for example through improved access to economic opportunities and inclusive service provision. While Indonesia's gender gap¹⁸ has narrowed in education enrollment and life expectancy, significant gender disparities remain in unequal access to economic participation and opportunities and political empowerment and representation.¹⁹ These gaps are more prominent in rural areas, and among the poorest.

Indonesian women fall well behind their male colleagues in participating and gaining equal opportunity in the workforce, which can lead to economic losses more broadly. Female participation is approximately 53 percent compared to 85 percent of men participating.²⁰ For women who do participate in the work force, their wages are also around 25 percent less than that of men. Barriers affect women's opportunities and willingness to enter formal work include: laws and policies from the Suharto New Order that still perpetuate an image of the household-centered woman²¹; limited work flexibility and time constraints that make it difficult for women to take up formal work and fulfill domestic responsibilities; stereotypes and discrimination of women's domestic role that lead to perceptions that women are less productive; Islamic and *adat* norms that can direct gender segregations in the workplace and make women reluctant to enter the work force and be managed by men; and lower levels of education that can eliminate women from white collar, clerical or managerial positions. Women dominate the informal sector in agricultural and home-based work which is flexible but higher risk (lack of job stability and work place insurance). Evidence shows that economic losses result where women's labor is under-utilized or misallocated – for example discrimination or societal norms that prevent women from completing education, prevent them from securing certain jobs, or pay them less. Eliminating barriers that discriminate against women in the work force can increase labor productivity by as much as 25 percent in some countries.²²

¹⁶ Gender equality is *the equal rights, responsibilities and opportunities of women, men, girls and boys*. Gender equality is achieved when the different behaviours, aspirations and needs of women and men are equally valued and favoured and do not give rise to different consequences that reinforce inequalities.

¹⁷ World Development Report (2012) *Gender Equality and Development*.

¹⁸ The Global Gender Gap Index benchmarks national gender gaps on economic, political, education and health criteria.

¹⁹ Global Gender Gap Report (2013).

²⁰ ILO (2014)

²¹ Such as the Marriage Law of 1974. In addition polygamy remain legal. The National Commission on Violence Against Women identifies 154 by-laws that discriminate against women (ILO 2012).

²² World Development Report 2012.

Gender disparities in health, education and economic opportunities among bottom 40 percent (RPJMN target group) are more severe, particularly for women heads of household. Women head at least 15 million Indonesian households, with a disproportionate number of them occupying the bottom 40% of the income spectrum.²³ This results in female headed households having fewer assets, poorer quality homes and access to substantially less income. At the village level, this also effects the time and opportunity for poor women to engage in village planning and development processes. Their aspirations and needs are less likely to be reflected in decision making or allocation of village resources. Indonesia's maternal mortality ratio (MMR), at 359 per 100,000, is among the highest in the region. In provinces such as Papua the MMR is as high as 1,000 per 100,000 births.²⁴ Neonatal mortality at 19 deaths per 100,000 live births is also high by regional standards. Further, BPS 2013 data shows 37 percent of pregnant women have anemia and severe anemia is a risk factor for maternal deaths. Poor health outcomes for women reflect broader issues with quality of and access to adequate care and services for maternal health among the poorest. Some of these problems could be addressed at the local level with communities and governments allocating resources to address local problems. For example, using local funds to train local health care workers, provide education and information for pregnant mothers and their families, and cover transportation costs for pregnant mothers to deliver in the nearest hospital.

Gender equality is important for sustaining achievements under RPJMN targets related to economic growth and poverty reduction because women's situation and welfare shape those of the next generation. Evidence shows that where women have greater control over household resources there is more investment in children's human capital and then leads to positive impacts on economic growth. Further, improvements in women's education and health have positive impacts on these outcomes for their children (higher immunization rates, better nutrition, lower mortality). Improving women's agency²⁵ through politically and socially empowering women can transform policy and make institutions more representative. For example, in India empowering women locally (through political quotas) led to increase in (female and male preferred) public provision of goods and reduced corruption. Conversely, evidence shows that lack of women's agency in the case of domestic violence has consequences for cognitive behavior of their children and their health as adults.²⁶

Social inclusion²⁷ can help the Indonesian Government achieve multiple development goals simultaneously. It promotes universal rights and capabilities, ensures basic needs are satisfied, promotes full participation, and recognizes and respects identity. It also helps to promote social cohesion and stability that in turn support investment and growth, as an RPJMN priority. While Indonesia reduced poverty from 17.8 percent in 2005 to 11.25 percent in 2014 the pace of poverty reduction has now flattened, and the actual number of poor has increased.²⁸ Indonesia's inequality, as measured by the Gini coefficient (measuring inequality of household consumption), has steadily increased from 0.31 in 2001 to 0.41 in 2014. The World Bank estimates that in 2015 it is as high as 0.46. This is high by both regional and developed country standards and is rising faster than in most of its neighbour countries. Unchecked inequality can negatively impact stability and cohesion, giving rise to tensions which can impact economic growth through labor disruptions and lower investment. Recent research from Indonesia confirms the link between rising inequalities and slow economic growth.²⁹

²³ BPS (2013)

²⁴ Indonesia National Medium Term Development Plan (2014-2019)

²⁵ Agency is the ability of one to make decisions and transform these in to desired actions and outcomes.

