



Australian Government



KOMPAK PERFORMANCE MANAGEMENT IMPLEMENTATION PLAN (PMIP) 2019-2022

**KOMPAK PERFORMANCE MANAGEMENT
IMPLEMENTATION PLAN (PMIP) 2019–2022**

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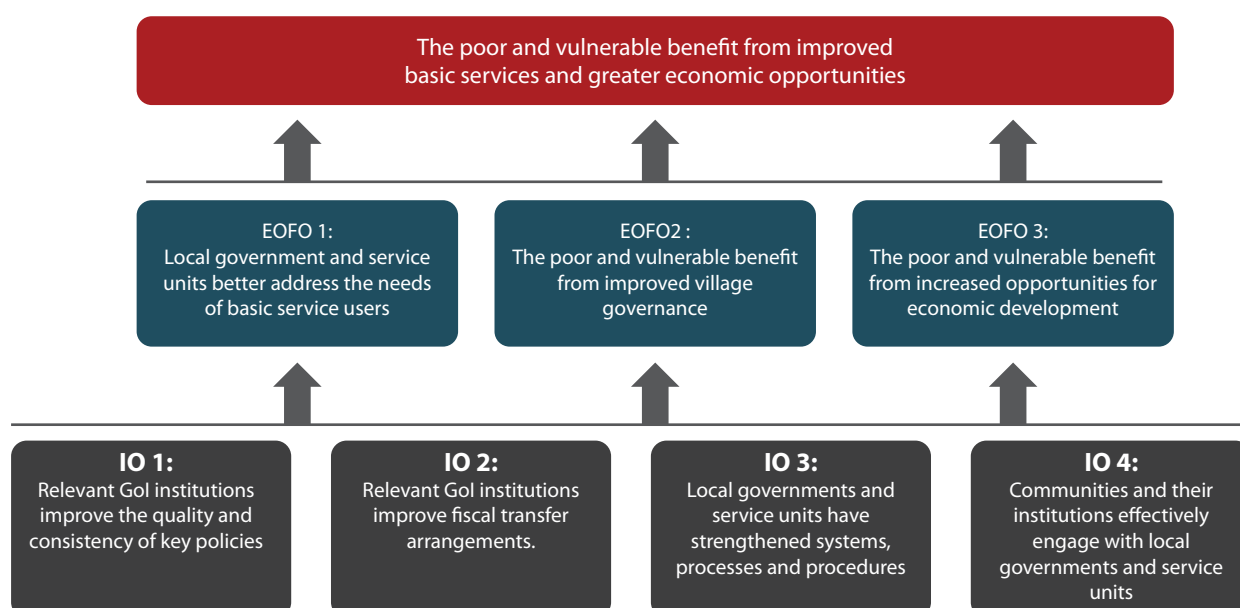
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1 | INTRODUCTION

About KOMPAK

- 1.1 KOMPAK is a partnership between the Government of Indonesia (GoI) and Government of Australia (GoA).¹ It was established in 2015 and will continue through to June 2022. KOMPAK is a governance facility aligned to GoI's two key poverty reduction objectives – improved access to and quality of frontline services, and increased opportunities towards jobs and livelihoods for Indonesia's poorest and most vulnerable people. KOMPAK supports GoI in its efforts to achieve these objectives, by improving village governance, strengthening sub-national transfers and spending, and enabling local governments to deliver services and economic opportunities more effectively. It does this by working alongside GoI to improve policies, systems, and citizen engagement nationally and at the local level. KOMPAK's implementation instruments include policy advocacy and dialogue, research and analytics, pilots and demonstrations, and capacity development and institutional strengthening.
- 1.2 KOMPAK's high-level results framework, comprising its broader goal, End-of-Facility Outcomes (EOFOs), and Intermediate Outcomes (IOs), is presented in Figure 1.

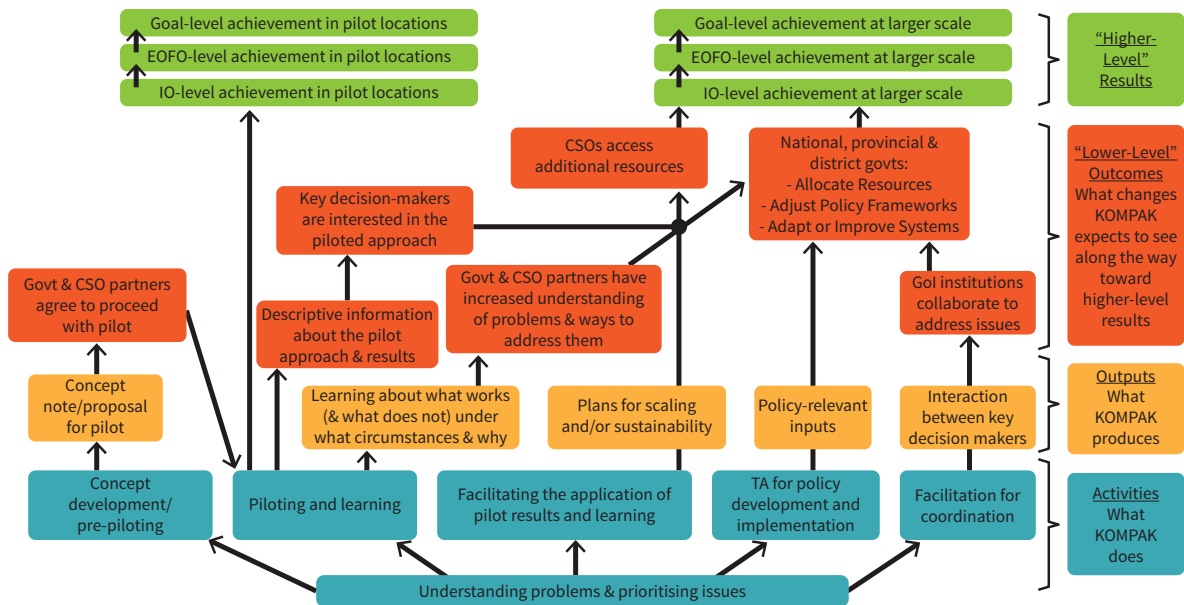
FIGURE 1: KOMPAK'S HIGHER-LEVEL RESULTS FRAMEWORK



¹ KOMPAK works with five GoI Ministries (Bappenas; Ministry of Finance; Ministry of Home Affairs; Ministry of Village, and the Development of Disadvantaged Regions, and Transmigration (MOV)), operating across 26 districts in seven provinces.

- 1.3 At the heart of KOMPAK is the approach of ‘experimentation, evidence, and targeted policy support’ (see KOMPAK’s Living Design Document, p. 11). How this strategy leads to KOMPAK’s IOs and EOFOs is elaborated further below, including graphically in Figure 2. This is referred to as the ‘lower-level’ program logic of KOMPAK, because it elaborates the presumed cause-and-effect relationships between KOMPAK’s work (presented as six generic types of activities), the main outputs of those activities, various ‘lower-level outcomes’, and finally KOMPAK’s ‘higher-level results’.

FIGURE 2: KOMPAK ‘LOWER-LEVEL’ PROGRAM LOGIC



Overview of KOMPAK’s Performance Management Framework

- 1.4 In September 2018, KOMPAK’s revised Performance Management Framework 2018–2022 (PMF) and the Program Logic and Ways of Working 2018–2022 (PLWW) were approved by the Department of Foreign Affairs and Trade (DFAT). The PMF and PLWW set out the overall vision, strategy, and high-level conceptual framework for performance management in KOMPAK. Performance Management covers four main components: monitoring, learning, reflection and adaptation, and reporting and evaluating.
- 1.5 A key aspect of performance management in KOMPAK is that the processes above occur at two different ‘levels’: the Activity level and the KOMPAK level. The core purposes of performance management within KOMPAK are to:

- Demonstrate to the GoA and the GoI the extent to which KOMPAK: (1) has delivered as per the approved work plan; (2) is ‘on track’ to produce its desired results at the national level (in terms of legal or policy change), within GoI systems (notably in the planning and management of government finances), and at sub-national level (in terms of systems and behaviour change among local governments, service providers, and civil society organisations (CSOs), as well as in relation to improvements in development outcomes); and (3) is operating in line with agreed ways of working.
- Inform and enable KOMPAK and implementation teams to make ongoing improvements in program implementation, both at the strategic and operational levels, including in response to challenges, successes, and lessons learnt.
- Contribute relevant information to a broader knowledge base about what works (or what doesn’t), under what circumstances and why, especially to inform the adoption or adaptation of KOMPAK-supported approaches.

Purpose, Audience, and Scope of Performance Management Implementation Plan

- 1.6 The purpose of this Performance Management Implementation Plan (PMIP) is to present and describe the main strategies and processes for *implementing* the KOMPAK PMF in 2019.^{2,3} It complements the PMF, with a specific focus on:
- Presenting the KOMPAK Annual Performance Cycle, both at the Activity level and KOMPAK level for 2019.
 - Presenting the standardised tools available to support data collection and documentation.
 - Describing how relevant information will be managed via the KOMPAK Management Information System (MIS).
 - Describing key reporting processes and products.
 - Presenting an indicative list of proposed evaluative studies for 2019, and areas for evaluative studies for 2020–2022.
 - Describing the estimated resources required for the implementation of the PMF, including priorities for capacity building.
- 1.7 Accordingly, this document is primarily intended for the KOMPAK Performance Directorate, for whom it will serve as a general reference for the operationalisation, implementation, and ongoing refinement of the KOMPAK PMF. In addition, the Monitoring and Evaluation (M&E) Officers and implementation teams (including KOMPAK Partners) will use this document to guide their performance monitoring and assessment work.
- 1.8 As KOMPAK intends to better align the planning, implementation, and performance monitoring of KOMPAK Partners with national and sub-national teams, reference to ‘implementation teams’ in this document refers to both KOMPAK teams and KOMPAK Partner teams (unless otherwise specified).
- 1.9 This PMIP is also relevant to KOMPAK management (Team Leader, Executive Team, and Senior Management Team), the DFAT team responsible for managing KOMPAK, and (at a high level), the KOMPAK Steering Committee. For these parties, it will serve as a summary of information about PMIP, including the schedule of monitoring, evaluation and learning related activities and anticipated resources required.
- 1.10 In line with KOMPAK’s nature as an adaptive program, as well as the annual nature of KOMPAK’s performance cycle, this document focuses primarily on the implementation of performance management for 2019, with more indicative plans for the period 2020–2022. The intention is to update this plan each year, based on key reflections on KOMPAK performance management, and in line with KOMPAK’s proposed Annual Work Plan and Multi-Year Work Plan (2019-2022).

² In considering the operationalisation of the KOMPAK PMF, certain aspects of the PMF are proposed to be revised. These are indicated in footnotes to this document as relevant.

³ The main DFAT M&E Standards (April 2017) addressed by this plan (rather than the PMF) are as follows:

- 2.12 Methods are fully described for sampling, data collection, management, analysis and processing.
- 2.14 Responsibility is allocated to specific individuals (not organisations) for all M&E activities.
- 2.16 Individuals responsible for implementing the M&E plan have the capacity to do so (time, resources and skills).
- 2.18 A complete schedule of M&E activities shows when all key M&E activities will be carried out and information available.

2 | OVERVIEW OF KOMPAK PLANS AND EXPECTED RESULTS: 2019–2022

2.1 KOMPAK's planning process for 2019 began in June 2018, as part of broader strategic planning for a continuation phase of 2019–2022. The process was finalised in January 2019, with the main outputs being a fully costed Annual Work Plan (2019) and a Multi-year Work Plan (2019–2022) that will guide implementation.

2.2 The key principles for development of KOMPAK's Work Plan are:

- **Demand-driven and solution focused**, working with government to understand root causes of problems and identify possible solutions.
- **Participatory and bottom-up** involving multiple stakeholders and conducting planning at the provincial and district level, inviting national government to better align the local and national agendas of KOMPAK.
- **Leveraging results to date** to build on what has worked and consolidating and focusing based on KOMPAK's comparative advantage.
- **Shifting from 'doing' to facilitating** where government is leading and KOMPAK is supporting to provide technical assistance to institutionalise and sustain results beyond 2022.
- **Integrating KOMPAK technical areas to effectively address sectoral issues**, where KOMPAK teams are identifying the interconnection between governance issues (eg. public financial management, regulations, local government capacity and community engagement) to design an integrated approach that also leverages innovation and gender equality and social inclusion.
- **Prioritising change at scale** by identifying and featuring flagships that define what KOMPAK success looks like by 2022 in taking local results for larger scale impact.

KOMPAK-level Results

2.3 As outlined in the Multi-Year Work Plan 2019-2022 KOMPAK has defined aspirational targets for KOMPAK Success in 2022 to reflect the desired long-term changes to which KOMPAK strives to contribute through its Activities. KOMPAK Success in 2022 provides the framework for assessing KOMPAK's overall performance as a facility in contributing to large-scale change during the seven-year period. There are three main categories of change⁴:

- National or provincial **policy changes** that KOMPAK will aim to influence.
- **Durable change(s) at the district level** that KOMPAK will contribute towards – these are IO-level changes (i.e. policy; fiscal transfer arrangements, service delivery systems, processes and practices; and engagement between communities and local governments and service providers).
- **Successful model(s)** that KOMPAK will have tested and demonstrated as potentially scalable (by the government or other institutions).

