

A U S T R A L I A   I N D O N E S I A  
F A C I L I T Y   F O R   D I S A S T E R  
R E D U C T I O N

Independent Progress Review

*Prepared for*

**AIFDR and BNPB**

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28 March 2012

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**Disclaimer:** The views expressed in the evaluation are those of the author only, and do not represent the views of the Government of Indonesia or the Government of Australia.

### Aid Activity Summary

Aid Activity Name	Australia Indonesia Facility for Disaster Reduction		
AidWorks initiative number	Initiative: INI422		
Commencement date	July 2008	Completion date	June 2013
Total Australian \$	\$59.2 million from AusAID		
Total other \$	\$800,000 from ARC Linkages Program; A\$600,000 from French and Australian Red Cross; other counterpart contributions in cash and kind from BNPB, BMKG, <i>Badan Geologi</i> , LIPI, ITB, NU, Muhammadiyah and Oxfam.		
Delivery organisation(s)	AusAID, BNPB and Geoscience Australia		
Implementing Partner(s)	Regional BPBDs, BMKG, <i>Badan Geologi</i> , LIPI, ITB, NU, Muhammadiyah, ASEAN Secretariat and civil society organisations		
Country/Region	Indonesia and ASEAN		
Primary Sector	Disaster Reduction		

### Acknowledgments

The team acknowledges the support of AIFDR stakeholders in conducting this evaluation – your active contribution as disaster reduction and disaster management professionals, researchers, policy makers, sector leaders and government staff as well as your contribution to independent and frank analysis is appreciated. We also acknowledge support from AIFDR in facilitating logistics and stakeholder meetings for the evaluation – thank you Grace and Anita!

### Authors' Details

To ensure independence this evaluation was implemented by an independent evaluator (John Fargher, Team Leader/Evaluator) and a team comprising BNPB Staff (Berton Panjaitan and Budi Sunarso); Capacity Development/Institutional Strengthening Specialist (Rina Arlianti); a Disaster Management Specialist (Djoni Ferdiwijaya) and the AusAID Indonesia Desk Officer responsible for Disaster Management (Leah Horsfall).

### Disclaimer

The evaluation team leader is the short-term monitoring and evaluation advisor to AIFDR (December 2010 – December 2011). One of the outputs from this work is the AIFDR performance management framework, which was developed with the AIFDR team. This deliberate strategy to strengthen AIFDR performance management through linking good practice monitoring with developmental evaluation is explained in more detail in the evaluation plan presented in Annex 5.

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## Executive summary

### Background

The Australia Indonesia Facility for Disaster Reduction (AIFDR) represents Australia's largest bilateral commitment to disaster management and DRR and is a key part of Australia's development program in Indonesia. The AIFDR is co-managed by AusAID and the Indonesian disaster management agency *Badan Nasional Penanggulangan Bencana* (BNPB). It focuses on enhancing Indonesia's capacity to identify, mitigate and respond to natural disaster risks.

The goal of AIFDR is to "*strengthen national and local capacity in disaster management in Indonesia, and promotion of a more disaster resilient region*". Three work streams and one modality form the basis of the AIFDR: Training & Outreach, Risk & Vulnerability, Partnerships and AIFDR Grants.

The design identified 5 expected outcomes by the end of 2013. These were adapted by AIFDR management to reflect lessons learned since 2009 and now include (see Annex 1):

- **Outcome 1 – Better understanding of risk and vulnerability:** Disaster managers in priority areas of Indonesia and the region have an improved understanding of disaster risk and vulnerability.
- **Outcome 2 – Better able to reduce disaster risk in practice:** Disaster managers and vulnerable communities in demonstration provinces of Indonesia are better prepared to reduce impacts through disaster management planning and practice.
- **Outcome 3 – Partnerships with national and international organisations:** Partnerships enable sustainable disaster reduction in Indonesia and the region.

### Evaluation activities

The purpose of the evaluation mission was to conduct an independent progress review (a mid-term evaluation) of AIFDR. This evaluation tests the hypothesis that AIFDR activities and outputs are progressing towards outcomes that will contribute to the facility goal. The methodology for this evaluation is set out in a detailed plan (see Annex 5) that conforms to Standard 5 (Independent Evaluation Plans) of the AusAID Indonesia Program Monitoring and Evaluation Standards (November 2010 version). The evaluation focussed on three criteria: effectiveness, efficiency and sustainability. In addition the evaluation reviewed evidence for other criteria including relevance, monitoring and evaluation, gender equality and analysis and learning. As a developmental evaluation, the methodology allocated most resources to the three focus criteria that will result in lessons to inform ongoing implementation. This evaluation was conducted over a short time frame with a small team. It is not a scientific evaluation with a counterfactual and randomised sample of beneficiaries. Rather it is a formative and developmental evaluation that seeks to learn lessons from past activities and collaboratively identify opportunities for improved effectiveness, efficiency and sustainability.

### Findings

The evaluation resulted in 5 core findings and 6 recommendations:

#### ***1. Effectiveness will be strengthened with improved governance***

Several GoI stakeholders in the evaluation, including BAPPENAS, BNPB and two science organisations, strongly requested early establishment of the governance arrangements agreed to by GoI and GoA in the Subsidiary Arrangement. A number of GoA stakeholders also identified the need for improved governance arrangements. Current governance arrangements for AIFDR are not good practice and do not provide opportunities for BNPB to see good implementation governance in practice. The Subsidiary Arrangement establishing AIFDR set out good practice governance arrangements including: an Executive Committee comprising BNPB, BAPPENAS, Kemlu, AusAID and DFAT to actively set the strategic direction for AIFDR; an independent Joint Monitoring Group to support performance assessment; and Technical Working Group to support the co-directors in their execution of the strategy set out by the Executive Committee.

The Executive Committee should include GoI and GoA Executing Agencies (BNPB and AusAID) as co-chairs and national stakeholders with a strategic interest in the overall objectives of AIFDR as set out in the Subsidiary Arrangement of July 9, 2009 (and listed above). In addition to the agencies listed in the SA (and above), the evaluation team suggests membership of the Executive Committee be broadened to ensure a balance between policy, science and disaster reduction capacity at national and sub-national levels. The evaluation team suggests membership of the Executive Committee should also include: Indonesian Ministry of Home Affairs (due to its involvement in funding provincial and district disaster management agencies); Indonesian Institute of Sciences (LIPI); *Badan Geologi*; *Badan Meteorologi Klimatologi dan Geofisika* (BMKG); Muhammadiyah and Nahdlatul Ulama. As an agency providing many of the implementation services for AIFDR (under an ROU with AusAID), Geoscience Australia should not be a voting member of the Executive Committee but could be included as an

observer. The AIFDR Co-Directors (as implementation managers) should be non-voting, executive officers to the Executive Committee. AIFDR staff should provide secretariat support to the Executive Committee. The role of the Executive Committee should be to actively set the strategic direction of AIFDR activities, with work plans and activities prepared by AIFDR management and stakeholders responding to that strategic direction. To be effective, the Executive Committee must have genuine control over the strategic direction of AIFDR, including its budget and activities. This means that the Executive Committee is the body that actively sets the direction of the Facility, and that the management of AIFDR implements activities in accordance with that direction. Consistent with good governance everywhere as well as the Subsidiary Arrangement agreed to by GoI and GoA, AIFDR management should not set the strategic direction of the Facility.