²⁶ World Development Report (2012).

²⁷ Social inclusion is *the process of improving the ability, opportunity and dignity of people, disadvantaged on the basis of their identity to take part in society*. Social inclusion can help to achieve multiple development goals simultaneously. It promotes universal rights and capabilities, ensures basic needs are satisfied, promotes full participation, and recognizes and respects identity; free from discrimination.

²⁸ From 28.3 million people in March 2014 to 28.6 million people in March 2015 due to population growth.

²⁹ World Bank (2015) *Inequality in Indonesia: why is it rising and what can be done?*

Inequality is inherent to social exclusion. Social exclusion can push those who are poor further into poverty and can prevent the poor from lifting themselves out of poverty. Those who are excluded based on gender, race, class, ethnicity, religion or sexual orientation often face multiple forms of deprivation that can lead to lower social standing; lower levels of income; limited access to employment and basic services; and the lack of voice in decision-making. Further, a recent report from the World Bank notes birth circumstances are a cause of one third of all inequalities in Indonesia. Many of the identity factors that drive exclusion within societies (class, ethnicity, gender, religion) are birth circumstances.

Poor persons living with disabilities remain largely marginalised from mainstream development policies and programs. Their disability is both a fundamental cause as well as a consequence of poverty. Susenas data (2012) on persons with disabilities indicates that only 50 percent of children with a disability attend school which is half that of children without a disability. Attendance then drops to 40 percent of those with a disability aged 13 to 15, and again to 30 percent for those aged 16-18 years with a disability. National census data shows inactivity in the labour force for people with disabilities is 29 percent compared with 9 percent for people without a disability.

Indigenous groups can face exclusion due to geographic isolation, discrimination, lack of information about services they are entitled to and understanding about their rights, or a combination of these factors. The National Bureau of Statistics (BPS) records 1,128 ethnic groups across Indonesia and estimates between 50 and 70 million people living in forested areas. Some communities live in extremely isolated areas with limited or no contact with outside communities. Typically, those living in isolated and forested areas struggle to access public services they are entitled to, and for some living traditional lifestyles, such as the nomadic Suku Anak Dalam in Jambi, they have limited access to economic opportunities.

There is also an intrinsic link between social exclusion, inequality of opportunity and legal identity. Only around 50 percent of Indonesia's 80 million children have a birth certificate. The AIPJ Baseline Study found that children with a birth certificate had better access to health services, and that mothers whose children have a birth certificate have better access to health services. PEKKA's Household Survey (2012) sampling 100 households in the bottom 30 percent of their province found that 25 girls out of 100 married at age 18 years or younger. 24 of these 25 girls did not have a birth certificate. Of the 100 couples surveyed, 55 percent did not obtain a marriage certificate from the civil registry or KUA and 75 percent of the children from these marriages did not have a birth certificate. The research also showed a correlation between having a birth certificate and prevalence of completing 12 years of basic education.

Locally-led solutions that engage government, service providers and community groups can be more effective at solving local problems to access to services and economic opportunities for poor women and the most marginalized and contribute to RPMJN targets. Lessons learned from Indonesia's programs such as LOGICA, ACCESS, and PNPM (*National Community Driven Development Program, PNPM Mandiri*) Generasi show that well-structured community partnerships with technical sector stakeholders (such as health and education) can lead to improved access, better quality, and more accountable service delivery than traditional top-down delivery systems. The Law No.6 of 2014 (Village Law) provides a legal basis for villages to direct and manage their own development and predictable funding to communities for set priorities.

However, learning from PNPM shows that while the CDD program was extremely successful through affirmative action to increase women's participation, there is little evidence to suggest any long-term shifts in women's role in the village, control over assets or influence in decision-making. In addition, the Akatiga 2012 study on marginalised groups in PNPM showed that excluded groups faced multiple barriers to their effective involvement in community led processes. This may be due to geographic isolation, lack of timing and available resources to attend community meetings, lack of information and for some, reported discrimination. Unlike

PNPM Mandiri, the Village Law is implemented through government systems and places greater responsibility and oversight in the hands of government, rather than the facilitation structure. While this creates important opportunities to contribute to sustainable RPJMN goals related to poverty reduction, economic growth and reduced inequalities, it is expected that women and the most marginalised will likely face greater structural barriers to their engagement in and benefits from the community planning, budgeting and development cycle. Transforming gender roles and norms in political, social, cultural and economic life is key if Indonesia is to achieve set RPMJN economic growth and poverty reduction targets, and help sustain benefits across generations.