⁴ This definition of Success in 2022 updates and further refines the definition provided in the PMF 4.17

2.4 Table 1 below provides details of the nine aspirational targets that represent Success in 2022.

TABLE 1: KOMPAK SUCCESS IN 2022

KOMPAK Success in 2022	Policy Change	Durable District Change	Models
District governments have increased allocations with better quality of spending for basic services (health and nutrition, education, Civil Registration and Vital Statistics CRVS)	<ul style="list-style-type: none"> Performance-based fiscal transfers (including Village Funds DD, Special Allocation Funds DAK and Regional Incentive Funds DID) Implementation of Minimum Services Standards Effective utilization of otsus fund 	<ul style="list-style-type: none"> Performance-based incentive for basic services 	<ul style="list-style-type: none"> Integrated System for Poverty Planning, Budgeting, Analysis and Evaluation SEPAKAT Models for performance-based incentive Bangka Papua as otsus-funded initiative to reduce poverty
District government and service units have developed and tested local innovations to improve the accessibility and quality of <u>Maternal Neonatal Child Health (MNCH) and nutrition</u> services	Fulfillment of health minimum services standards in remote and disadvantaged areas (3T)	<ul style="list-style-type: none"> MSS indicator data used to guide local policies, allocation and spending Reduce stunting: <ul style="list-style-type: none"> – Convergence actions – Village-based Early Childhood Education and Development (ECED) services 	<ul style="list-style-type: none"> Local initiative for health and nutrition Local model for island-based health services Puskesmas Penggerak CSO financing for health services
District government and service units have developed and tested local innovations to improve the accessibility and quality of <u>education</u> services	Fulfillment of education minimum services standards in remote and disadvantaged areas (3T)	<ul style="list-style-type: none"> MSS indicator data used to guide local policies, allocation and spending Institutionalize mechanism of out-of-school children 	<ul style="list-style-type: none"> Local initiative for education improvement Sekolah Penggerak CSO financing for education
District government and service units have improved the accessibility and quality of <u>Civil Registration and Vital Statistics (CRVS)</u> services	<ul style="list-style-type: none"> National CRVS strategy Regulations for strengthening CRVS: <ul style="list-style-type: none"> – Village based CRVS – Cross sectoral collaboration – Fiscal transfer and PFM 	<ul style="list-style-type: none"> Village based CRVS system Simplified civil registration processes Integrated CRVS procedures Clear budget structure and allocation System for population with special needs (Papua and Papua Barat) 	<ul style="list-style-type: none"> 3 models for CRVS: acceleration, outreach, and universal CRVS village facilitators CRVS in Bangka Papua cash transfers program

KOMPAK Success in 2022	Policy Change	Durable District Change	Models
<p>Sub-district governments can provide effective support to villages and service units to improve services</p>	<ul style="list-style-type: none"> National regulation on the sub-district Sub-district strengthening adopted as national priority National guidance for village guidance and oversight 	<ul style="list-style-type: none"> Regulation/policy on delegation of authority from Head of District to Head of Sub-District Resources and mechanisms for sub-district to provide service delivery coordination and multi-sector support to villages 	<ul style="list-style-type: none"> <i>Kecamatan</i> strengthening LANDASAN - <i>Kecamatan Penggerak</i> Asymmetric district, sub-district and village facilitation model Clinic consultation (<i>Klinik Membangun Desa</i>)
<p>Village governments have skills, mechanisms (including data) and resources (including increased budget allocations) to improve services at village and inter-village levels</p>	<p>Priorities for village funds and village authority</p>	<ul style="list-style-type: none"> Village authority, development of village plans and budgets, village financial management, procurement, priorities for village funds Use of data from village level (SAIK, SID) 	<ul style="list-style-type: none"> Independent learning by village apparatus (PBMAD) SAIK and SAID
<p>Communities, especially women, poor and vulnerable taking action to push government and services units to improve the accessibility and/or quality of services</p>	<p><i>Not applicable</i></p>	<ul style="list-style-type: none"> Institutionalize mechanisms for social accountability for health, education and CRVS 	<ul style="list-style-type: none"> Citizen journalism Collaborative monitoring Complaint handling mechanisms <i>Sekolah Anggaran</i> (Budget School)
<p>An increased number of women have assumed higher roles of formal responsibility in their village</p>	<p><i>Not applicable</i></p>	<ul style="list-style-type: none"> Policy and resource allocations supports women's local leadership training to improve village development. 	<ul style="list-style-type: none"> <i>Akademi Paradigta</i>
<p>An increased number of Micro Small Medium Enterprises (MSMEs), especially those owned by or employing the poor and vulnerable, have increased their productivity and market access</p>	<p>National policy that adopts market linkages approach</p>	<ul style="list-style-type: none"> Regulations, institutions, guidelines and platforms to increase productivity and market access 	<ul style="list-style-type: none"> Market linkage

- 2.5 KOMPAK will use the Performance Management Cycle (outlined in Section 3 of this plan) to measure and monitor progress towards KOMPAK Success in 2022. Activity information, data and results captured through the various monitoring tools available (see Section 4) will be stored in the KOMPAK MIS and used as the basis for team-based performance reviews two times a year – once in May (an interim review) and then again in October-November (a final review). See Section 3 for details on this process.
- 2.6 The information and data from Activity performance reviews serves two main purposes. First, to provide a status update with evidence on the progress of individual Activities. Second - by aggregating the information across Activities - to provide information on expected changes at a higher level linked to KOMPAK's seven thematic areas described in the Multi-Year Work Plan. These are: (i) fiscal transfer and public financial management; (ii) health and nutrition; (iii) education; (iv) CRVS; (v) sub-district and village strengthening; (vi) social accountability; and (vii) local economic development.
- 2.7 Each of the Expected Changes in 2022 for the above thematic areas (list provided in Annex 1) have been mapped against KOMPAK Success in 2022. To work towards these Expected Changes in 2022 for the thematic areas, KOMPAK has identified Key Outputs for 2019 that are expected to be achieved as a result of national and provincial Activities. More detail on the Activity level results is provided in the section below.



- 2.8 To gather evidence and analysis on progress and change over time KOMPAK will baseline each of the nine Success in 2022 areas outlined in Table 1. As KOMPAK is a continuing program, it is building on results and progress since inception in 2015. The baseline will therefore gather information from a range of data sources, studies and surveys including:
- KOMPAK baseline 2017
 - District and village scans 2017-2018
 - A range of research and studies conducted by KOMPAK
 - CRVS baseline study 2016
 - Village information system survey in KOMPAK locations 2018
 - KOMPAK partner reports that include data and analysis of progress, context and conditions in KOMPAK locations 2017-2018
 - Best Practice models 2018
 - Significant Policy Change documentation 2018
- 2.9 Detail of the various data sources that will be analysed by teams to develop a baseline for each of the nine Success in 2022 targets is included in Annex 1. The performance team will lead this process in early 2019 following approval of the work plan.

Activity-level Results

2.10 As outlined above, KOMPAK has identified a number of Key Outputs from planned Activities in 2019 that represent where the teams expect to be by the end of the year in working towards Expected Changes in 2022.

*For example, under the thematic area of **Health and Nutrition**, one Expected Change in 2022 **Improved basic services in remote areas**. A key output for 2019 to contribute towards this Expected Change is the provision of **Analysis and technical recommendations on the Implementation of Ministerial Health Registration 90/2015 on health services in remote areas**.*

2.11 KOMPAK's list of Key Outputs for 2019 is provided in Annex 2 linked to Expected Changes in 2022 for the seven thematic areas (see 2.6 above) and to the KOMPAK Success in 2022. In this way, KOMPAK has identified the contribution of outputs in 2019 at the Activity-level towards KOMPAK-level Success in 2022.

2.12 In measuring and monitoring results of Activities KOMPAK teams will gather information, data and evidence using the monitoring tools outlined in Section 4. This will become the basis of team-based performance review of progress towards key outputs by the end of 2019.

2.13 KOMPAK teams have identified indicative Key Outputs for 2020 and 2021 and these are outlined in the Multi-Year Work Plan 2019-2022. Based on implementation and learning throughout 2019, these may be revised as part of the annual work planning process (see the performance cycle outlined in Section 3). Final proposed Key Outputs for subsequent years will be presented for endorsement by the Steering Committee as part of the annual work plan process.

3 | KOMPAK ANNUAL PERFORMANCE CYCLE

Overview

3.1 This section of the PMIP presents the performance cycle in sequence with KOMPAK’s annual performance calendar (see Figure 3). It outlines the monitoring, review, learning, adaptation, evaluation and reporting processes at the KOMPAK (facility) and Activity levels between January and December of each year. This plan also overviews the processes that will gather, analyse, and use performance information on expected results in section 2 above.

FIGURE 3: KOMPAK’S ANNUAL PERFORMANCE CALENDAR



3.2 The purpose of KOMPAK's performance cycle is to:

- **Improve quality** of KOMPAK program delivery in two main ways: (1) by promoting contestability of the decision making about investments and assessment of performance; and (2) by explicitly linking planning, implementation, and performance for KOMPAK teams and partners.
- **Make performance visible** at the Activity/team level, as the basis for decision-making.
- **Encourage honesty and reflection** from KOMPAK implementation teams on performance to drive quality and improvement.

3.3 As Figure 3 depicts (detailed in Annex 3), KOMPAK's performance cycle aligns with its:

- **Work planning and implementation** to ensure information on performance and progress informs forward planning, refinement, and adaptation.
- **Risk management** processes to ensure periodic review of implementation and operational risks is used to inform refinement to implementation plans.
- **Progress reporting** to Gol and GoA to ensure information is gathered, reviewed by teams, and analysed and packaged to feed into reporting milestones.
- **Governance mechanisms** to ensure feedback and provision of strategic guidance from Gol and GoA are obtained at a time when KOMPAK teams can use this information to shape forward planning and implementation.

3.4 Expected outputs of the KOMPAK performance cycle at the **Activity level** are:

- A validated self-assessment of performance, including performance scoring for each Activity and reviewer comments.
- List of key achievements and supporting evidence of these achievements.
- List of key learning and challenges for each Activity.

3.5 Scoring of Activity performance will be against the Activity Questions (AQs) outlined in the PMF, which are:

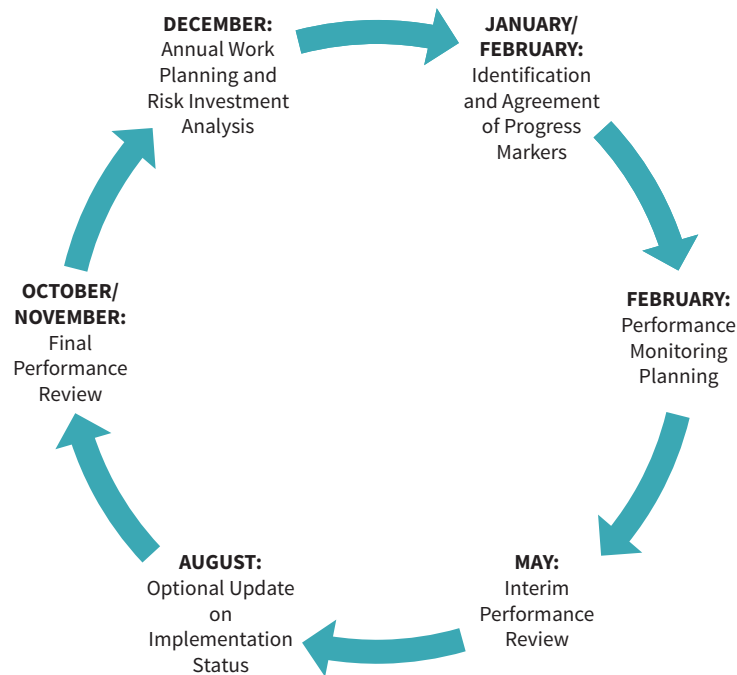
- **AQ1 Delivery:** Did we deliver the Activity (and sub-activities) in line with plans, including in a timely manner?
- **AQ2 Quality:** Did implementation as well as the outputs/direct results of the Activity meet expectations of quality?
- **AQ3 Effectiveness:** What are the indications that the Activity is contributing to progress towards more distant outcomes?
- **AQ4 Adaptation:** How have we adapted to improve the delivery, quality, and/or effectiveness of the Activity?

3.6 Expected outputs of the KOMPAK performance cycle at the **KOMPAK level** are:

- Validated assessment of achievement against each KOMPAK-level progress marker.
- Assessment of overall KOMPAK performance against KOMPAK-level progress markers.

3.7 Reflection on performance cycle implementation, including key recommendations on modifications for future cycles, is taken and used for modification of mid-year planning or as a basis for annual work planning.