**Recommendation 1:** As a result, the evaluation recommends that: With support from BNPB and AusAID, AIFDR should establish good practice governance arrangements consistent with the intent of Clause 7 of the Subsidiary Arrangement – including an Executive Committee and a Joint Monitoring Group. These changes should occur by late 2011 for the Executive Committee to approve the 2012 work plan as early and meaningful engagement of the Executive Committee – including oversight of the AIFDR budget, activities and the design of any subsequent initiative – is essential to AIFDR effectiveness.

## **2. AIFDR is relevant to Indonesia and there are early signs of results and sustainability**

Indonesia ranks 12<sup>th</sup> among countries at relatively high mortality risk from multiple hazards. This and the development impact of natural disasters – something clearly recognised in the AusAID DRR policy – highlight the relevance of investing in DRR. The design of the Facility in early 2009 coincided with preparation of the National Action Plan for Disaster Reduction 2010-2012 and the National Disaster Management Plan 2010-2014. These policies are backed by public sector budget allocations (e.g. national budget allocation to BNPB increased from IDR30.2 billion in 2010 to IDR81.3 billion in 2011, and its staff numbers have increased from 114 in 2008 to 342 in 2011) and implementation of national and regional activities. The Indonesian commitment to DRR was recognised by the United Nations, which awarded the President of Indonesia the first Global Champion of Disaster Risk Reduction award at the 3<sup>rd</sup> Global Platform for Disaster Risk Reduction, in May 2011. Evaluation of the National Action Plan for Disaster Risk Reduction 2006-2009 by BAPPENAS and BNPB identified on-going capacity constraints and the lack of specific DRR budget lines in regional agency budgets. That evaluation made 5 priority recommendations that form the core of the National Action Plan for Disaster Risk Reduction 2010-2012. AIFDR supports BNPB to address these recommendations. On these measures, AIFDR – as it was designed and originally framed in the Subsidiary Arrangement and as it has evolved during 2010 and 2011 – is relevant.

Feedback from senior GoA interviewees in Jakarta and Canberra showed Australia also invested in AIFDR because of the importance it places on the broader relationship with Indonesia and its goal to be a good neighbour in times of need. On measures of contribution to the bilateral relationship, there is not yet evidence that the Facility or its modality have enabled Australia to develop a profile in the DRR and disaster management sector commensurate with the investment.

AIFDR had a complex start that coincided with the early formation of BNPB, the Padang earthquake and then twin disasters of the Mount Merapi eruption and the Mentawai Islands tsunami. This meant that the key AIFDR partner was distracted by disaster response – reducing the capacity of AIFDR to focus on DRR and strengthen the institution. Despite this the Facility proactively initiated practical activities to demonstrate the application of new science methods to DRR. Early outputs were effective. Early risk and vulnerability outputs provided a foundation for initiating a relationship with BNPB and provided stakeholders with confidence to engage further with AIFDR. They also contribute directly to delivery of Outcome 1: Better understanding of risk and vulnerability. The quality of several risk and vulnerability program outputs has been independently verified. For example, the AIFDR-financed initiative to strengthen capacity for national earthquake hazard assessment in Indonesia attracted funding of A\$800,000 from the Australian Research Council Linkages program.

While AIFDR is still young, there are some early signs of sustainability in technical and capacity development activities, although there is not yet evidence that BNPB has strong ownership of key AIFDR activities. The portfolio balance between capacity development, activities led by BNPB and implemented with BPBDs and civil society and activities with science agencies was raised as a concern by several BNPB participants in the evaluation. The BNPB annual priority plan makes it clear that the top DRR priorities for the agency are support to local disaster management agencies and their civil society partners as well as the institutional strengthening of BNPB. The poor communication about AIFDR activities across BNPB directorates and the limited understanding of AIFDR finances in BNPB undermines the ownership that co-management was supposed to ensure. In the last 6 months the way AIFDR activities are selected and implemented has become more demand driven. Given the resources available to BNPB the prospects for sustainability by June 2013 are promising if

AIFDR transitions to new governance arrangements and a portfolio that emphasises capacity development with DRR in practice at local levels.

**Recommendation 2:** As a result, the evaluation recommends that: With reference to Clause 14 of the Subsidiary Arrangement, GoI and GoA should continue implementation of AIFDR from July 1, 2011 to June 30, 2013 subject to effective governance arrangements being established and the strategic direction of on-going AIFDR implementation and the design process for any subsequent initiative being actively driven by an Executive Committee.

### **3. To ensure continued effectiveness AIFDR requires four changes**

Stakeholders from GoI, donor partners and civil society interviewed during the evaluation identified that the flexible and responsive approach used by AIFDR during the first 2 years had benefits and costs. A key benefit of this approach that they identified was effective initiation of the BNPB-AusAID relationship. The costs identified included a fragmented portfolio of activities and outputs that may not all contribute to the end-of-facility outcomes and purpose, and confusion amongst partners about the strategic purpose and direction of AIFDR. This provides a challenge for the strategic direction and management of AIFDR from July 2011 to June 2013. To address that challenge and ensure continued effectiveness of AIFDR requires changes in:

- **A greater focus on development effectiveness of AIFDR activities** – given the capacity development needs prioritised by BNPB and its stakeholders, and consistent with the mid-term review of the Hyogo Framework for Action and the Indonesian progress report on implementing that framework, there needs to be a transition to activities that are designed and implemented with a focus on how they are delivered. Until now, AIFDR has led delivery or management (with the involvement of Indonesian partners) of 56% of activities, while BNPB and other GoI partners are responsible for managing 13.5% of activities, with other development partners managing delivery of the rest. This is not good development practice. To address this, AIFDR needs to focus more on building the capacity of BNPB and its DRR partners to deliver DRR activities and results – and a key part of this will be BNPB taking a stronger leadership role in AIFDR activities. This will mean an increased focus on: tangible DRR outcomes for the poor; greater alignment with Indonesia's DRR plans; improved coordination with other DRR actors; and capacity development for long-term sustainability. This last point will necessitate AIFDR treating every activity as a practical learning opportunity for BNPB staff or their partners. Such a transition will need support from AusAID and BNPB.
- **The way science activities are identified and delivered by AIFDR** – now that BNPB has a clear 5-year plan and produces a program of priorities each year, the Facility should transition to more demand-led work plans that are more aligned with BNPB priorities and better balance resources invested in investigating and addressing the hazard and vulnerability dimensions of risk. DRR policy in Indonesia recognises that disaster risk arises when hazards interact with physical, social, economic and environmental vulnerabilities. Understanding hazard is the first step to analysing risk. AIFDR has effectively contributed to better understanding of earthquake hazard, and volcanic ash hazard. However, to achieve Outcome 1 and contribute to the AIFDR purpose and goal the Facility needs to further support BNPB and its partner organisations to develop a better understanding of social, economic and environmental vulnerabilities and capacities if disaster risk is to be better understood. This finding is reinforced by the Indonesian national progress report on the implementation of the Hyogo Framework for Action (2009-2011), which found that several relevant ministries and agencies have conducted risk mapping and analysis in accordance with their specific tasks and responsibilities. However, some of these hazard analyses are not yet enriched with information on vulnerability and community capacity. AIFDR efforts have not yet addressed this gap meaningfully. A transition to a better balance between analysis of hazard and vulnerability will be enabled by strengthened governance arrangements in the facility.
- **The weighting given to capacity development in the AIFDR portfolio** – this evaluation confirmed that capacity development is a priority constraint for DRR in Indonesia. There are now about 350 personnel at BNPB and with several hundred BPBDs there is a huge number of personnel whose capacity needs to be developed. In addition, the evaluation team found evidence of a need for more general institutional strengthening in BNPB. Improving personnel and institutional capacity requires a strategic and systematic approach. Lessons learned from AusAID and international development research show there are 5 characteristics of an effective organisation (see Chart 3). To strengthen these 5 characteristics in BNPB (and in line with development effectiveness principles) activities supported by AIFDR need to be developed and delivered by BNPB and its partners, rather than being led directly by AIFDR. This builds BNPB capacity to relate to stakeholders needed for effective DRR as well as practical administrative skills. Thus capacity development supported by AIFDR to achieve its outcomes and purpose may focus on a broader range of capacities than those traditionally considered key to disaster management – e.g. financial management skills.
- **AIFDR engagement with the development community in Indonesia.**

**Recommendation 3:** As a result, the evaluation recommends that: Under the active strategic direction of the Executive Committee, AIFDR management and staff should work with BNPB and other stakeholders to develop and actively use a Development Strategy based on the agreed facility logic, goal, purpose and end-of-facility outcomes to communicate the AIFDR strategic direction and inform allocation of AIFDR resources from July 1, 2011 to June 30, 2013. This recommendation should be implemented through 4 specific sets of actions:

- **Recommendation 3a** – the Development Strategy should be developed in draft form by AIFDR management based on strategic direction from the Executive Committee, experience in the past 2 years and anticipated needs in the remaining period of the Facility.
- **Recommendation 3b** – the Development Strategy should be formally approved by the Executive Committee. In approving the strategy, the Executive Committee should consider issues including: AIFDR regional engagement; efficiency of the AIFDR modality; development effectiveness principles; AIFDR portfolio balance and appropriate expertise; AIFDR engagement with development partners; how AIFDR can focus on building partners' capacity; and the AIFDR role in civil-military engagement.
- **Recommendation 3c** – the Development Strategy should be used by AIFDR management to prepare the July 2011-December 2012 and subsequent work plans as 18-month rolling plans, to be reviewed by the Executive Committee each 6 months, so that planning processes, plans and budgets are aligned with the GoI Financial Year and compatible with GoA budgeting requirements.
- **Recommendation 3d** – in preparing 18-month rolling work plans, AIFDR management should integrate gender equality principles, particularly through consideration of gendered vulnerabilities and resilience to natural hazards.

**Recommendation 4:** As a result, the evaluation recommends that: AIFDR management and staff should support BNPB to develop a strategic framework for institutional strengthening and capacity development of BNPB, informed by the capacity assessment and related roadmap prepared by UNDP in 2010. This framework should inform the AIFDR Development Strategy and allocation of resources to capacity building including technical assistance, internships, coaching, mentoring, training and twinning.

#### **4. Efficiency of using time, staff and financial resources**

AIFDR has a dedicated team that uses time efficiently to deliver activities and outputs. As the Facility transitions to an increased focus on development effectiveness and scaled-up activities, the use of time will need to change to support supervision and quality enhancement rather than more direct activity administration. AIFDR manages a fragmented portfolio (e.g. small value procurement accounts for 67% of AIFDR activities by number and 14% by value) using an expensive modality (e.g. almost 40% of total facility costs are disbursed for staff and office costs). A number of GoI interviewees also noted concerns about the cost-efficiency of AIFDR. In light of this, the evaluation team suggests it would be beneficial for the Executive Committee to consider the efficiency of the AIFDR modality – that is, using a large number of international personnel (7 of the AIFDR 20 long term staff) engaged through the Australian Public Service and managed by AusAID to deliver a mix of outputs. For example, it might be the case that efficiency could be improved if the staff and short-term personnel mix was balanced to better reflect development needs and APS staff were used only where they add unique value not available from AusAID contracted advisers (subject to the Adviser Remuneration Framework). This is an efficiency question that is consistent with the Jakarta Commitment to Aid Effectiveness and good management practice.

**Recommendation 5:** As a result, the evaluation recommends that: The Executive Committee should appraise the efficiency of the AIFDR modality to ensure AIFDR resources deliver optimal results that contribute to the Facility purpose and goal. As part of this, the Executive Committee might choose to require AIFDR management to use open market and competitive processes for sourcing expertise to implement AIFDR activities where there are opportunities to source different inputs through contestable procurement processes for goods and services.

#### **5. Use performance information to support management and inform future activities**

There is not yet systematic use of monitoring of management or performance at the whole-of-facility level or in most programs. Management has relied on *ad hoc* reports and informal feedback from program teams to support decision-making. The exception is the Training and Outreach program, which systematically uses performance management tools to evaluate progress and learn lessons from implementation to inform management. The absence until now of effective monitoring means there is no systematic evidence of progress at the activity or program levels. In the absence of this evidence, whole-of-facility monitoring to demonstrate progress towards end-of-facility outcomes is difficult and has not yet been implemented. AIFDR is in the process of starting systematic monitoring from early 2011 at Facility, Program and activity scales. Active implementation of systematic monitoring will inform management, support decisions about allocation of AIFDR resources and inform design of any future activities.