KOMPAK's Approach to Gender Equality and Social Inclusion

KOMPAK adopts a twin track approach to addressing gender equality and inclusion. This means mainstreaming gender equality and social inclusion across all program activities while also designing and implementing activities specifically for poor women and the most marginalised to promote their access to basic services and economic opportunities.

In mainstreaming gender equality and social inclusion, KOMPAK commits to:

- Building team understanding through the design, implementation and monitoring phases about the differences between men and women in each context and how this should influence activity design, resourcing, planned results and indicators.
- Engaging poor women and the most marginalised in consultations at the activity design stage.
- Incorporating gender equality and inclusion objectives in to Facility objectives.
- Including analysis of poor women and the most marginalised in project assessments, reviews and evaluations.
- Producing sex disaggregated data and adopting specific indicators that capture qualitative information on changes and benefits for poor women and the most marginalised.
- Strengthening internal processes to ensure the working environment is gender sensitive and inclusive. This includes through performance assessment tools for staff and consultants, and HR policies and practices.

Purpose

To outline practical strategies to promote gender equality and inclusion, and success measures of these strategies that are critical for achievement of KOMPAK's Facility goal.

Theory of Change

KOMPAK's Theory of Change related to gender equality and social inclusion is embedded in the Facility Theory of Change linked to the End of Facility Outcomes (EFO). Our assumptions are that:

1. Representation of poor women and the most marginalised in local decision-making processes will lead to more pro-poor village development with direct benefits for poor women and the most marginalised.
2. Engagement of representative civil society groups in village development processes will improve access to information, access to basic services and opportunities for poor women and the most marginalised in village planning.
3. Improved quality, accessibility and accountability for poor women and the most marginalised will lead to their greater uptake of services.
4. Legal identity particularly for poor women and the most marginalised will assist them to better access social assistance.

5. Community childcare facilities will lead to more employment by poor women.
6. Off-farm employment for poor women increases household investment in their health and education.

Objectives

To promote:

1. improved access to quality basic services for poor women and the most marginalised
2. greater economic opportunities for poor women and the most marginalized; and
3. the needs and priorities of poor women and the most marginalised in village development planning processes.

Strategies

To achieve the above objectives KOMPAK adopts the following strategies:

1. **Contributing to the body of evidence and learning on what works and why** for increased policy dialogue with government on gender equality and inclusion related to RPJMN goals for improved service delivery and economic opportunities. Initiatives will aim to link to and build on dialogue of MAMPU and its partners.
2. **Supporting locally-led solutions** for poor women and the most marginalised to improve their access to quality basic services and economic opportunities.
3. **Leveraging government and non-government champions and existing networks and creating opportunities to build coalitions for change** to help women and the most marginalised gain agency and resources to make decisions, build confidence and act in their own interests. Specifically, this includes working with champions from MAMPU and Peduli
4. **Supporting experimentation and innovation to create long-term positive shifts** in gender relations and inclusion that will improve access for women and the most marginalised to basic services and economic opportunities.
5. **Investing in strengthening KOMPAK team capacity, understanding and commitment** to gender equality and social inclusion and what this means for programming at all levels.

The 2016 Implementation Plan outlining specific activities is attached at Annex 1.

Measuring Success

KOMPAK gathers data and information from the project up to End of Facility Outcome (EFO) level to systematically capture progress related to gender equality and inclusion. Indicators capture both quantitative information (providing separate measures for men and women) and qualitative information on changes (for example increases in levels of empowerment, attitude changes and behaviours).

Integrating indicators sensitive to gender and inclusion across KOMPAK's EFOs helps integrate the gender equality and inclusion objectives. Tables 2 and 3 list the EFO indicators together with Intermediate Outcome

indicators that will capture cross-Facility progress. Project level indicators at the output level will be developed by individual project teams for each activity.