FIGURE 4: SIX MAIN STEPS OF THE ANNUAL PERFORMANCE CYCLE



Identification and Agreement of Progress Markers and Key Outputs (January-February)

- 3.8 Following the strategic planning process in late 2018, in January-February 2019, KOMPAK implementation teams will identify key outputs and agree on progress markers for each approved Activity (detailed in an Activity Concept Note, or ACN).
- 3.9 **KOMPAK Activity Progress Markers** will be defined with reference to the expected results of proposed sub-activities included in the ACNs. Teams will select progress markers from a generic list provided or prepare their own where relevant to the Activity. Teams will prepare between one and four progress markers per Activity for 2019. The level of specificity of the progress markers will depend on the size and scope of the Activity. *For example, LANDASAN as a large Activity with broad scope working in 10 districts may define four progress markers for 2019. The civil registration and vital statistics Activity in East Java, as a sectoral based Activity operating in four districts, might only have one or two progress markers for 2019.*
- 3.10 Progress markers should be set by teams as challenging but not impossible to achieve. Each Activity should aim to achieve around 70 percent of progress markers within the year. If achievement is significantly higher, progress markers are potentially set too low. Once the ACN modules are prepared in the MIS, progress markers will be stored in the MIS under each Activity profile. In early 2019, they will be stored and managed in Microsoft Excel spreadsheets, and then migrated to the MIS once further developed (see sections 6 for information on the MIS development).

- 3.11 **KOMPAK-level progress markers** will be defined with reference to KOMPAK's flagship areas of work, including the aspirational targets for each ('Success by 2022'). Progress markers will be defined in detail for 2019, with indicative progress markers for later years (2020–2021). The later-year progress markers will be refined and clearly defined in the annual PMIP for those years. Approximately six to eight annual progress markers at the KOMPAK level will be approved by the Executive Team as part of the process of finalising the Annual Work Plan.
- 3.12 Based on KOMPAK-level progress markers, the Performance team will work with the implementation teams to agree on priority evaluative studies and research for 2019, and indicative evaluative areas for 2020–2021. These will be included in the Annual Work Plan. See section 5 for more details on the evaluative studies.

Performance Monitoring Planning (February)

- 3.13 Once progress markers and key outputs are identified for each Activity, implementation teams, together with their M&E Officer, will develop a simple performance monitoring plan for each Activity with support from the Performance team. The performance monitoring plan will outline how each team will gather data and information on:
- Activity status (AQ1)
 - Quality of key outputs (AQ2)
 - Status of progress markers (AQ3)
 - Adaptation of the Activity (AQ4).
- 3.14 Performance monitoring plans will include information against each of the Activity Questions, AQ1–4, on the: monitoring tools to be used (see the list in section 4); timing of data collection; and responsible team member(s) for gathering and managing data and information.
- 3.15 In early 2019, the M&E plans for Activities will likely be developed using a standardised format in Microsoft PowerPoint, but as the MIS develops, M&E plans will be captured in the MIS.
- 3.16 For KOMPAK-level flagship areas, the Performance team will work with relevant implementation teams to identify and map available data (including Activity-level data) against KOMPAK progress markers. At this point the team will identify any supplementary data or analysis required. This may include scheduling and resourcing for relevant evaluative studies, as mentioned in section 3.12 above.

Interim Performance Assessment (May)

- 3.17 At the Activity level, an interim performance assessment will take place at the team level over two days in May each year, and a final performance assessment will take place over two days in October–November each year.⁵ This section directly below details the interim performance assessment process in May (which is then repeated with some modification in October–November for the final performance assessment).

⁵ The PMF 2018–2022 (see 3.23) proposed quarterly check-ins with two full assessments (month 6 and month 12) and two 'light touch' assessments (month 3 and month 9). However, during the transition period (July–December 2018), trialling of the assessment methodology proved this to be too frequent. In addition, the scheduling of reviews has been refined to align all reporting, work planning, review, governance mechanisms, and risk management in an annual performance cycle. Based on these developments, the Performance Management Implementation Plan 2019 presents three assessment reviews per year – full assessments in May and November/December, and one 'catch up' in August that prepares for final year review and work planning.

- 3.18 The assessment comprises two parts: first, the relevant implementation team conducts a self-assessment of Activity performance; and second, the Performance team validates the self-assessment.
- 3.19 Activity performance will capture information against the four Activity Questions outlined in the PMF:
- **AQ1 Delivery:** Did we deliver the Activity (and sub-activities) in line with plans, including in a timely manner?
 - **AQ2 Quality:** Did implementation as well as the outputs/direct results of the Activity meet expectations of quality?
 - **AQ3 Effectiveness:** What are the indications that the Activity is contributing to progress towards more distant outcomes?
 - **AQ4 Adaptation:** How have we adapted to improve the delivery, quality, and/or effectiveness of the Activity?
- 3.20 Each Activity will be given a score from 1 to 4 for each of the above AQs (*so each Activity has four scores*). This enables comparison across Activities and teams, as well as tracking progress over time in a systematic way.
- 3.21 The team-based self-assessment of Activity performance focuses on three main questions, which are detailed in the section directly below:
- *What Happened?* (Covering AQ1–4 plus assessment of risk.)
 - *So What?* (Teams score their Activities for AQ1–4.)
 - *What Next?* (To inform forward work planning and future adaptation.)
- 3.22 **Step 1 Review of What Happened?:** Teams will conduct a facilitated self-assessment of their Activity performance against AQ1–4. To review **Delivery (AQ1)** and **Adaptation (AQ4)** teams will use the Traffic Light Tool. This tool tracks sub-activity status (are we on track to achieve what we planned by end of the year?). Each sub-activity is ranked as status being: completed; ongoing and on track; ongoing with low risk; ongoing with high risk; not yet started or stopped/cancelled.
- 3.23 The Traffic Light Tool also tracks and documents changes and reasons for the change (did we do something differently from the original work plan for the review period and, if so, why?). *Changes may include, for example, deciding not to facilitate a workshop, delaying a training activity, or taking on new sub-activity commitments.* The Traffic Light Tool will capture: number of changes to the work plan for each sub-activity; and a reason for the change (*for example, budget constraints, shifting priorities from local government, or time constraints*).
- 3.24 Adapting during implementation in response to changing context, risks, what is working well or less well, is an important contributor to Activity *quality* and *effectiveness*, and demonstrates the way in which teams are actively learning and responding for improvement.
- 3.25 To prepare for the self-assessment of **Quality (AQ2)** and **Effectiveness (AQ3)**, the M&E Officer will compile available data from the MIS on sub-activity quality stored in relevant Participant Assessment Surveys (PAS), Event Quality Reports (EQR) and GESI Quality Tool. Teams will analyse the quality of sub-activities with reference to available data from the PAS, EQR and GESI tools, and against the annual progress markers. As part of this discussion, teams will consider and document key learning and challenges during the review period.

3.26 **Step 2 Review of So What?:** Following the review of what happened at the **sub-activity** level, teams will then discuss performance of the **Activity as a whole** and provide a score along the four-point scale outlined below.⁶ Half-points can be used to recognise better performance. For AQ1–3, teams will use Table 1. For AQ4, teams will use Table 2.

TABLE 1: ACTIVITY PERFORMANCE ASSESSMENT SCORING CRITERIA FOR AQ1–3

Score	Explanation of Rating
4	Significantly exceeds expectations: Performance clearly exceeds expectations and is at a very high standard. Very few or no gaps or weaknesses in terms of achievement against expectations. KOMPAK has taken effective action to manage or address any gaps or weaknesses.
3	Delivered to a high standard/clearly exceeds minimum expectations: Performance is in line with expectations and generally to a high standard. There may be a few gaps or weaknesses compared with expectations, but KOMPAK has taken appropriate action to address or manage these.
2	Delivered as planned/in line with minimum expectations: Minimum expectations have been met and the plan was followed. However, the performance level varied, and there were some gaps or weaknesses in performance. KOMPAK has taken action to address or manage some but not all of these.
1	Failed to deliver on agreed expectations: Minimum expectations have not been met. Significant gaps or weaknesses affecting achievement have not been sufficiently addressed by KOMPAK.

TABLE 2: ACTIVITY PERFORMANCE ASSESSMENT SCORING CRITERIA FOR AQ4

Score	Explanation of Rating
4	Significantly exceeds expectations: KOMPAK needed to adapt and responded well to learning, results, and context, to adapt with very few or no gaps or weaknesses in terms of achievement against expectations. KOMPAK has taken effective action to adapt to manage or address any gaps or weaknesses.
3	Delivered to a high standard/clearly exceeds minimum expectations: KOMPAK needed to adapt and responded well in most cases to learning, results, and context, to adapt in line with expectations and generally to a high standard. There may be a few gaps or weaknesses compared with expectations, but KOMPAK has taken appropriate action to adapt to address or manage these.
2	Delivered as planned/in line with minimum expectations: KOMPAK needed to adapt and in some cases responded well to learning, results, and context, to adapt so that minimum expectations have been met. However, there are some gaps or weaknesses in terms of performance, and KOMPAK has taken action to adapt to address or manage some but not all of these.
1	Failed to deliver on agreed expectations: KOMPAK needed to adapt, but did not respond to learning, results, and context. Minimum expectations have not been met. Significant gaps or weaknesses could possibly have been addressed through adaptation.
N/A	Not scored. There was no significant reason for KOMPAK to change direction or adapt its work plan. The sub-activities went as planned and are on track to achieve expected results.

⁶ The PMF 2018–2022 presents this scale as A–D; however, this has been amended to a numerical format in this document (see 3.26), to calculate scores in a meaningful way and enable the capturing of half-points. In future, this scale of 1–4 will replace the PMF scale.

- 3.27 **Validation:** Team self-assessment (for all selected Activities) is then validated through a half-day discussion with KOMPAK Performance team. This includes a presentation from the relevant implementation team on their self-assessment scores against AQ1–4, and key points related to progress, challenges and risks, as well as the evidence supporting their self-assessment. It may lead to the four scores for each Activity being confirmed or modified, based on the validation process.
- 3.28 **Step 3: What next?** Based on the self-assessment and validation process, the implementation team will then refer to results, learning, challenges, and risks to review implications for future implementation and refine or modify its work plan and budget accordingly for the coming period. This includes:
- Changes to implementation of Activities for the coming six months.
 - Changes to performance monitoring, including to collect additional information or evidence.
 - Discussion of additional support required by the team (from Leads or contracted technical assistance).
- 3.29 KOMPAK Performance team will document key points from the validation and the planned follow-up related to changes in implementation or technical support to be provided for the coming period. The implementation teams submit: (1) the final scoring; (2) validation sheet; and (3) revised work plan and budget to the Performance team, who facilitate approval from the Executive Team where there are major changes to the work plan. If the work plan modifications are regarded as minor, the team submits the revisions to the Implementation Deputy Director, but does not require approval for these changes.
- 3.30 Assessments will be documented in a standardised format. In early 2019, this will be in Microsoft Excel/Word, but as the MIS develops during 2019 this information may be migrated to the MIS. Scores for self-assessment and a summary of validation comments are included in KOMPAK's six-monthly Progress Report (submitted in August). The schedule of dates for the May 2019 interim performance assessments is included in Annex 3.
- 3.31 **At the KOMPAK level,** performance assessment also takes place every six months and follows directly on from Activity-level assessments. The Performance team in Jakarta will compile and analyse Activity-level results, achievements, and outliers (high or low scores) across all Activities (the results of the 'What Happened?', 'So What?' and 'What Next?' process).
- 3.32 This information and analysis will be used as a basis for a two-day internal performance review with KOMPAK Senior Management Team (SMT), with the Independent Strategic Advisory Team (ISAT) as the observer:
- Day 1 focuses on review and discussion of Activity-level results.
 - Day 2 focuses on review and self-assessment of the achievement of KOMPAK progress markers, in line with the four-point rubric (see Table 1 and Table 2).
- 3.33 The Performance team will document results of the internal performance review for presentation to the Steering Committee and inclusion in the six-monthly Progress Report. As necessary, KOMPAK Performance team and implementation teams may hold additional follow-up discussions with ISAT.
- 3.34 The role of ISAT in the two-day KOMPAK-level assessment will be to document: their own observations on the quality of the overall performance assessment process; observations on the credibility of KOMPAK self-assessment results and overall KOMPAK performance for the period; and any recommended follow-up action.

Optional Status Update on Implementation (August)

- 3.35 In August each year, teams may decide to conduct an internal ‘light touch’ process to update the implementation status of select Activities, especially:
- Where performance was assessed as Low in May.
 - Where implementation has encountered significant challenges since May.
 - Where they have new or ongoing concerns about the potential to meet expectations for the year.
- 3.36 The purpose of this light touch review is to check whether the Activities are back on track or showing positive improvement.
- 3.37 This light touch review will be conducted by each implementation team, only supported by their M&E Officer, and is expected to take no more than a day. The validation process with the Performance team will not be conducted unless specifically requested or deemed required by the Performance team. Teams will use the same Traffic Light Tool as the May assessment, but only focus on selected Activities.
- 3.38 The team will follow the process of self-assessment to score the Activity against AQ1–4, as outlined in sections 3.17–3.30. This update will be documented in the MIS and feed into the review of the KOMPAK risk register to be completed in September and submitted to DFAT.