As the largest DRR investment in Indonesia AIFDR has additional responsibilities to engage with donors and focus on aid effectiveness. While many donor stakeholders noted the professionalism and technical knowledge of AIFDR staff, a number commented that they found it difficult to get a holistic understanding of the purpose, aims and activities of AIFDR. AusAID has clearly assigned donor communication and harmonisation roles and responsibilities to AIFDR but little has been done to systematically implement these functions and communicate lessons learned to other AusAID sectoral programs. Despite some informal engagement, AIFDR does not yet systematically use learning from other donors and AusAID programs to inform its initiatives. Proactive engagement with AusAID programs and other donors is likely to identify opportunities for analysis and learning by BNPB and AIFDR staff in complementary sectors (*e.g.* education) or geographies (*e.g.* NTB and NTT).

**Recommendation 6:** As a result, the evaluation recommends that: Under the direction of the Executive Committee, senior BNPB and AusAID staff should work with AIFDR management, GoI partners and other donors to initiate the process to develop a concept note, and if agreed develop a design document, for a DRR partnership to commence after the completion of AIFDR in June 2013. To align with Indonesian and Australian budget planning processes any design process should be well progressed by late 2012.

## Acronyms

ACCESS	Australian Community Development & Civil Society Strengthening Scheme
AIFDR	Australia Indonesia Facility for Disaster Reduction
AIPD	Australia Indonesia Partnership for Decentralisation
APEC	Asia Pacific Economic Cooperation
ASEAN	Association of South East Asian Nations
ATPR	Annual Thematic Performance Review
AusAID	Australian Agency for International Development
BAKOSURTANAL	National Coordination Body for Survey and Mapping
BAPPEDA	Indonesian Regional Development Planning Agency
BAPPENAS	Indonesian National Development Planning Agency
BMKG	Indonesian Meteorology, Climatology and Geophysics Agency
BNPB	Indonesian National Disaster Management Board
BPBD	Indonesian Provincial or District Disaster Management Agency
CBDRM	Community Based Disaster Risk Management
CSO	Civil Society Organisation
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
EC	European Commission
GFDRR	Global Fund for Disaster Risk Reduction
GIZ	German International Cooperation
GoA	Government of Australia
GoI	Government of Indonesia
GREAT	Graduate Research Program in Earthquake and Active Tectonics
HFA	Hyogo Framework for Action
IPR	Independent Progress Report (an AusAID mid-term evaluation)
IT	Information Technology
ITB	Bandung Institute of Technology
LIPI	The Indonesian Institute of Sciences
M&E	Monitoring and Evaluation
MPBI	Indonesian Disaster Management Society
MoHA	Indonesian Ministry of Home Affairs
MTR	Mid-term Review
NGO	Non Government Organisation
NU	Nahdlatul Ulama
ODA	Official Development Assistance
OECD	Organisation for Economic Cooperation and Development
PLANAS	Indonesian National Platform for Disaster Risk Reduction
PNPM	National Program for Community Empowerment
PQR	Performance and Quality Reporting
QAI	Quality at Implementation
R&I	AIFDR Research and Innovation Program
R&V	AIFDR Risk and Vulnerability Program
T&O	AIFDR Training and Outreach Program
TOR	Terms of Reference
UNDP	United Nations Development Program
UN OCHA	United Nations Office for the Coordination of Humanitarian Affairs
WB	World Bank

# 1 Introduction

## 1.1 Background to AIFDR

As one of the most hazard-prone and densely populated countries in the world, with continuing high levels of poverty (around half the population lives on less than US\$2 a day), Indonesia faces a significant risk of loss of life and economic impacts from natural disasters. This is why disaster risk reduction (DRR) is recognised by the Government of Indonesia as one of their top eleven priorities in the Medium-Term Development Plan (2010-2014). In recognition of the impact of disasters on developing economies, AusAID has a DRR policy<sup>1</sup> and growing investments in the sector – rising from A\$40 million in 2008-09 to over A\$59 million in 2010-11.

The Australia Indonesia Facility for Disaster Reduction (AIFDR) represents Australia's largest bilateral commitment to DRR and is a key part of Australia's development program in Indonesia. The AIFDR is co-managed with the Indonesian Disaster Management Agency *Badan Nasional Penanggulangan Bencana* (BNPB) and focuses on enhancing Indonesia's capacity to identify, mitigate and respond to natural disaster risks.

AIFDR has operated since April 2009 and was officially launched by the Australian and Indonesian Foreign Ministers in July 2010. An initiative of the Australian Prime Minister and President Yudhoyono, AIFDR has a budget of A\$59.2 million over 2008-2013. Managed by Australian and Indonesian co-directors, the AIFDR work programs and funding decisions are developed and jointly agreed by AusAID and BNPB. In line with the Jakarta Commitment on Development Effectiveness reporting is in line with the Government of Indonesia's reporting requirements, where possible.

The goal of AIFDR is to "*strengthen national and local capacity in disaster management in Indonesia, and promotion of a more disaster resilient region*". Three work streams and one modality form the basis of the AIFDR:

- **Training & Outreach:** Works with BNPB and local disaster management agencies (BPBD) as well as civil society to develop, standardise and deliver training materials to build the capacity of national and sub-national governments to manage disaster risks. This program also develops materials to promote DRR across Indonesia.
- **Risk & Vulnerability:** Works with Government of Indonesia by facilitating partnerships between Australian and Indonesian scientists to develop and demonstrate risk assessment methods, tools and information for a range of natural hazards.
- **Partnerships:** Supports key risk reduction partners of Indonesia and the Southeast Asia region. By fostering stronger linkages between these partners, this program ensures that the AIFDR adds value to Indonesian and regional efforts to make communities safer.
- **AIFDR Grants (for research & innovation):** A modality promoting a culture of DRR research and innovation in Indonesia and the region, as well as supporting linkages between community and government at national, provincial and local levels.

## 1.2 End of facility outcomes

There is some difference in the expected end-of-facility outcomes (that is the outcomes that management plans to measurably deliver by the end of the facility in June 2013) presented in

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<sup>1</sup> <http://www.ausaid.gov.au/keyaid/disasteriskreduction.cfm>

the *Design* (February 2009) and the *Five-year Outcomes and 2009-2010 Work Plan* (August 2009). The design identified 5 expected outcomes by the end of 2013. These were adapted by AIFDR management to reflect lessons learned since 2009 and now include (see Annex 1):

- **Outcome 1 – Better understanding of risk and vulnerability:** Disaster managers in priority areas of Indonesia and the region have an improved understanding of disaster risk and vulnerability.
- **Outcome 2 – Better able to reduce disaster risk in practice:** Disaster managers and vulnerable communities in demonstration provinces of Indonesia are better prepared to reduce impacts through disaster management planning and practice.
- **Outcome 3 – Partnerships with national and international organisations:** Partnerships enable sustainable disaster reduction in Indonesia and the region.