Table 2 - DRAFT Performance Indicators for EOFO 2 Outcomes and Intermediate Outcomes

<p>EOFO 2 - The poor and vulnerable benefit from improved village governance.</p> <p>Indicators</p> <p>Increased proportion of village funds allocated towards addressing the needs of the poor and vulnerable.</p> <p>Communities are increasingly influencing the village government to make decisions that benefit the poor and vulnerable.</p>	
Intermediate Outcome	Performance Indicators
Intermediate Outcome 5: Communities and village institutions are effectively engaging with village government and service units to address needs of the poor and marginalised.	Social accountability mechanisms in villages are increasingly integrated into village planning and implementation processes.
Intermediate Outcome 6: Communities have capacity to articulate and advocate their priorities.	<p>Increase in the proportion of poor and marginalised trained village cadres.</p> <p>Increased number of village projects addressing needs and priorities of the poor and marginalised, especially women.</p> <p>Increase in the number of people from marginalised groups, especially women, participating in policy influencing activities.</p>

Table 3 - DRAFT Performance Indicators for EOFO 3 Outcomes and Intermediate Outcomes

<p>EOFO 3 - The poor and vulnerable benefit from increased opportunities for off-farm employment and economic development.</p> <p>Indicators</p> <p>Increased proportion of the poor and vulnerable utilise savings mechanisms.</p> <p>Increased proportion of the poor and vulnerable in target locations have access to opportunities for formal and informal off-farm employment.</p>	
Intermediate Outcome	Performance Indicators
Intermediate Outcome 7: The enabling environment increasingly supports off-farm employment opportunities.	<p>An increased number of households have financial security through diversification of income and employment.</p> <p>Savings opportunities available to the poor and vulnerable have increased and are effective.</p>

Target Groups

Through partnerships, KOMPAK will aim to reach and work with:

- Female heads of household
- Poor and vulnerable women and children
- Persons living with disabilities
- Minority groups (that may include religious and ethnic minorities)

Interventions will target engagement with a range of stakeholders and partners regarded as potential change agents and these include:

- Poor women and the most marginalised as agents of their own change
- Elite women in the village to address historical gender norms that present barriers for women's engagement
- Men (particularly husbands of pregnant poor women)
- Civil society organisations and community groups with a mandate to support poor women and the most marginalised.
- Health and education workers at the service delivery units.
- Village government (including the Village Head) and sub-district government.

Partners

To deliver activities KOMPAK partners with organizations, programs and government:

Partner	Collaboration
PEKKA	PEKKA is a KOMPAK grant partner supporting and strengthening female cadres in village planning and development. IN 2016, KOMPAK and PEKKA plan to collaborate on gender monitoring of implementation of Village Law through the PEKKA cadre networks.
MAMPU	MAMPU has already provided a gender action framework built around expanding opportunities available to poor women. KOMPAK and MAMPU plan to collaborate (with PEKKA as well) on gender monitoring of Village Law and piloting activities on use of village funds to support women in work.
CSOs	KOMPAK will partner with CSO/s for testing and building on good practice in promoting social accountability of service delivery units and local government for improved development outcomes. These activities and tools will have a specific gender focus and aim to involve those who are traditionally excluded.
PEDULI	PEDULI works through national and local CSOs to reach and work with six identity groups who are marginalised. KOMPAK and Peduli will work together to monitor through PEDULI networks the impacts of Village Law on select identity groups such as persons living with disabilities.
Local governments	KOMPAK will aim to influence local government to improve service delivery and economic opportunities for poor women and the most marginalised. This will be achieved through the

	frontline pilot, their engagement in select locations with PEKKA activities and through the sharing of local good practice across project sites.
National government	KOMPAK is supporting PEKKA to engage with the Ministry of Villages at the Director General level, interested to learn from grassroots community empowerment work of PEKKA with female cadres. In addition, studies and analytics will be packaged for policy dialogue and influence at the national level.
PNPM Support Facility / World Bank	PSF/WB have committed to a discrete piece of research on social inclusion in 2016, and are conducting a longitudinal study on community participation and empowerment in the context of Village Law. KOMPAK have provided inputs to the design and tools and aim to leverage findings for informing KOMPAK's work.
Knowledge Sector Initiative (KSI)	Through the KSI network of 16 research partners KOMPAK will look to opportunities to collaborate with these partners on research and studies that focus on gender and inclusion particularly related to areas of common interest service delivery and Village Law.

Inclusive in the Way We Work

To ensure that our activities and information are accessible and inclusive KOMPAK has done the following:

Ensures budget is available to support the special needs of participants of KOMPAK supported events and activities. This includes selecting venues with wheelchair access, budgeting for translation and sign language services, and ensuring lighting is sufficient for people who are partially visually impaired.

Developed the KOMPAK website using *Screenreader* software that enable people who are visually impaired to navigate the site and access information.

Provides staff business cards printed with braille.

Implements the AbtJTA complaints policy that enables anonymous staff feedback for continuous improvement.

Provides staff and visitors with a room for nursing and has a small child play area in the office.

Assesses and where possible accommodates transportation costs to events and field missions for parents who need to bring their children under 2 years of age when travelling out of the city.

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