Final Performance Assessment (October–November)

- 3.39 The final performance review conducted in October and November each year will follow the same process as the May interim performance review (the steps in sections 3.17–3.34 above). It will aim to prepare KOMPAK teams for implementation in the following year and therefore link directly to the annual work planning process in November and December. Specifically, it will involve:
- Review of performance review results to inform work planning for the coming year (results generated from the process outlined in sections 3.17–3.34 above), which may include identification of new Activities to propose (detailed in ACNs).
 - The Performance team and ISAT providing comments on appropriateness and sufficiency of the Activity-level and KOMPAK-level progress markers and making recommendations for next year.
 - Additional reflection with ISAT (if possible) on the annual performance cycle, and recommendations for the next year.
- 3.40 The additional step in the October–November final performance assessment (compared with the process in May) is an additional one day following the two-day KOMPAK-level review, for the SMT Annual Consolidation Planning meeting. This meeting is facilitated by the Performance team and aims to consolidate results from the team Activity performance assessments and reflection notes. The results of this planning meeting are:
- Identified priorities for the coming year that will be translated in the drafted ACNs to be submitted by individual teams in December.
 - Alignment of Activities with national and local government priorities that have been previously identified during discussions (for example, Working Group (*Pokja*) discussions in September–October).
 - Agreement at the SMT level on what to do more of and less of, what needs to start and stop based on performance assessment results, and reflections in working towards KOMPAK Success by 2022.

3.41 Given this additional step outlined in 3.40 above, during the individual team-based performance reviews, teams will identify key priorities and areas of work for the coming work plan year, but will not start team planning until after the SMT Annual Consolidation Planning meeting. Following the SMT Annual Consolidation Planning meeting, teams will refine existing ACNs for the coming year, or where relevant draft new ACNs.

Annual Work Planning including Investment Risk Analysis (November–December)

3.42 Following the Activity-level and KOMPAK-level performance assessment in October–November each year, and the SMT Annual Consolidation Planning meeting, teams will begin work planning with government and partners for the coming year between November and December each year, as they refine existing and/or prepare new ACNs. KOMPAK’s Annual Work Plan includes an overview of this work planning process, and the PLWW notes the process and criteria for activity design, appraisal, and selection (see PLWW sections 42–49).

3.43 Of relevance to performance monitoring outlined in this plan, annual work planning includes an assessment of Activity-level **Risk of Failure (AQ5)** and the **Potential for Impact (AQ6)**, based on information in the proposed ACNs. The aggregated information from the assessment and analysis of risk and impact of individual Activities supports: decisions made by the Internal Appraisal Group (IAG) when appraising proposed ACNs; resourcing; learning; and can be used in any assessment of team performance.

3.44 As outlined in KOMPAK’s Risk and Safeguard Management Plan 2018–2022 and PLWW, KOMPAK teams will use the Investment Risk Analysis tool once per year for annual work planning, to consider risk of failure of Activities (AQ5) in six categories, with the weighting outlined below in Table 3.

TABLE 3: SIX LENSES OF RISK OF FAILURE

No.	Risk Category	Description	Weighting
1	Number of Institutions	Are a large number of institutions involved in achieving the output? The more institutions involved, the higher the risk of failure.	0.15
2	Time Required	Is it envisaged that achievement of the output will require a significant time investment? The more time required, the higher the risk of failure.	0.15
3	Complexity/ Scope	How complex is the work required? How broad is the scope for achievement of the output? The higher the complexity, the higher the risk of failure.	0.15
4	Behaviour Change	Is there behaviour change involved in the successful achievement of the output? To what degree? The greater the amount of behaviour change required, the higher the risk of failure.	0.15
5	Visibility	Is there high-level visibility within GoI over this output? Who within GoI wants this output to be delivered? The higher the level of visibility, the lower the risk of failure.	0.25
6	Capacity	Does KOMPAK require additional capacity/ resources to deliver the output? The greater the amount of additional resources required to deliver the output, the higher the risk of failure.	0.15

- 3.45 To calculate a score for risk of failure **(AQ5)** individual teams will score each Activity from 1–4, where 1 represents low risk and 4 represents high risk. The cumulative score (using the associated weighting) will provide an overall ‘risk of failure’ score.
- 3.46 To calculate a score for potential impact **(AQ6)**, each Activity will also be assessed against the potential impact/importance: where 1 represents that successful achievement of the Activity/output will have lower level of impact on achievement of KOMPAK’s outcomes, and a score of 4 represents that it will have a high level of impact on achievement of KOMPAK’s outcomes. Teams score their Activities against this matrix, along with supporting evidence and explanation, and submit their assessment along with the draft ACN to the IAG for appraisal.
- 3.47 The information can then be aggregated to the outcome level as a useful lens for considering whether KOMPAK’s portfolio contains the right mix of investments, related to level of risk and potential impact.
- 3.48 Following submission by implementing teams of their ACNs to the Performance team, the Internal Appraisal Group⁷ will appraise ACNs considering the Investment Risk Analysis results and the criteria in Table 4. Information from the approved ACNs will be included in the Annual Work Plan. For KOMPAK Partner grants above AUD 250,000, these will be approved by DFAT. GoI and GoA approval of Activities will be facilitated through the January Steering Committee meeting.

TABLE 4: INTERNAL APPRAISAL GROUP APPRAISAL CRITERIA FOR ACNS

Measure	Rank (1–5) *	Weighting (100%)
Relevance of the Policy Focus to KOMPAK and GoI		15
Political Feasibility		20
Quality of Proposed Approach (Technical Feasibility)		20
Evidence of Government Commitment (either National or Local Level)		20
Building on Results or Established Foundations		20
Effectively Identifying and Addressing GESI Considerations		5
TOTAL		100

*Note: Ranking: 1 = Weak and 5 = Strong

- 3.49 During the May interim performance assessments, as part of the traffic light exercise and validation, teams will assess risk and use the annual Investment Risk Analysis results as a basis to assess: Has the risk status changed (should anything be escalated to the Executive Team)? Are we effectively managing our risks? Are there any new risks?

⁷ As outlined in the PMF, the IAG comprises members of the Executive Team, plus technical Leads where relevant, and an external technical adviser as appropriate.

4 | STANDARDISED TOOLS FOR ACTIVITY-LEVEL PERFORMANCE MONITORING

4.1 As outlined in section 3 above, in February, teams will prepare a performance monitoring plan, and this involves selecting appropriate monitoring tools to help track and gather information and data on their Activities. KOMPAK uses the following tools to capture information, evidence, and data on Activity-level and KOMPAK-level performance:

Tool 1		Traffic Light Tool
Activity Question	AQ1 and AQ4	
Purpose	To document the status of each sub-activity (specifically, whether it is: completed; ongoing and on track; ongoing with low risk; ongoing with high risk; not yet started; stopped/ cancelled), as well as to document changes (adaptations) to the work plan and reasons for each change.	
When it is Used	During the team-based Performance Assessments (May and October–November). <i>Where relevant, also during the Optional Status Update (August)</i>	
How it is Used and who Uses it	Implementation teams complete each field in the tool with technical support from their M&E Officer, as part of their self-assessment discussion on performance of sub-activities. Information entered into this Traffic Light Tool is then validated by the Performance team during the Performance Assessment.	
Tool 2		Event Quality Report (EQR)
Activity Question	AQ2	
Purpose	Documents key information on KOMPAK-supported events, including observations on quality of implementation.	
When it is Used	Used on an ongoing basis to gather information on KOMPAK-supported events, such as: <ul style="list-style-type: none"> • Public events (seminars, conferences, talk shows etc.) • Workshops • Training • Focus group discussions • Field or site visits • Meetings or audiences with GoI counterparts or other stakeholders. 	
How it is Used and who Uses it	KOMPAK staff (manager level or above) who attend an event implemented or supported by KOMPAK complete this report format. This then generates learning for outputs and next steps, which contributes to achievement of KOMPAK’s desired outcomes.	

Tool 3		Participant Assessment Survey (PAS)	
Activity Question	AQ2		
Purpose	Used to document feedback (reactions and perceptions of quality) from participants in KOMPAK activities.		
When it is Used	For KOMPAK-supported events that last at least one full day and have a clearly defined capacity-building component; for example, training or a workshop		
How it is Used and who Uses it	Participants of KOMPAK-supported events complete their own survey form to document their feedback at the conclusion of the event. KOMPAK implementation teams and M&E Officers gather all surveys, and the M&E Officers enter data into the MIS. For large events, KOMPAK might hire output-based data entry support. Where possible, KOMPAK will strive to gather surveys online for ease of data management.		
Tool 4		GESI Quality Tool	
Activity Question	AQ2		
Purpose	To gather information and evidence on the quality of GESI programming within an Activity.		
When it is used	During field missions or the provision of technical assistance.		
How it is Used and who Uses it	The GESI teams (or contracted GESI consultants) use this tool during field missions or as part of the provision of technical assistance to teams. In the lead-up to team-based performance assessments, this tool captures information and evidence on the quality of GESI programming in selected Activities that have been tagged in their ACN as having a GESI element. Information from this tool is then made available and analysed as part of scoring Activity performance against AQ2.		
Tool 5		Pilot/Scaling Reflection Tool	
Activity Question	Contributes to analysis related to AQ2 and AQ3		
Purpose	To document and reflect on the 'journey' of priority pilots from the initial pilot to subsequent testing and further development, and efforts to support scaling. The tool is also used for the purpose of reporting into DFAT's Performance Assessment Framework.		
When is it Used	On a six-monthly basis leading up to KOMPAK performance assessments, or on otherwise agreed schedules.		
How it is Used and who Uses it	The implementation teams initially complete a first draft of this tool for priority pilots that are under their management. The Performance team (KM Manager or Innovation staff) then reviews and analyses information, and, where necessary, seeks further information to fill gaps. This tool is then updated by the relevant implementation team, and with technical support from the Performance team, priority pilots can be identified based on their comparative investment costs, visibility, and/or risks.		

Tool 6 National/Provincial Policy Change Tool	
Activity Question	AQ3
Purpose	Used to document meaningful policy change at the national and provincial level, as well as KOMPAK's contribution to the policy change. It is also used for the purpose of reporting into DFAT's Performance Assessment Framework.
When is it Used	At any time, following the formalisation of national or provincial-level policy to which KOMPAK has made a meaningful contribution.
How it is Used and who Uses it	KOMPAK M&E Officers, with support from the Performance team, gather information from the relevant implementation team on the policy change and document this information in the format provided. This tool is also used to contribute to the DFAT Significant Policy Change (SPC) case studies.
Tool 7 National/Provincial Policy Engagement Log	
Activity Question	AQ1, AQ2, AQ3
Purpose	Used to document KOMPAK activities / interaction that is intended to contribute to meaningful policy change at the national and provincial level, also for the purposes of subsequently describing KOMPAK's role in such policy changes (including as the basis for Significant Policy Change case studies).
When is it used	At any time, following relevant engagement with policy actors
How it is used and who uses it	KOMPAK Implementation teams and Advisors briefly document engagement activities after they have been conducted; KOMPAK M&E officers compile regular summaries of policy engagement activities related to policy issues.
Tool 8 Improved Subnational Policies/Practices Tool	
Activity Question	AQ3
Purpose	To document important district-level changes to which it KOMPAK has contributed, also for the purposes of reporting into DFAT's Performance Assessment Framework (PAF 3.1 Indicator 2).
When it is used	6-monthly in May and Nov (as preparation for or follow up to interim performance assessments).
How it is used and who uses it	KOMPAK M&E Officers, with support from the Performance team, will use this tool to document important changes in subnational policies or practices related to KOMPAK.
Tool 9 Additional Funding Tool	
Activity Question	AQ3
Purpose	To document the allocation of additional GoI, CSO, or other third-party resources to KOMPAK-supported initiatives or approaches. It is also used for the purpose of reporting into DFAT's Performance Assessment Framework. (PAF 3.1 Indicator 1).
When it is Used	Following the allocation of resources above set thresholds.
How it is Used and who Uses it	KOMPAK M&E Officers, with support from the Performance team, will use this tool to document the additional resources allocated by GoI, CSOs, or other third-party resources, to KOMPAK-supported initiatives or approaches as they happen. It will capture the evidence of allocation (it does not capture verbal commitments or promises for allocation).

Tool 10		Implementation Monthly Reporting Format
Activity Question	AQ1–4	
Purpose	To provide a status update on progress against expected outputs in the work plan that are related to annual progress markers, as well as reflection on learning, challenges, and how the Partner has adapted.	
When it is Used	At the end of each month.	
How it is Used and who Uses it	Provincial managers and Leads are responsible for facilitating their teams to contribute data and information to complete this form on a monthly basis. It is submitted to the Performance team and reviewed by the Deputy Director for Implementation.	

Tool 11		Grantee Reporting Format
Activity Question	AQ1–4	
Purpose	To provide a status update on progress towards annual progress markers and reflection on learning, challenges, and how the Partner has adapted.	
When it is Used	At the end of every quarter.	
How it is Used and who Uses it	KOMPAK Partners prepare this format and submit it to the managing staff member responsible for their partnership agreement. This format includes information such as: what was achieved; key results; any contributions towards outcomes; risk; and adaptation and learning.	