### 1.3 Evaluation purpose

The purpose of the evaluation mission is to conduct an independent progress review (a mid-term evaluation) of AIFDR. This mid-term evaluation tests the hypothesis that AIFDR activities and outputs are progressing towards end-of-facility outcomes that will contribute to the facility goal. Lessons learned will inform refinement of the facility logic, work plans for the period July 2011 to June 2013, and considerations for future contributions from Australia to Indonesia for DRR.

### 1.4 Methodology

The methodology for this evaluation is set out in a detailed plan, presented in Annex 5, which conforms to Standard 5 (Independent Evaluation Plans) of the AusAID Indonesia Program Monitoring and Evaluation Standards (November 2010 version). Field work investigations for the evaluation were conducted in Indonesia for 2 weeks in June 2011 after 3 days of document review. A developmental approach to evaluation was used as the evaluation team leader was a short-term monitoring and evaluation advisor to AIFDR and so was familiar with the Facility, its team and its core stakeholders. Evidence for the evaluation was obtained through document review, before and after comparisons, semi-structured interviews, field observations, case studies prepared by the team and others, as well as focus groups. Stakeholders from GoI agencies, civil society groups, donor partners and AusAID as well as other Australian government agencies were interviewed in Jakarta, Bandung, Surabaya and Canberra. Evaluation questions are set out in the Evaluation Plan. Triangulation was conducted by asking similar types of stakeholders the same questions and by aligning evidence from documents, interviews and case studies.

### 1.5 Criteria

The AIFDR mid-term evaluation focussed on three criteria: effectiveness, efficiency and sustainability. In addition the evaluation reviewed evidence for other criteria including relevance, monitoring and evaluation, gender equality and analysis and learning. As a developmental evaluation, the methodology allocated most resources to the three focus criteria that will result in lessons to inform ongoing implementation and provide reality-testing.

### 1.6 Limitations

This evaluation was conducted over a short time frame (2 weeks in Indonesia) with a small team (4 core team members and 2 BNPB staff). It was not a scientific evaluation with a counterfactual and randomised sample of beneficiaries. Rather it was a formative and developmental evaluation that sought to learn lessons from past activities and collaboratively identify opportunities for improved effectiveness, efficiency and sustainability. AIFDR started systematic monitoring of its activities in January 2011 and so the evaluation had limited

monitoring data to use. This was offset by some quality activity evaluations conducted for selected activities by AIFDR. More site visits would have helped the evaluation team interpret perceptions and information from interviews, but recent activity evaluations and case studies prepared by AIFDR provided some of this information efficiently and avoided further burden on community and institutional stakeholders. The evaluation team did not have access to all financial and management information so the efficiency criteria was evaluated using industry benchmarks and analysis of the information available.



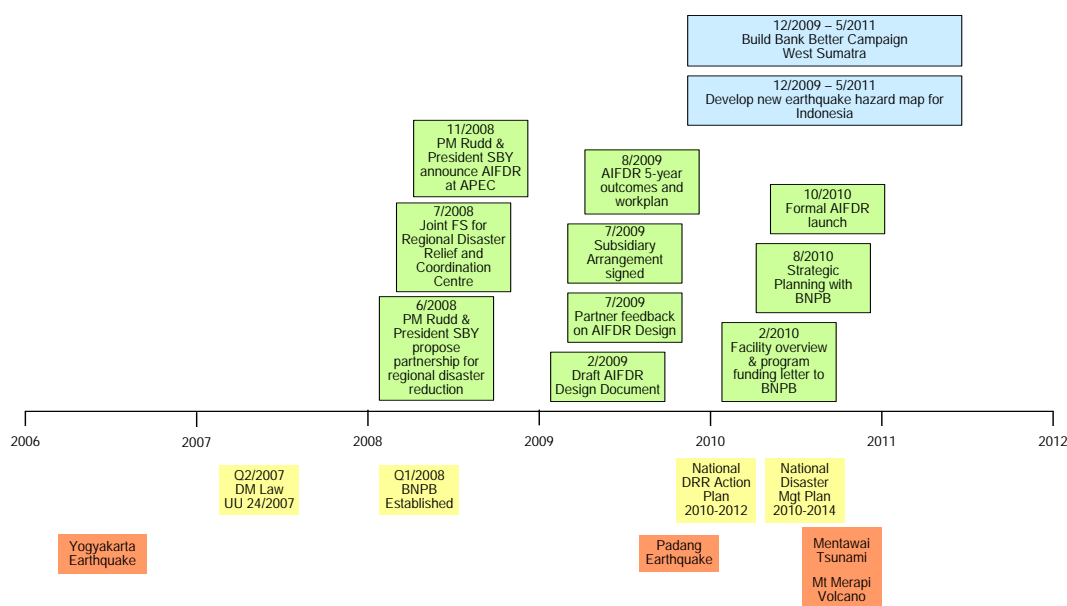
## 2 Evaluation findings

### 2.1 Relevance

Relevance is about whether an initiative is the “right thing in the right place at the right time” to contribute meaningfully to the attainment of higher-level development objectives set out in the policies and priorities of the partner government and the donor. This criterion needs to recognise the social, political, economic and environmental contexts of implementation. Relevance is often more about the original, or amended, design and configuration of a program than the management of implementation.

As shown in the schematic timeline in Chart 1, AIFDR evolved from a political engagement between the leaders of Indonesia and Australia. The design was started after the initiative was announced and the Subsidiary Arrangement under the General Agreement on Development Cooperation between Indonesia and Australia was signed in July 2009 with an initial duration to June 30, 2013.

**Chart 1 : Timeline for the evolution of AIFDR**



The Subsidiary Arrangement established AIFDR as a delivery mechanism for an Australia-Indonesia partnership for regional disaster reduction. Three work streams were identified for the commencement of the Facility:

- **Risk and vulnerability** – contributing scientific tools and expertise necessary to more effectively quantify hazards and compute risk based on exposure and vulnerability.

- **Research and analysis** – contributing analytical capacity through programmed research focused on emerging regional threats in Asia (including climate change, pandemic and food/fuel insecurity).
- **Training and outreach** – contributing high standard professional learning for disaster managers, including scoping tertiary-accredited qualifications.

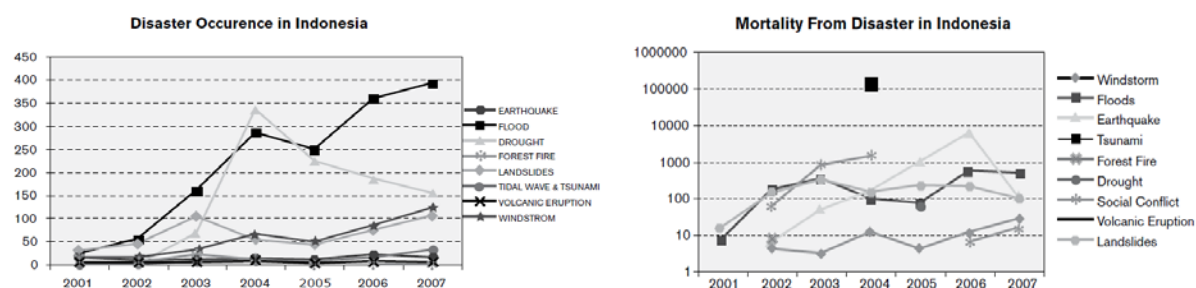
A further work stream, Partnerships, was initiated after the Subsidiary Arrangement, which is intended to identify strategic national and regional disaster reduction partners for Indonesia. The Subsidiary Agreement also committed Australia and Indonesia to working with regional partners to expand the Facility to a centre that would provide higher-level formal training and formal qualifications for regional disaster managers.

Initial discussions between the Indonesian President and Australian Prime Minister in June 2008 that led to the initiation of AIFDR followed promulgation of the National Disaster Management Law in Indonesia (Law Number 24/2007) and coincided with the establishment of the National Disaster Management Agency (BNPB). The design of the Facility in early 2009 coincided with preparation of the National Action Plan for Disaster Reduction 2010-2012 and the National Disaster Management Plan 2010-2014. These policies are backed by public sector budget allocations (*e.g.* national budget allocation to BNPB increased from IDR30.2 billion in 2010 to IDR81.3 billion in 2011, and its staff numbers have increased from 114 in 2008 to 342 in 2011<sup>2</sup>) and implementation of national and regional activities. This focus recognises the vulnerability of Indonesia to natural disasters (see Box 1). This commitment was recently recognised by the United Nations, which awarded the President of Indonesia the first Global Champion of Disaster Risk Reduction award at the third session of the Global Platform for Disaster Risk Reduction in Geneva, Switzerland.

### Box 1 : Natural disasters erode development gains in Indonesia

Over the past 30 years, natural disasters have killed more than two million people, affected more than five billion and caused estimated damages of USD\$1.38 trillion. In 2010, disasters caused an estimated \$109 billion in economic damage – three times that of 2009 (World Bank). According to the international data base (EM-DAT), between the 10-year period 1980-89 and 1999-2009, the number of reported disaster events more than doubled from 1,690 to 3,886 – 45 percent of these were in the Asia Pacific region.

People living in Asia are historically 4-times more likely to be adversely affected by a disaster than those living in Africa – and 25 times more likely than those living in Europe and north America. Indonesia is judged by the World Bank as having high mortality risks from multiple hazards - with 40 percent of the population or more than 90 million people, at risk from natural disasters such as floods and landslides, earthquakes, tsunamis, volcanic eruptions:



Source: World Bank (2010) GFDRR Indonesia Country Program using data from DIBi, BNPB

Natural disasters are inevitable in Indonesia and will, if not planned for in program design, erode development gains. Put another way, investments in disaster risk reduction, disaster preparedness and disaster response are investments in Indonesia sustaining its development gains.

Source: Evaluation team meta-analysis of World Bank and GFDRR data.

<sup>2</sup> BNPB data and Ministry of Finance Central Government Expenditure 2011 pIV-93.

Evaluation of the National Action Plan for Disaster Risk Reduction 2006-2009 by BAPPENAS and BNPB identified on-going capacity constraints and the lack of specific DRR budget lines in regional agency budgets. That evaluation made 5 priority recommendations that form the core of the National Action Plan for Disaster Risk Reduction 2010-2012<sup>3</sup>, which are the same as the five Priorities of the Hyogo Framework for Action (2005-2015):

- determine DRR as a national and regional priority, with strong institutional framework support for the implementation;
- identify, study and monitor disaster risks as well as applying an early warning system;
- leverage knowledge, innovation and education to create awareness, self-safety and resilience against disaster at all levels of community;
- reduce the causal factors of disaster risks; and
- strengthen disaster preparedness at all levels of community for a more effective response.

Indonesia ranks 12<sup>th</sup> among countries at relatively high mortality risk from multiple hazards<sup>4</sup>. This and the development impact of natural disasters – something clearly recognised in the AusAID policy<sup>5</sup> – highlight the relevance of investing in DRR. Investments in DRR, disaster preparedness and disaster response are investments in sustaining development gains.

On these measures, AIFDR – as it was designed and originally framed in the Subsidiary Arrangement and as it has evolved during 2010 and 2011 – is relevant.

The senior Australian public servants interviewed for the evaluation consistently advised that Australia also invested in AIFDR because of the importance placed on the security relationship with Indonesia and the Australian goal to be a good neighbour in times of need. The Subsidiary Arrangement also takes into account the Agreement between Indonesia and Australia on the Framework for Security Cooperation (2006) and recognises that disaster management is a relevant entry point for building relationships that could support civil-military cooperation in times of need. In supporting AIFDR Australia also understood that the Indonesian Disaster Management Law of 2007 makes it clear that BNPB and other GoI agencies will decide which partner countries and civil society organisations will be invited to provide support in response to any disaster in Indonesia. So the relevance of AIFDR also needs to be evaluated against the contribution it has made to the bilateral relationship between Indonesia and Australia and the likelihood that Australia would be amongst countries invited by Indonesia to provide any required support in times of disaster.

On these measures, AIFDR has not yet demonstrated relevance. While a number of stakeholders noted improved Indonesia-Australia relations on disaster response since 2008 – there is not yet tangible evidence that the Facility or its modality have enabled Australia to develop a profile in the DRR and disaster management sector commensurate with the investment. Australia and AIFDR contribute more than 50% of ODA funds for DRR in Indonesia<sup>6</sup> (see Box 6) but Australia is not yet identified by BAPPENAS or BNPB as a lead partner in DRR or the broader sector. This could be explained by the preparation of the National Action Plan for DRR 2010-2012 (by BAPPENAS and BNPB with support from World Bank and UNDP – both inputs co-financed by Australia) and the National Disaster Management Action Plan 2010-2014 (by BNPB) during the AIFDR inception period when there was not yet much information available about AIFDR. The scale of the Australian investment in AIFDR could be expected to result in a prominent mention in the next plans.