Use of Baseline Data

- 4.2 The Performance team (including provincial M&E Officers) will be responsible for working with teams to ensure Activities include relevant data to show evidence of the starting point, and appropriate progress markers that will help to track and provide evidence of progress and results over time. KOMPAK, as a flexible and adaptive program, implements a range of Activities and pilots across sectors and levels of government. This mean that a traditional baseline, developed for a clearly defined set of Activities, fails to sufficiently capture the scope and breadth of KOMPAK’s work over time.
- 4.3 KOMPAK will gather baseline data for the flagship areas of work outlined in the KOMPAK Success in 2022 matrix. The Performance team will be responsible for outlining the relevant data sources, methods of data collection, proposed evaluative studies, and resourcing for each flagship area of work. Annex 1 contains the existing data sources for each KOMPAK Success in 2022 that will be analysed by the teams as part of developing the baseline.
- 4.4 As KOMPAK has been implemented since 2015, achievements from 2015 to 2018 effectively serve as part of a ‘baseline’ for the 2019 to 2022 period. Where relevant, information from KOMPAK’s 2017 baseline, as well as results from 2015 to 2018, will be used during the period 2019 to 2022 to provide evidence of the starting point for specific Activities.

- 4.5 In addition, information and data to show evidence of the starting point for Activities and pilots, including the flagship areas of work, are captured in a number of key documents:
- **ACNs** include progress markers to track and show evidence of change over time related to specific Activities, which provides a basis for understanding the ‘current state of play’ for each Activity. The ACN analysis of the problem and the starting point provide baseline information, which is then tracked through the annual progress markers.
 - **KOMPAK sector strategies and roadmaps** provide a type of provincial baseline for each location and in each sector as they outline: where we are at; current problems and status; relevant data to provide evidence of the problem and starting point; and, in the case of roadmaps, outline where we expect to be by 2022.
 - **Pilot designs** will include analysis of the current condition and relevant data that provides baseline information for individual pilots to compare results against by 2022.
 - **In addition, for Papua and West Papua**, a recent stocktake in late 2018 will provide baseline data for KOMPAK Activities in these provinces between 2019 and 2022.
- 4.6 In addition to data and evidence captured through team-based performance reviews for each Activity, the Research and Evaluation team will carry out specific evaluative studies on priority flagship areas of work, to provide specific analysis changes and progress. See section 5 for more detail.

5 | EVALUATIVE STUDIES

- 5.1 On an annual basis, as part of work planning, KOMPAK will identify the main evaluative studies. Priority studies will help to assess and evidence results and make recommendations for future implementation, enriching Activity-level performance review information.
- 5.2 For 2019, KOMPAK has identified the following priority evaluative studies:
- **Social accountability:** analysing learning and results to date from tested models and approaches to improve government responsiveness in the delivery of basic services.
 - **Health services in remote isolated areas:** documenting KOMPAK's experiences in the delivery of health services in remote island regions, specifically Pangkep in South Sulawesi, and the role of innovation in providing governance solutions to persistent problems in delivering health services
 - **Village budget analysis:** analysing village budgets and expenditure in KOMPAK-targeted locations where there is increased budget allocation towards basic services (education and health), and also the contribution of this to evidence of outcomes in the sectors. In addition, this study will explore factors that influence and incentivise shifts in spending at the village level.
 - **CRVS mid-line survey.** Following the 2016 CRVS baseline study conducted by PUSKAPA in KOMPAK locations, this study will provide a mid-line survey in KOMPAK locations with comparison locations to provide analysis on the conditions and progress in related to CRVS systems.
- 5.3 There are three main ways that KOMPAK will document change at scale are outlined below. These link directly to DFAT's Performance Assessment Framework (PAF):
1. **Significant Policy Changes:** Information will be tracked and documented through KOMPAK's National/Provincial Policy Change Tool and National/Provincial Policy Engagement Log.
 2. **Pilot Tracking and Reflection:** Pilots will be tracked using KOMPAK's drafted pilot-to-scale strategy. This was prepared in 2018, with an accompanying structured reflection tool for teams to review pilot progress. This tool aligns with DFAT's Pilot Tracking Tool.
 3. **Durable District Changes:** Change will be tracked and documented using KOMPAK's Improved Sub-National Policies Practice Tool as well as Additional Funding Tool that can help to capture financial contributions from local government for initiatives.
- 5.7 Proposed studies in 2019 to document change at scale are:
- **Significant Policy Change**
BANGGA Papua: Together with DFAT's MAHKOTA program, KOMPAK has provided technical support to the Provincial Government of Papua to pilot a cash transfer program (using *otsus* funds) focused on improving nutrition for children under four years of age. Based on initial piloting in 2018, the provincial government plans to scale the pilot in 2019 to eight additional districts.

- **Pilot tracking**

LANDASAN: This began as a pilot under DFAT's Australia-Indonesia Partnership for Decentralisation (AIPD) in 2015. It was transferred and scaled through a second phase under KOMPAK. Under KOMPAK this pilot has gained momentum with strong leadership and commitment from the Provincial Government in Papua and in West Papua and is now considered a program rather than a pilot. A number of components of LANDASAN are being scaled and replicated by local government with support from KOMPAK. Specific small pilots within LANDASAN to be explored and analysed include the work on village information systems (SAIK), as described below.

Sistem Administrasi Informasi Kampung (SAIK): Accurate and timely data is difficult to obtain in Papua, yet critical to ensure services are reaching the people who need them most. As part of LANDASAN, KOMPAK piloted a comprehensive village-based information system SAIK that features community-based data collection, integration of this data into an online system, and feeding the data upwards to the sub-district information system (*Sistem Administrasi Informasi Distrik* or SAID). In some pilot locations, SAIK has led to better targeting of government assistance programs and identification of health services needs. More thorough analysis of results of SAIK is needed to inform program improvements, provincial strategies and broader national policy related to village data and development.

- **Durable District Change**

Sub-District Strengthening: KOMPAK has provided technical support to Bappenas and MoHA to test approaches (such as the PTPD model) to strengthen the role of the sub-district in improving access to basic services. Some main components of this approach have been institutionalised in a number of KOMPAK targeted districts through regulations, financing models and mechanisms (such as sub-district and village clinics). Preliminary analysis will begin in 2019 to report against PAF indicators in 2020.

CRVS: The CRVS mid-line survey mentioned above will assess changes in policies, systems, and services and to what extent these have been institutionalized in the KOMPAK districts.

- 5.4 To identify cases of change at scale that will be reported on beyond 2019, on an annual basis KOMPAK will use the performance management cycle monitoring together with evaluative studies to identify results, good practice and emerging changes to be documented.

6 | INFORMATION MANAGEMENT AND THE KOMPAK MIS

- 6.1 **MIS Development and Management for Continuous Improvement:** At the end of 2018, KOMPAK's MIS was migrated from Caspio to the new platform, Oracle Application Express (APEX). There are eight main modules to be developed between January and August 2019. The main modules, aligned with M&E tools, are outlined below, with the first two to go online by the end of January 2019:
- Event Quality Report
 - Activity Concept or Design Note
 - GESI Quality
 - Pilot Tracking
 - Participant Assessment Survey
 - Partner Reporting
 - Postcards from the Field
 - GoI Reporting.
- 6.2 The MIS will be managed and updated by the MIS Manager. The MIS Senior Adviser will continue to provide design guidance and advice to develop and continuously refine and improve the system, based on learning and KOMPAK needs.
- 6.3 **Data Storing:** During 2019, KOMPAK will continue to develop, test, and refine the main M&E tools (that appear as modules outlined in 6.1 above). Modules will be developed, tested with implementation teams, and refined in Microsoft Excel or Microsoft Word (depending on the tool), before being migrated to the MIS. Once all modules are online, the main data sets and information will be stored and managed within the MIS. Additional data and information will be stored and managed in the shared folder (KOMPAK P Drive). This will include, for example, data sets and research information managed by the Research and Evaluation team for evaluative studies or detailed information on pilots.
- 6.4 **Data Use:** The MIS will disaggregate data for the purpose of learning, analysis, and reporting on KOMPAK performance, based on:
- Activity
 - End-of-Facility Outcome
 - Intermediate Outcome
 - Team
 - Location
 - Ministry BAST (Certified Acceptance of Grant Support)
 - Technical area
 - Sector
 - GESI.

- 6.5 National, provincial, and KOMPAK Partner M&E Officers will use the MIS to: (1) upload performance data (into the above modules as they come online); (2) extract data and information for analysis to prepare for Progress Reviews; (3) upload scores and results from performance assessments for their Activities conducted in May and November; and (4) complete ACNs in the MIS when proposing new Activities. The M&E Officers, the Performance and Analytics team, and Research and Evaluation team will be the primary users of the system and the data.
- 6.6 **Data Security:** Data and information will be stored in the MIS. The MIS will help to ensure integrity and security of data by assigning different levels of authority for staff and Partners, to differentiate between who can: add data; edit data; and/or approve entries in the system (e.g. approving ACNs). Data backup and recovery will be provided by the Oracle hosting service provider and monitored by the MIS Manager.

7 | REPORTING AND COMMUNICATIONS

Head Contract Progress Reporting

- 7.1 **Mid-Year Progress Report:** KOMPAK will report on performance and progress to DFAT between January and June each year through the six-monthly Progress Report, aligned with DFAT's Monitoring and Evaluation Standard 3 on progress reporting. Results, analysis, and evidence from the May Activity-level and KOMPAK-level performance assessments will form the basis of this report.
- 7.2 **Annual Progress Report:** KOMPAK will report on the full calendar year of progress each year through the Annual Progress Report, aligned with DFAT's Monitoring and Evaluation Standard 3 on progress reporting. This report will capture six-monthly progress, taking results, analysis, and evidence from the November Activity-level and KOMPAK-level performance assessments. It will also review the year against set annual progress markers.
- 7.3 **Completion/Final Report:** The completion report is due in May 2022, before KOMPAK closes in June. The final report will draw on cumulative data, results, and learning to: (1) provide evidence of achievement towards Intermediate Outcomes and plausible contributions towards End-of-Facility Outcomes; (2) present results of the flagship areas that demonstrate KOMPAK Success by 2022; and (3) summarise learning.

KOMPAK Steering Committee Reporting

- 7.4 KOMPAK will report to the Steering Committee (SC) on a six-monthly basis in January and July. In January, KOMPAK will present to the SC the Annual Work Plan, which has been prepared based on performance assessments in November, and prior discussions with the Technical Committee (TC), Working Groups (Pokja), and SC member ministries on priorities for the coming year. In July, KOMPAK will present to the SC the mid-year results at a high level, from the Activity-level and KOMPAK-level performance assessments, to seek strategic guidance and input from the SC. This may lead to modifications to planning for the second half of the year.
- 7.5 In addition, KOMPAK engages with members of the Steering Committee on an ad hoc basis when specific Activities, progress, or agenda setting is required, in relation to KOMPAK's work with a particular ministry. All meetings and engagement with SC members are documented, shared, and stored in the KOMPAK shared drive (P Drive).

KOMPAK Snapshot Indicators

- 7.6 Snapshot indicators are relatively simple performance measures that help KOMPAK communicate aggregate results (from across multiple Activities) to key stakeholders, especially DFAT and GoI. While these measures will provide a rapid ‘snapshot’ of KOMPAK’s contributions to outcome-level change; they are not formal measures of KOMPAK’s performance, in the sense that no performance targets will be set as a means of assessing the sufficiency of changes.
- 7.7 KOMPAK’s proposed Snapshot Indicators for 2019, based on Performance Assessment Framework (PAF) 3.1, are outlined below. Additional snapshot indicators may be added based on discussion with DFAT and GoI during the annual work planning process.

Snapshot Indicator	DFAT Indicator
Amount of additional funding for KOMPAK-supported activities	PAF 3.1 # 1
Districts with improved practices and policies	PAF 3.1 # 2

DFAT Performance Reporting

Aggregate Development Results (ADR) Reporting

- 7.8 For the January–December 2018 reporting period, KOMPAK has proposed to report on two ADR indicators:
- ADR 17/18 # 12: Number of additional poor women and men able to access social transfers (such as cash or in-kind transfers incl. food).
 - ADR 17/18 # 16: Value of private sector investment leveraged (AUD).
- 7.9 This information will be gathered by the KOMPAK team, related to data from the BANGGA Papua pilot, in coordination with DFAT and MAHKOTA. The Performance and Analytics team will support gathering of data to submit to DFAT by April 2019.
- 7.10 For the January–December 2019 reporting period, in February 2019 KOMPAK will work with DFAT to identify and agree on the relevant ADR indicators KOMPAK will report on, based on the 2019 Annual Work Plan. The Performance team will support the implementation teams to ensure information and data is effectively captured. Initially this will be via Microsoft Excel, but it is expected this reporting information can be gathered directly from the MIS in future.

Performance Assessment Framework (PAF) 3.1 Reporting

- 7.11 Based on information received in December 2018, the PAF Reporting for 2019 comprises:
- Information on KOMPAK’s contributions to DFAT Outcomes and Milestones as established in the PAF
 - Significant Policy Change case studies
 - Reporting on two High-level Policy Indicators
 - A trial of Pilots to Scale case studies.

7.12 **PAF Outcomes and Milestones:** KOMPAK will report on its contributions to the achievement of PAF 3.1 Outcomes and Milestones listed below:

PAF Outcome	PAF 2018/2019 Milestone
7. Governments – national and local – deliver the services communities need	<p>Villages in target areas allocate at least 20 per cent of Village Funds for basic services (health, education, legal identity, and basic infrastructure).</p> <p>More than 10,000 women and men receive legal identity documents through DFAT-funded approaches and models.</p> <p>Families in three districts start to receive regular child grant transfers from the Papua Provincial Government.</p>
11. Public policies are informed by evidence	Lessons and evidence, including from pilots, are used to inform the national medium-term development plan (RPJMN).

7.13 **Significant Policy Change case studies:** For submission in February 2019, the Performance team will work with the implementation teams to prepare and submit to DFAT summaries of proposed Significant Policy Changes (SPC). If KOMPAK submission(s) are selected for further development in March, the Performance team will work with the relevant implementation team to prepare a full case study summary to submit to DFAT by April 2019.

7.14 **High-level Policy Indicators:** For the purposes of this plan, KOMPAK will report on the following PAF Indicators, based on PAF 3.1:

- PAF 3.1 #1: Amount of Additional Financing Co-Invested in Development.
- PAF 3.1 #2: Number of districts with Improved Service Delivery Practices and Policies.

7.15 **Pilot to Scale case studies:** The SAIK initiative has been agreed between KOMPAK and DFAT as a trial of the Pilot to Scale case study approach. The Performance team will work with the implementation team to prepare and submit the completed “pilots to scale case study template”.

Aid Quality Check (AQC) Reporting

7.16 In December 2018, DFAT and KOMPAK conducted a preparatory workshop to prepare for the AQC. As well as reporting on risk, providing a management response, and flagging contribution towards priority policies, it identified key evidence, information, and practice to report against the following three criteria and five policy priorities:

- **Quality Criteria**
 - Effectiveness
 - Efficiency
 - Gender Equality
- **Policy Priorities**
 - Disability Inclusion
 - Indigenous Peoples
 - Climate change and disasters
 - Private Sector Engagement
 - Innovation

7.17 Based on agreed outcomes of the workshop, the Performance team will be responsible for facilitating implementation teams to gather relevant evidence and information against the criteria in 7.16 that can be discussed with DFAT by February 2019. DFAT will prepare the first draft of the AQC and KOMPAK will provide additional inputs as needed.

Communicating Results

7.18 Aside from the opportunities to communicate and discuss results presented through KOMPAK governance mechanisms and reporting deliverables, there are a number of ways in which performance information is shared at the Activity level and KOMPAK level. These include, but are not limited to:

- Learning and knowledge sharing events aimed at influencing scale and uptake of models and good practice, which are carried out by individual implementing teams related to specific Activities.
- Policy advocacy activities conducted by implementing teams (at the national or sub-national level).
- Cross-provincial or cross-district sharing through events or visits/exchange to promote sharing of good practice and evidence of results.
- National events facilitated with Gol to showcase results (for example, INSPIRASI held in December 2018).
- Evaluative studies prepared and shared through a range of strategic forums and engagement.
- Website highlights, policy papers, and publication of key results and good practice.

7.19 Implementing teams will be responsible for identifying, including, and resourcing in their work plan specific learning and knowledge events and activities that use performance information for communicating results, influencing change, and promoting scale of good models and practice.

8 | M&E MANAGEMENT

Internal Resourcing within KOMPAK

- 8.1 As outlined in the PMF, all KOMPAK staff and Partners have a responsibility for measuring performance, monitoring, evaluation, and learning. The following positions within the Performance team are key to guiding and managing performance aligned with the PMF:
- Director for Performance.
 - Performance and Analytics Lead and team: Performance and Analytics Manager, M&E Specialist, MIS Manager, and M&E Coordinator.
 - Research and Evaluation Lead and team: Research Specialist, Data Analyst, and Knowledge Management Manager.
 - M&E Officers (at the national and sub-national level, including KOMPAK Partners).
- 8.2 The Performance Lead and M&E Specialist will provide coordination and technical support to the national and sub-national implementation teams (via M&E Officers). In addition, the M&E Specialist will provide technical support and coordination to the M&E staff of KOMPAK Partners to ensure alignment and consistency of Partner performance monitoring and management, and the PMF requirements.
- 8.3 Following approval of the PMF in September 2018, and the KOMPAK extension in October 2018 (which included the proposed organisational chart), KOMPAK began the recruitment process to source appropriately qualified people to fill these positions. In the first quarter of 2019, KOMPAK will finalise recruitment for the following positions:
- Research and Evaluation Lead
 - Performance and Analytics Lead
 - Performance Manager
 - M&E Specialist
 - Data Analyst.
- 8.4 As outlined in the PMF, the Executive Team will be accountable for overall performance management, with the Director for Performance having primary responsibility for operationalisation of the performance framework.
- 8.5 Related to resourcing time for performance reviews and associated performance monitoring and review activities, implementing teams will be responsible for including in their work plan (attached to their ACNs) the following:
- Interim and final performance reviews, as well as tentative August ‘optional status updates’ (indicative dates to be inserted into all team work plans are included in Annex 3).

- Monitoring activities conducted by team members, as well as M&E Officers. This includes time allocated by Leads and their technical teams to provide monitoring and oversight to local implementation related to their technical expertise.
- Additional technical advisory assistance required for facilitation of review events, such as technical experts to act as ‘critical friends’, and data collection and analysis related to Activities.
- Annual planning processes, including review and development of ACNs.
- Learning and knowledge-sharing forums to support sharing of results, evidence, and learning.

KOMPAK Monitoring, Evaluation and Learning (MEL) Panel

8.6 Between January and March 2019, KOMPAK will review and update its current MEL Panel, which will provide short-term inputs and technical support to implementation teams. This support may include: support for research and analysis linked to priority evaluative studies; monitoring and technical support for gathering and analysis of data and information; and capacity-building support to M&E staff and technical teams. Activities and budget for technical support from the MEL Panel will be included in individual team ACNs.

M&E-related Capacity Building

- 8.7 In February 2019, the Performance team will provide training to staff (initially focused on SMT, M&E Officers, and KOMPAK Partners) to provide guidance and enable staff to seek clarification where necessary on the operationalisation of this PMIP. As part of induction, all KOMPAK Partners will receive a briefing on their operationalisation of this PMIP.
- 8.8 Basic M&E training was provided to M&E Officers and select staff in KOMPAK in the second half of 2018. In addition, SOLIDARITAS, provided a number of implementation teams and M&E Officers with mentoring support through socialisation of the PMF, and the roadmap consultation process, and also provided ad hoc technical support to teams and in some cases KOMPAK Partners. Based on feedback from SOLIDARITAS, KOMPAK will prioritise the following M&E-related capacity support:
- Microsoft Excel and basic data management/analysis for M&E Officers.
 - Basic program logic for implementation teams (national managers and sub-national teams), M&E teams, and representatives from partners.
 - ‘M&E ethics’ (in line with PMF point 2.10) for all relevant staff and partners.

Budget

- 8.9 As outlined in the PMF, KOMPAK has a total annual target allocation to performance of 5 to 7 percent of the total budget. The estimated allocation for Activity-level and KOMPAK-level M&E, as a proportion of the program budget is approx. AUD 1,471,000 or 5.9 percent of the total budget for 2019. The M&E budget covers:
- Staff positions in the Performance Directorate that relate to monitoring, evaluation, and learning functions, including MIS.
 - Staff travel to facilitate monitoring missions, review, and quality assurance.
 - Technical Advisers contracted from the MEL Panel and other related programming costs to provide MEL support outside the expertise and capacities of core staff.
 - Budget for evaluative studies.

Risks to M&E Implementation

8.10 The main risks to implementation of this Performance Management Implementation Plan are outlined below, with mitigation measures. Further detail is included in the Risk Register, which is updated on a quarterly basis by the Performance team.

- **Risk 1: KOMPAK is not able to source appropriately qualified M&E staff with required expertise and skills to manage implementation of the PMF.** The PMF captures KOMPAK as a complex program, and as such the PMF itself is ambitious. As noted in section 8.3 above, in early 2019, KOMPAK will be finalising recruitment of key positions to support the performance management implementation but recognises the challenges across development programs in sourcing suitably qualified staff.
Mitigation: *In 2018, KOMPAK supported M&E training for 13 KOMPAK staff (including the five M&E Officers and the KM Manager). KOMPAK will continue to invest in training and mentoring of key M&E staff as they are recruited. In addition, the MEL Panel will aim to include senior experts with a range of MEL skills, including in relation to adaptive programming and taking pilots to scale to support KOMPAK core staff.*
- **Risk 2: Teams do not dedicate sufficient time for data collection, analysis, and reflection.** Data collection and analysis is often regarded as the responsibility of M&E staff and this means implementation teams often do not allocate time in their work plan for monitoring activities. The impact of this is a disconnection between implementation, monitoring, and learning for improvement.
Mitigation: *The PMF outlines specific roles and responsibilities for implementation and Performance team members to support performance management. KOMPAK SMT will ensure all work plans include dates and required resources for performance reviews, monitoring, and planning. As required, ACNs will include additional resources for data collection and performance monitoring. Finally, team-based performance reviews (in May and November each year) help to strengthen team accountability for delivery of quality Activities. This aims to better incentivise monitoring as a whole-of-team responsibility.*
- **Risk 3: KOMPAK teams struggle to select and focus on the most strategic areas for greatest impact, because they are overwhelmed with too many other activities that KOMPAK could support.** As relations are close with local government, and as Activities evolve, it is likely that this could lead to teams taking on additional sub-activities and new requests on an ad hoc basis. This may compromise quality of priority Activities and may mean the focus becomes less strategic.
Mitigation: *Team-based performance reviews include a validation process led by the Performance team that will ensure contestability of results and focus, and help to ensure time and resources are being invested in those areas that are likely to have greater impact.*
- **Risk 4: Teams lack sufficient clarity on the problem they seek to address and as such what the Activity aims to achieve, affecting the selection of what to focus on.** During the transition period, KOMPAK facilitated a significant and strategic shift from being predominantly top-down, to becoming bottom-up and problem-driven. This is a new way of working for KOMPAK teams and government partners, and thus may take time to operationalise fully for teams and government and partners. Obtaining clarity on the approach may emerge over time as teams continuously learn through implementation. This will require a greater focus on learning, reflecting, and refining their approach, based on what works, and what doesn't, and why.
Mitigation: *Teams will be facilitated through a more structured performance review process, focused on learning and reflection, which aims to support continuous learning about the problem, and effective strategies. In addition, the refined pilots to scale tool will be used by teams with support and technical assistance from the Performance team (and contracted M&E advisers) to guide implementation through the various stages of taking selected models and approaches to scale.*

Annex 1: List of Baseline Data Sources for KOMPAK Success in 2022

KOMPAK Success in 2022	Policy Change	Durable District Change	Models	Baseline Data Source
<p>District governments have increased allocations with better quality of spending for basic services (health and nutrition, education, Civil Registration and Vital Statistics CRVS)</p>	<ul style="list-style-type: none"> Performance-based fiscal transfers (including Village Funds DD, Special Allocation Funds DAK, Regional Incentive Funds DID) Implementation of Minimum Services Standards (MSS) Effective utilization of Special Autonomy Funds (otsus) 	<ul style="list-style-type: none"> Performance-based incentive for basic services 	<ul style="list-style-type: none"> Integrated System for Poverty Planning, Analysis and Evaluation (SEPAKAT) Models for performance-based incentive Bangga Papua as otsus-funded initiative to reduce poverty 	<p><u>Data:</u></p> <ul style="list-style-type: none"> Data of Dana Insentif Daerah (DID) in KOMPAK districts (2016-2018) Data of Dana Desa Allocation (2016-2018) Data on DAK Fisik (2017-2018 (2017-2018) Formula to allocate DID (2017) KOMPAK Baseline (2017) <p><u>Policies:</u></p> <ul style="list-style-type: none"> Significant Policy Change (SPC) on MSS <p><u>Best practice documents:</u></p> <ul style="list-style-type: none"> SEPAKAT
				<p><u>Research and studies:</u></p> <ul style="list-style-type: none"> Study on MSS-based Costing for Education and Health Sectors (2017) Review of Indicators for Village Incentive Funds (Dana Insentif Daerah) (2018) Study on the Identification of Strategic Issues for Regional-based Decentralisation and Autonomy (Inputs to the background study of RPJMN) (2018) Research and studies on Special Allocation Funds (DAK) Research and studies on Special Autonomy Funds (Otsus) in Aceh, Papua and West Papua