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<sup>3</sup> BAPPENAS and BNPB (2010) National Action Plan for Disaster Risk Reduction 2010-2012. BNPB, Jakarta, Indonesia p5-15

<sup>4</sup> World Bank (2005) *Natural Disaster Hotspots, A Global Risk Analysis*. Table 1.2 .Disaster Risk Management Series. World Bank, Washington, DC USA

<sup>5</sup> <http://www.ausaid.gov.au/keyaid/disasteririskreduction.cfm>

<sup>6</sup> World Bank (2009) GFDRR Country Program for Indonesia. Global Fund for Disaster Risk and Response



## 2.2 Effectiveness

Effectiveness compares delivered outputs with the AIFDR purpose and asks *Is the rate of progress demonstrated by the facility sufficient to deliver the outcomes expected to be achieved at the end of the investment period (June 2013)?*

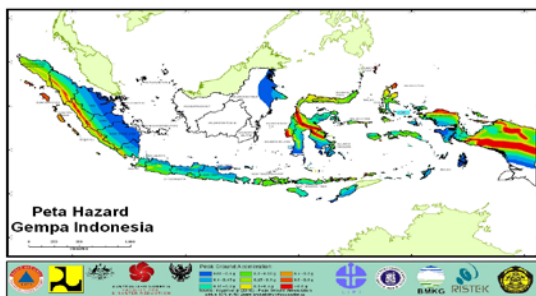
### ***Despite a complex start there is progress towards achieving expected outcomes***

AIFDR had a complex start that coincided with the early formation of BNPB, the Padang earthquake and then twin disasters of the Mount Merapi eruption and the Mentawai Islands tsunami (see Chart 1). This meant that the key AIFDR partner was distracted by disaster response – reducing the capacity of AIFDR to focus on DRR and strengthen BNPB. Despite this the Facility proactively initiated some practical activities to demonstrate the application of new science methods to DRR. Early outputs from the Risk and Vulnerability program include:

- collaborating with *Badan Geologi* to prepare volcanic ash models using open-source software and modelling tools;
- facilitating a collaborative partnership between BMKG, *Badan Geologi*, ITB and LIPI to prepare a national earthquake hazard map that is now being institutionalised by the Ministry of Public Works to inform building codes nationally (Box 2);
- building the capacity of BMKG to develop ground motion models and *Badan Geologi* to undertake probabilistic seismic hazard analyses; and
- supporting the development of a graduate research program for earthquake science at ITB which has already received additional support from the Ministry of National Education.

### **Box 2 : AIFDR facilitated inter-agency cooperation on earthquake science**

Indonesia has more earthquakes than any other country in the world. The map underpinning current building codes in Indonesia is almost 10 years old and does not incorporate lessons learned from recent damaging earthquakes or advances in earthquake hazard science.



AIFDR funded a multi-agency team of Indonesia's leading earthquake hazard scientists (Team-9) to produce a new earthquake hazard map for Indonesia. This support was requested by the Ministry for Public Works in January 2010. The resultant map was endorsed by the Minister for Public Works and will be used to regulate national building codes in the next revision of Indonesia's national standard for earthquake resistant design (SNI 03-1726-2002). It will also serve as a benchmark for future refinement of national and provincial hazard maps.

*Badan Geologi* is the government agency with the mandate for producing earthquake hazard maps. However, the map endorsed by the Ministry of Public Works was produced by a multi-agency team of scientists operating without official endorsement from *Badan Geologi*. AIFDR facilitated a multi-agency partnership to bring together the technical skills in Indonesia required to produce a hazard map suitable for modern building codes. A multi-agency approach is unusual in Indonesia. AIFDR effectively used international good practice science as a catalyst for institutional development through multi-agency cooperation. Future AIFDR activities in this area should focus on building the capacity of mandated government agencies to help them collaboratively develop more scientifically rigorous and accurate earthquake hazard maps. It is an example of good science being used as a means to a development end, rather than as an end in itself.

Source: Case study prepared by AIFDR Risk & Vulnerability team as part of the AIFDR Performance Management Framework.

The quality of several risk and vulnerability program outputs has been independently verified. For example, the AIFDR-financed initiative to strengthen capacity for national earthquake hazard assessment in Indonesia attracted funding of A\$800,000 from the Australian Research Council Linkages program in recognition of the quality of the science being developed with Indonesian partners. Similarly, outputs from the post-disaster survey in Padang were independently reviewed by Risk Management Solutions Inc. with the conclusion:



*The high quality of the post-disaster survey conducted for the 2009 Padang Earthquake puts it on par with the most refined surveys conducted in the rest of the world. The vulnerability of a suite of building types, typical of this region of Indonesia, is very well documented and provides valuable insights for future building code enhancements and enforcement.*

Early risk and vulnerability outputs such as these provided a foundation for initiating a relationship with BNPB and provided stakeholders with confidence to engage further with AIFDR. They also contribute directly to delivery of Outcome 1: Better understanding of risk and vulnerability. For example *Badan Geologi* now uses the approach adopted for the national earthquake hazard map as a foundation for developing downscaled hazard maps in key provinces to enable disaster managers to have an improved understanding of disaster hazard. More importantly at this mid-point, AIFDR now has the relationships and tools to transition to supporting improved DRR practice – to put the good scientific knowledge Indonesia possesses into practice on the ground to save lives, infrastructure and livelihoods.

The importance of this connection – between communities and scientific knowledge – is recognised by AIFDR in its structure. It brings together the three work streams covering both the scientific and cultural aspects of DRR. In coming years, AIFDR should focus on this connection by supporting partners with improved DRR practice. By ‘practice’ we do not mean AIFDR should focus on directly implementing DRR activities in practice itself, but rather focus more on how it can facilitate partners to implement DRR in practice at the sub-national level. This transition for improved sustainability is summarised in Chart 2.

### ***BNPB capacity has increased since 2009***

As demonstrated in the evaluation team analysis of organisational capacity summarised in Box 3, BNPB has increased its capacity to respond to disasters since 2009. Review of the minutes from monthly management meetings and other correspondence between BNPB and AIFDR also demonstrate increased capacity of BNPB to relate to AIFDR and communicate its priorities to influence the activities implemented by the Facility. The evaluation team found no specific evidence that the DRR capacity of BNPB had changed as a direct result of AIFDR.

### **Box 3 : BNPB response capacity has increased since 2009**

	West Sumatra Earth Quake (2009)	Mt Merapi Volcano (2010)
Management of Casualty Figures	Different ministries such as Ministry of Social Affairs, Ministry of Health, etc. published casualty figures	One agency designated for controlling/announcing casualty figures
Inter Ministerial Coordination	Inter-ministerial emergency structure not available in the beginning. Even within BNPB, difficult to identify field focal personnel.	Inter-ministerial emergency structure clearly established and headed by BNPB when the national emergency declaration made.
Roles and Responsibilities	West Sumatra Provincial Government was said to be in charge. No clear role for BNPB until asked to coordinate international support later.	During local declaration, BNPB played supporting role (e.g. providing logistics; technical support to BPBDs). When national declaration announced, BNPB in charge of overall operation.
Data Collection	No sex disaggregated data collected.	Sex disaggregated data collected. Also by age groups, and other vulnerability.
Informational Management	Whiteboard based information management	Web-based/GIS information management launched and managed by BNPB volunteers.
NGO	Local NGOs only invited to the large coordination meeting often hosted by UN	NGO forum formally invited by BNPB to be part of emergency structure. A liaison person

### ***Understanding risk requires hazard and vulnerability information***

Consistent with the Hyogo Framework for Action, and as set out in national policy documents such as the Disaster Management Law, the National Disaster Management Plan 2010-2014 and the NAP-DRR 2010-2012, Indonesia determines disaster risk through understanding hazards and vulnerabilities of communities and government. This policy approach recognises that disaster risk arises when hazards interact with physical, social, economic and environmental vulnerabilities. Disaster managers need the combined knowledge of hazard and vulnerabilities in order to manage disasters and plan systematically and effectively to reduce mortality, loss and damage.