KOMPAK Success in 2022	Policy Change	Durable District Change	Models	Baseline Data Source
<p>District government and service units have developed and tested local innovations to improve the accessibility and quality of Maternal Neonatal Child Health (MNCH) and nutrition services</p>	<p>Fulfillment of MSS-health in the 3T region</p>	<ul style="list-style-type: none"> MSS indicator data used to guide local policies, allocation and spending Reduce stunting: Convergence actions Village-based Early Childhood Education and Development (ECED) 	<ul style="list-style-type: none"> Local initiative for health and nutrition Local model for island-based health services Puskesmas Penggerak CSO financing for health services 	<p><u>Data:</u></p> <ul style="list-style-type: none"> KOMPAK Baseline (2017) KOMPAK Longitudinal Study in East Java and NTB (2018) <p><u>Best practice documents:</u></p> <ul style="list-style-type: none"> <i>Perahu sehat, Pulau bahagia</i> (Health services on the boat) in South Sulawesi Bunda text-talk in East Java and NTB <i>Puskesmas Penggerak</i> in Papua and West Papua Puskesmas Accreditation in Bantaeng, South Sulawesi <i>STOP Berduka</i> in Bondowoso, East Java
<p>District government and service units have developed and tested local innovations to improve the accessibility and quality of education services</p>	<p>Fulfillment of MSS-education in the 3T region</p>	<ul style="list-style-type: none"> MSS indicator data used to guide local policies, allocation and spending Institutionalized mechanism for out-of-school children 	<ul style="list-style-type: none"> Local initiative for education improvement <i>Sekolah Penggerak</i> CSO financing for education 	<p><u>Data:</u></p> <ul style="list-style-type: none"> KOMPAK Longitudinal Study in East Java and NTB (2018) <p><u>Best practice documents:</u></p> <ul style="list-style-type: none"> <i>Kelas Perahu</i> (Boat School) in Pangkep, South Sulawesi <i>Saber DO (Sapu Bersih Drop-Out)</i> in NTB <i>Gerakan Kembali Bersekolah (GKB)</i> in Central Java <i>Sekolah Penggerak</i> in Papua <i>GETAR Desa</i> in Bondowoso, East Java

KOMPAK Success in 2022	Policy Change	Durable District Change	Models	Baseline Data Source
District government and service units have improved the accessibility and quality of Civil Registration and Vital Statistics (CRVS) services	<ul style="list-style-type: none"> National CRVS strategy Regulations for strengthening CRVS: <ul style="list-style-type: none"> Village based CRVS Cross sectoral collaboration Fiscal transfer and PFM 	<ul style="list-style-type: none"> Village based CRVS system Simplified civil registry processes Integrated CRVS procedures Clear budget structure and allocation System for population with special needs (Papua and Papua Barat) 	<ul style="list-style-type: none"> 3 models for CRVS: acceleration, outreach, and universal CRVS village facilitators CRVS in Bangga Papua cash transfers program 	<p><u>Data:</u></p> <ul style="list-style-type: none"> CRVS baseline study (2016) CRVS Rapid Assessment West Papua (2018) SUSENAS Data Analysis (2015-2017) <p><u>Best practice documents:</u></p> <ul style="list-style-type: none"> <i>Ojek Kependudukan</i> in Petungkriyono, Central Java <i>Petugas Registrasi</i> Gampong in Aceh <i>Kader Kampung</i> in Papua and West Papua
Sub-district governments can provide effective support to villages and service units to improve services.	<ul style="list-style-type: none"> National regulation on the sub-district Sub-district strengthening adopted as national priority National guidance for village guidance and oversight 	<ul style="list-style-type: none"> Regulation/policy on delegation of authority from Head of District to Head of Sub-District Resources and mechanisms for sub-district to provide service delivery coordination and multi-sector support to villages 	<ul style="list-style-type: none"> <i>Kecamatan</i> strengthening LANDASAN - <i>Kecamatan Penggerak</i> Asymmetric district, sub-district and village facilitation model Clinic consultation (<i>Klinik Membangun Desa</i>) 	<p><u>Data:</u></p> <ul style="list-style-type: none"> Information from most recent district and village scans (2018) KOMPAK Baseline (2017) <p><u>Policies:</u></p> <ul style="list-style-type: none"> Significant Policy Change on Kecamatan Formative research on Kecamatan <p><u>Best practice documents:</u></p> <ul style="list-style-type: none"> <i>Klinik Desa Membangun</i> in East Lombok, NTB (2018)

KOMPAK Success in 2022	Policy Change	Durable District Change	Models	Baseline Data Source
<p>Village governments have skills, mechanisms (including data) and resources (including increased budget allocations) to improve services at village and inter-village levels</p>	<p>Priorities for village funds and village authority</p>	<ul style="list-style-type: none"> Village authority, development of village plans and budgets, village financial management, procurement, priorities for village funds Use of data from village level (SAIK, SID) 	<ul style="list-style-type: none"> Independent learning by village apparatus (PBMAD) SAIK and SAID 	<p><u>Data:</u></p> <ul style="list-style-type: none"> Information from most recent policy reviews for subnational level, village scans, SID mapping, and village budget analysis (2018). SID Mapping Survey on data availability, resource management and use for planning and budgeting (2017) KOMPAK Baseline (2017) <p><u>Best practice documents:</u></p> <ul style="list-style-type: none"> <i>Sistem Administrasi dan Informasi Kampung (SAIK)</i> in Papua,
<p>Communities, especially women, poor and vulnerable taking action to push government and services units to improve the accessibility and/or quality of services</p>	<p><i>Not applicable</i></p>	<ul style="list-style-type: none"> Institutionalized mechanisms for social accountability for health, education and CRVS 	<ul style="list-style-type: none"> Citizen journalism Collaborative monitoring Complaint handling mechanisms <i>Sekolah Anggaran</i> (Budget School) 	<p><u>Data:</u></p> <ul style="list-style-type: none"> Data and information from partner reports 2016-2018 (TAF, Seknas FITRA, IRE, Puskaapa) <p><u>Best practice documents:</u></p> <ul style="list-style-type: none"> Collaborative monitoring in Central Java, NTB, Aceh <i>Sekolah Anggaran</i> <p><u>Research and studies:</u></p> <ul style="list-style-type: none"> Social Accountability and Public Participation to Improve Basic Service in 10 Village in Sub-districts East Lombok, Bireun, Bantaeng, West Aceh, Pekalongan, Pacitan, Brebes and Bener Meriah, (2018).

KOMPAK Success in 2022	Policy Change	Durable District Change	Models	Baseline Data Source
<p>An increased number of women have assumed higher roles of formal responsibility in their village</p>	<p><i>Not applicable</i></p>	<ul style="list-style-type: none"> • Policy and resource allocations supports women's local leadership training to improve village development. 	<ul style="list-style-type: none"> • <i>Akademi Paradigta</i> 	<p><u>Data:</u></p> <ul style="list-style-type: none"> • Data and information from partner reports 2016–2018 (PEKKA) <p><u>Research and study:</u></p> <ul style="list-style-type: none"> • Evaluation / database tracking on Akademi Paradigta Alumnae 2017-2018 • Stories of Change and cadre journals 2016-2018
<p>An increased number of MSMEs, especially those owned by or employing the poor and vulnerable, have increased their productivity and market access</p>	<p>National policy that adopts market linkages approach</p>	<ul style="list-style-type: none"> • Regulations, institutions, guidelines and platforms to increase productivity and market access 	<ul style="list-style-type: none"> • Market linkage 	<p><u>Data:</u></p> <ul style="list-style-type: none"> • Data and Information of user research studies 8 districts <p><u>Best practice documents:</u></p> <ul style="list-style-type: none"> • Market linkages in Pacitan <p><u>Research and studies:</u></p> <ul style="list-style-type: none"> • Enabling and Inhibiting Factors for Sustainable Economic Development: Case Study in 10 Village in Sub-districts of Pacitan, Bantaeng and North Lombok (2018) • Market and Consumer Research for market linkages projects in Pacitan and North Lombok (2018) • Research to Identify Superior Commodities and Relevant Stakeholders Related to Local Economic Development (2018)

Annex 2: Key Outputs 2019 towards Expected Changes in 2022

Fiscal Decentralisation and Public Financial Management

KOMPAK Success 2022	Expected Change 2022	Key Outputs 2019
Local governments have increased allocations and quality of spending to improve access and quality of basic services.	Improved use of inter-governmental transfers to improve access and quality of basic services.	<ol style="list-style-type: none"> 1. Analysis and technical recommendations on performance-based incentives, including Regional Incentive Funds (DID), Village Incentive Funds (DINDA), <i>Badan Penyelenggara Jaminan Sosial</i> (BPJS). 2. Analysis and technical recommendations on monitoring Special Allocation Funds (DAK <i>Fisik</i> and <i>Non-fisik</i>). 3. Analysis and technical recommendations on decentralisation and regional-based autonomy to improve basic services provided for the draft Mid-Term National Development Plan (RPJMN) 2020–2024 background study. 4. Technical recommendations for preparing high quality DAK proposals to improve basic services. 5. Enhanced capacity of local government in preparing high quality DAK proposals (DAK <i>Fisik</i> and <i>Non-fisik</i>).
	Increased capacities to manage local budgets to improve access and quality of basic services.	<ol style="list-style-type: none"> 1. Technical recommendations for improving plans and budget allocations for education, health, and CRVS services, which are based on analysis and results from tested tools (public expenditure analysis PEFA, pro-poor planning and budgeting tools SEPAKAT, and e-planning systems including SIPD and KRISNA). 2. Analysis and technical recommendations on village financial management, within the framework of policy monitoring. 3. Methodology and instruments for service delivery through CSO financing (procurement/ grant mechanism).
	Improved local government capacities for MSS-based planning and budgeting for basic services.	<ol style="list-style-type: none"> 1. Technical recommendations on guidance to local governments for achieving MSS indicators in education and health. 2. Technical recommendations for integrating MSS indicators into regional plans and budgets (including MSS costing). 3. Enhanced capacity of local governments in integrating MSS indicators into regional plans and budgets (including MSS costing) through training and mentoring.
	Increased use of Special Autonomy Funds (Otsus) to improve access and quality of basic services.	<ol style="list-style-type: none"> 1. Analysis and recommendations on national policies related to financing and management of the Special Autonomy Funds (Otsus). 2. Recommendations and policy designs on strengthening implementation and impact of Special Autonomy Funds (Otsus) to improve basic services. 3. Technical assistance on the use of Special Autonomy Funds (Otsus) for social protection of indigenous Papuans (BANGGA Papua).

Health and Nutrition

KOMPAK Success 2022	Expected Change 2022	Key Outputs 2019
Local governments and service units have developed and tested local innovations to improve the accessibility and quality of health and nutrition services.	Improved basic health services in remote areas.	<ol style="list-style-type: none"> 1. Analysis and technical recommendations on the implementation of Ministerial Health Regulation No. 90/2015 on Delivery of Health Services in Remote Areas.
	Improved basic health services for maternal, neonatal, and child health, and stunting reduction.	<ol style="list-style-type: none"> 1. District and village regulations available to improve basic health services for MNCH and nutrition. 2. Mechanisms (strategic plan, technical guidelines, action plan, SOP) to support improved MNCH and nutrition services at the village and sub-district levels. 3. Recommendations on performance-based incentives to strengthen MNCH referral systems. 4. Piloting technology innovations for health services (e.g. drone, mobile app).
	Improved village-level basic health services in Papua and Papua Barat.	<ol style="list-style-type: none"> 1. District policy to improve services for HIV and AIDS, and malaria, through community empowerment.

Education

KOMPAK Success 2022	Expected Change 2022	Key Outputs 2019
Local governments and service units have developed and tested local innovations to improve the accessibility and quality of education services.	Improved access to basic education services in remote and disadvantaged regions.	<ol style="list-style-type: none"> 1. Technical recommendations and analysis on the implementation of policy and regulations to reduce the numbers of out-of-school children. 2. Mechanisms available for planning, budgeting, monitoring, and evaluation to reduce the numbers of out-of-school children.
	Improved access to early childhood education and development (ECED) services.	<ol style="list-style-type: none"> 1. Analysis and recommendations to improve standardised indicators to support implementation of the national action plan on ECED. 2. Technical guidelines on cross-sectoral collaboration, and monitoring and evaluation of ECED services delivery in central and local governments, to support implementation of national action plan on ECED. 3. Recommendations for developing district and village policies and regulations to support ECED services delivery (planning, institutional mechanisms, and budgeting).

Civil Registration and Vital Statistics

KOMPAK Success 2022	Expected Change 2022	Key Outputs 2019
Local governments and service units have improved the accessibility and quality of CRVS services.	More coordinated national policies and strategies, technical guidelines, programs, and activities to strengthen CRVS.	<ol style="list-style-type: none"> 1. Guidelines for CRVS strengthening policies, as informed by models and learning at the local level (village-based civil registration system, use of data from village and sub-district information systems, and increased budget allocations). 2. Guidelines and policies for accelerating coverage of legal identity among populations with special needs, as informed by models and learning in Papua and Papua Barat. 3. Analysis and concept development on the ‘Ease of Being Indonesian’ (EOBI). 4. Midline study to assess the impact of legal identity on health and education services.
	Improved accessibility and quality of CRVS-related services in districts, sub-districts, and villages.	<ol style="list-style-type: none"> 1. Institutionalised sub-national (district/sub-district/village) policies to increase the coverage of legal identity documents and improve the quality of CRVS services. 2. Final design of mechanisms, technical guidelines, systems, and procedures for cross-sectoral coordination (health, education, social, sub-districts, and villages) to increase coverage of legal identity documents and improve the quality of CRVS services. 3. Strengthened capacity of district Civil Registration and Population Administration offices, as well as sub-districts and villages, to plan, budget, and implement CRVS services. 4. Piloting blockchain for cash transfers – legal identity (Papua).

Sub-district and Village Strengthening

KOMPAK Success 2022	Expected Change 2022	Key Outputs 2019
<p>Village governments have the skills and mechanisms (including data) to improve basic services at the village and inter-village levels.</p> <p>Local governments provide effective support to villages and service units (health clinics and schools) to improve basic services.</p> <p>Communities – especially women, and the poor and vulnerable – take action to push government and service units to improve the accessibility and/or quality of services.</p> <p>An increased number of women have assumed higher roles of formal responsibility in their village in KOMPAK-targeted provinces.</p>	<p>An increased role and improved quality of support provided by sub-district and village governments in the provision of basic services.</p>	<ol style="list-style-type: none"> 1. Policy recommendations to Gol related to strengthening village authorities, National Roadmap for integrated village development planning, and a roadmap for village facilitation for improved access to basic services. 2. Recommendations on technical guideline development related to sub-district service innovation and village oversight (<i>binwas</i>). 3. Recommendations to Gol and drafted technical guidelines on the sub-district as the centre for village assistance and empowerment (under MoHA's PKAD strategy: village clinics/PTPD / PbMAD), based on pilot results and learning. 4. Recommendations to inform the Gol's development of technical guidelines on the role of sub-district government in improving basic services, based on local learning and testing. 5. Recommendations to inform the Gol's development of technical guidelines on the role of village government in improving basic services, based on local learning and testing. 6. Village government is using village information systems (SID) for planning of basic services. 7. Sub-district government is using <i>Kecamatan</i> Dashboard for planning and coordinating oversight (<i>binwas</i>) activities related to the provision of basic services. 8. Recommendations for LG drafting of policy on the delegation of authority from the Head of District to the sub-district in the provision of basic services. 9. Recommendations for LG drafting of technical guidelines on cross-sectoral coordination in the provision of basic services. 10. Recommendations for LG drafting of technical guidelines on village authorities in the provision of basic services. 11. Policy recommendations and technical assistance to LGs on implementing data-driven village planning for improved basic services, and to increase public awareness about health and education (MNCH, malaria, HIV and AIDS, and nutrition), and to promote healthy behaviour.
	<p>Improved quality of village financial management, especially in disadvantaged regions (3T).</p>	<ol style="list-style-type: none"> 1. Policy analysis on village financial management in disadvantaged regions (3T).

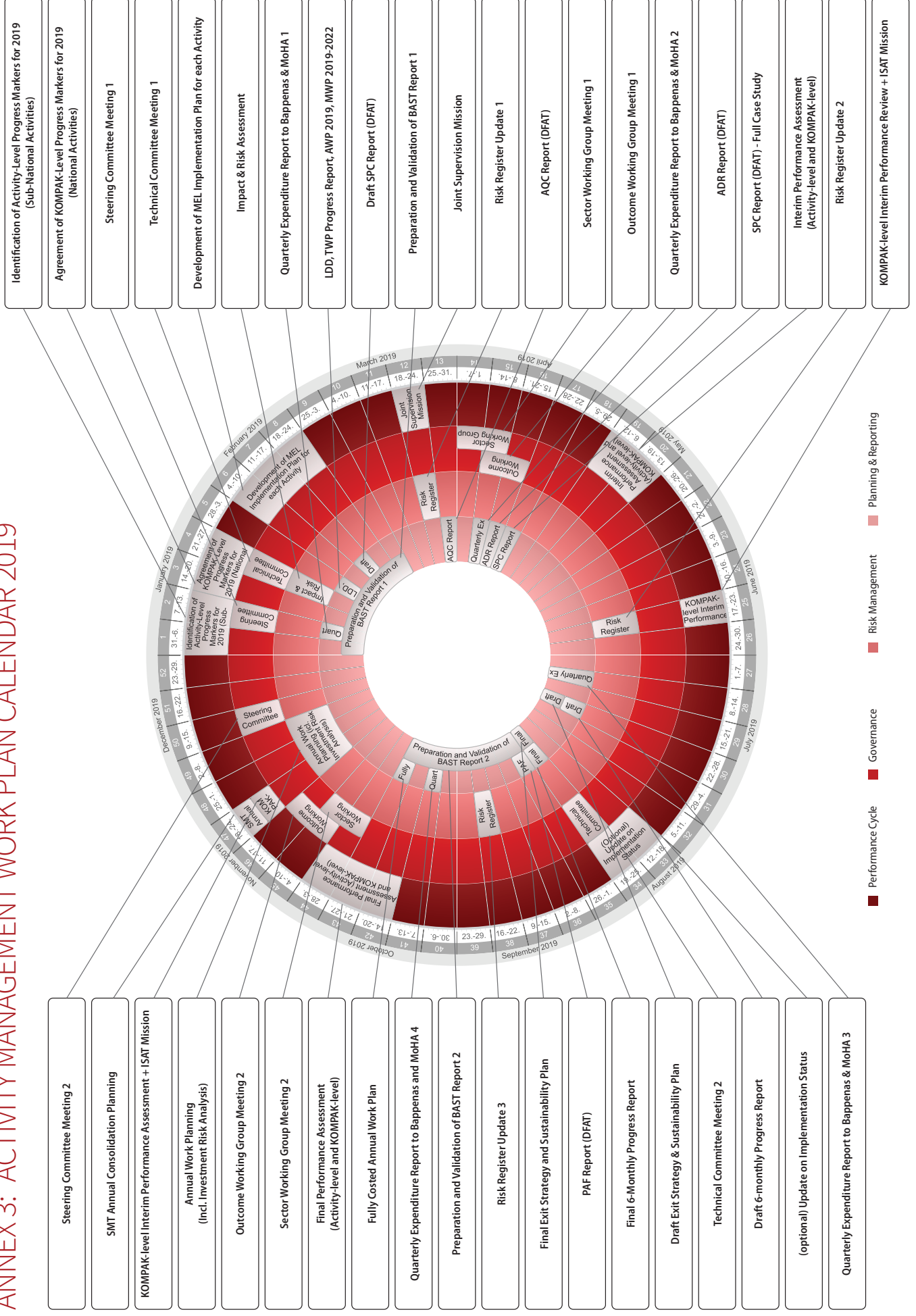
Social Accountability

KOMPAK Success 2022	Expected Change 2022	Key Outputs 2019
Communities - especially women, and the poor and vulnerable - take action to push government and service units to improve the accessibility and/or quality of services.	Collaborative engagement between communities and government for improved basic services delivery, particularly for poor and vulnerable groups.	<ol style="list-style-type: none"> 1. Policy recommendations from pilot testing of community involvement in monitoring the provision of basic services (social accountability tools: collaborative monitoring, complaint handling, inclusive planning and budgeting, school budgeting, and Akademi Paradigta). 2. Piloted social accountability mechanisms that contribute to improvements in access and quality of basic services. 3. Capacity of women's groups to engage in village financial planning and management, especially related to the provision of basic services to poor and vulnerable groups.

Local Economic Development

KOMPAK Success 2022	Expected Change 2022	Key Outputs 2019
An increased number of MSMEs, especially those involving the poor and vulnerable, have increased their productivity and market access.	Enhanced policy and enabling environment for promoting sustainable local economic development through market linkages.	<ol style="list-style-type: none"> 1. Analysis and policy recommendations on sustainable local economic development, using the market-linkages approach. 2. Analysis and policy recommendations for the RPJMN 2020–2024 on improving economic productivity among the poor. 3. A tested market-linkages approach that improves the productivity of the poor. 4. Availability and use of market-linkages guidelines and instruments to promote sustainable local economic development.
	Improved facilitation and support services in strengthening local economic development, especially in accessing markets.	<ol style="list-style-type: none"> 1. Local policy recommendations on sustainable local economic development (including priority commodities and coordination mechanisms), using the market-linkages approach as part of a poverty reduction strategy. 2. Market-linkages approach piloted through platforms and models that are appropriate to the local context in each location.

ANNEX 3: ACTIVITY MANAGEMENT WORK PLAN CALENDAR 2019



Month	Week	Performance Cycle	Governance	Risk Management	Planning & Reporting
December	53	Identification of Activity-Level Progress Markers for 2019 (Sub-National Activities) Responsible: Performance Team Contributors: Implementation Team	Steering Committee Meeting 1 Purpose: Approve MWP 2019-2022, AWP & Budget 2019 Responsible: Governance Team		Quarterly Expenditure Report to BAPPENAS & MoHA 1 Responsible: Operations Team Contributors: Governance Team
January	1				
	3	Agreement of KOMPAK-Level Progress Markers for 2019 (National Activities) Responsible: Executive Team Participates: SMT	Technical Committee Meeting 1 Purpose: Approve detailed AWP & Budget 2019 Responsible: Governance Team	Impact & Risk Assessment Assessment of Impact and Risk (AQ5 and AQ6) for all approved Activities Responsible: Performance Team Contributors: Implementation Team, Operations Team	
	4				
February					LDD, TWP Progress Report, AWP 2019, MWP 2019-2022 Head Contract Deliverables
	6	Development of MEL Implementation Plan for each Activity Responsible: Implementation Team Contributors: Performance Team			Draft SPC Report (DFAT) Responsible: Performance Team
	7		8		

Month	Week	Performance Cycle	Governance	Risk Management	Planning & Reporting
March	9				
	10				
	11				
April	12	Joint Supervision Mission Responsible: Governance Team Participants: GoI and GoA		Risk Register Update 1 Responsible: Performance Team Contributes: Implementation Team, Operations Team	
	13				AQC Report (DFAT) Responsible: Performance Team
	14				
	15		Outcome Working Group Meeting 1 Purpose: Q1 Progress Report, JSM Report, Preparation for ISAT Visit. Responsible: Governance Team.	Sector Working Group Meeting 1 Purpose: Preparation of Q1 Sectoral Progress Report. Responsible: Implementation Team Contributes: Performance Team	Quarterly Expenditure Report to BAPPENAS & MoHA 2 Responsible: Operations Team Contributes: Governance Team
	16				ADR Report (DFAT) Responsible: Performance Team
May	17				SPC Report (DFAT) - Full Case Study Responsible: Performance Team (Note: If Shortlisted)
	18				
	19	Interim Performance Assessment (Activity-level and KOMPAK-level) Responsible: Implementation Team Contributes: Performance Team Proposed Date: 6-17 May			
	20				
	21				

Month	Week	Performance Cycle	Governance	Risk Management	Planning & Reporting
June	22				
	23				
	24				
July	25	KOMPAK-level Interim Performance Review + ISAT Mission Responsible: Performance Team Contributes: SMT, ISAT Proposed Date: 17-21 June		Risk Register Update 2 Responsible: Performance Team Contributes: Implementation Team, Operations Team	
	26				
	27				
August	28				Quarterly Expenditure Report to BAPPENAS & MoHA 3 Responsible: Operations Team Contributes: Governance Team
	29				
	30				Draft Exit Strategy & Sustainability Plan Responsible: Performance Team Due: End of July
August	31				
	32				
	33	(Optional) Update on Implementation Status Purpose: To focus on priority / low-performance Activities Responsible: Implementation Team	Technical Committee Meeting 2 Purpose: Review Progress Output Responsible: Governance Team		Final Exit Strategy and Sustainability Plan Responsible: Performance Team Due: End of August
August	34				Final 6-Monthly Progress Report Responsible: Performance Team Due: End of August

Month	Week	Performance Cycle	Governance	Risk Management	Planning & Reporting
September	35				Preparation and Validation of BAST Report 2
	36				
	37				
	38			Risk Register Update 3 Responsible: Performance Team Contributes: Implementation Team, Operations Team	
October	39				
	40				
	41				Quarterly Expenditure Report to BAPPENAS & MoHA 4
November	42	Final Performance Assessment (Activity-level and KOMPAK-level) Purpose: Review the overall KOMPAK performance in 2019 and prepare for the following year's implementation. Responsible: Performance Team Proposed date: 22 Oct - 2 Nov			Fully Costed Annual Work Plan Due: End of October
	43				
	44		Sector Working Group Meeting 2 Purpose: Q1-Q3 Sectoral Progress Report Responsible: Governance Team		
	45		Outcome Working Group Meeting 2 Purpose: Q3 Progress Report, Preparation for Annual Work Planning 2020 Responsible: Governance Team		
	46				

Month	Week	Performance Cycle	Governance	Risk Management	Planning & Reporting
December	47	<p>KOMPAK-level Interim Performance Assessment + ISAT Mission Responsible: Performance Team Contributes: SMT, ISAT Proposed Date: 18-22 Nov</p> <p>SMT Annual Consolidation Planning Purpose: decide on the focus and priorities for next year's implementation. Responsible: Performance Team Participates: SMT, DFAT Proposed Date: 18-22 Nov</p>		<p>Annual Work Planning (incl. Investment Risk Analysis) Responsible: Performance Team Participates: Implementation Team, Operations Team</p>	
	48				
	49				
	50		<p>Steering Committee Meeting 2 Purpose: Annual Review & AWP 2020 Responsible: Governance Team</p>		
	51				
	52				

KOMPAK

*Kolaborasi Masyarakat dan Pelayanan untuk Kesejahteraan
Kemitraan Pemerintah Australia - Indonesia*