Understanding hazard is the first step to analysing risk. AIFDR has effectively contributed to better understanding of earthquake hazard, and volcanic ash hazard. However, to achieve Outcome 1 and contribute to the AIFDR purpose and goal (see Annex 1) the Facility needs to further support BNPB and its partner organisations to develop a better understanding of social, economic and environmental vulnerabilities and capacities if disaster risk is to be better understood. This finding is reinforced by the Indonesian national progress report on the implementation of the Hyogo Framework for Action (2009-2011), which found that several relevant ministries and agencies have conducted hazard mapping and analysis in accordance with their specific tasks and responsibilities. However, some of these hazard analyses are not yet enriched with information on vulnerability and community capacity<sup>7</sup>. AIFDR efforts have not yet addressed this gap meaningfully.

### ***Effective DRR is delivered by local government-community partnerships***

The Training and Outreach program supports BNPB and its local government and civil society stakeholders to successfully engage with communities. Early activities focus on linking communities and local government for DRR as well as building capacity. They include:

- an assessment of disaster management capacity development needs in 8 provinces;
- the *Rumah Aman Gempa* (“Build Back Better”) campaign to raise awareness and encourage people affected by the Padang earthquake to build back safe houses to reduce vulnerability to future earthquakes;
- evaluation of the *Rumah Aman Gempa* campaign and identifying the importance of cultural diversity in selecting communication methods and theories of behaviour change for DRR in Indonesia;
- supporting dissemination of early science results to disaster managers and civil society – for example the earthquake hazard information for West Sumatra;
- scoping disaster management training and learning centres in selected provinces;
- designing a Disaster Management Training Centre for Padang;
- development of curricula and modules to train local government disaster managers; and
- continuation of the “Building Resilience” Program with Oxfam in eastern Indonesia which supports emergency operations centres and increased disaster response and preparedness in eastern Indonesia by linking local government with local Indonesian Red Cross.

Early training and outreach outputs initiated relationships with BNPB and BPBDs in selected provinces. The activities and evaluations demonstrate the importance of linking communities, local government and BNPB to deliver DRR in practice. While the Training and Outreach portfolio lacks a clear development framework and consistent strategic intent but most activities are likely to contribute directly to delivery of Outcome 2: Better able to reduce disaster risk in practice. A clear development framework and significant allocation of resources to facilitating practical activities with and by partners will be needed for disaster

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<sup>7</sup> BNPB (2011) Indonesia National progress report on implementation of HFA 2009-2011. BNPB Jakarta Indonesia p9.

managers and vulnerable communities in targeted provinces and districts of Indonesia to be better prepared for, and reduce the risks of, disasters by the end of AIFDR.

***AIFDR has initiated national and regional partnerships for DRR***

The Partnerships Program has effectively initiated relationships with ASEAN Secretariat, Muhammadiyah, *Nahdlatul Ulama*, UNOCHA, UN-WFP and others that complement the functions of BNPB. These relationships are starting to contribute to outputs from other programs that will lead to Outcomes 1 and 2. Early activities include partnerships with:

- ASEAN for implementation of the ASEAN Agreement on Disaster Management and Emergency Response (including emergency rapid assessment training and establishing the ASEAN Dialogue Partners Working Group);
- UNOCHA for support to BNPB and regional training in disaster assessment standards;
- PLANAS and BNPB to support the launch of the 1 million safer-schools and hospitals program; and
- Muhammadiyah and NU to scope community engagement and BPBD-strengthening programs in selected provinces.

In addition, the Partnerships program now support activities with Oxfam, Muhammadiyah and NU that specifically build relationships between the community and district governments.

These activities are well coordinated with other AIFDR programs and provide a foundation for a transition to more civil society engagement. However, there is a need for active transition to DRR in practice if partnership outputs are to contribute to Outcome 3: Partnerships with national, community and international organisations enable sustainable disaster reduction in Indonesia and the region.

***The balance between DRR and the broader DRM context***

The complex inception of AIFDR was exacerbated by a newly formed BNPB having to respond to 3 national disasters (Chart 1). This meant that AIFDR had to engage with disaster response in order to initiate a relationship with BNPB. This was effectively done – the relationship with BNPB is strong and growing – but more importantly key response activities were strategically selected to lead to DRR results and relationships. For example, the *Rumah Aman Gempa* (“Build Back Better”) campaign effectively addressed an immediate reconstruction need with a DRR solution. Similarly, AIFDR supported the BNPB response to the Mt. Merapi eruption with volcanic ash modelling skills and anthropological surveys that have the potential to be used for disaster management planning to reduce disaster risks.

***Early AIFDR activities and outputs enabled engagement between AusAID and BNPB***

Donor and UN support for disaster management in Indonesia is crowded and dynamic. For example, excluding reconstruction and humanitarian response there are DRR and related disaster management activities funded by more than 7 donors in Indonesia amounting to more than \$107m of which Australia contributes around \$68m<sup>8</sup> (see Box 6). AIFDR has used a flexible and responsive approach during the first 2 years to build a relationship with BNPB. This was a practical choice that has positioned AIFDR as a respected and successful disaster management partner. In particular, early activities established the technical credibility of AIFDR and this established AIFDR as a space where risks can be taken – where new ideas can be tried and prepared for scale-up if found to be effective – as well as a space where partners could get things done while BNPB was busy responding to 3 national disasters and building its institution. The relationship built with BNPB enabled BNPB and AusAID to engage in the effective joint management of AIFDR from early 2010. This partnership is now starting to mature as both organisations gain confidence with the Facility, its purpose and its potential to

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<sup>8</sup> World Bank (2009) Global Fund for DRR Indonesia Country Program. World Bank, Jakarta, Indonesia.

contribute to DRR in Indonesia. Importantly, the early science contribution from Australia has strengthened relationships between BNPB and several technical agencies that are the source of hazard information.

***Effectiveness will be strengthened with improved governance***

Several GoI stakeholders in the evaluation, including BAPPENAS, BNPB and two science organisations, strongly requested early establishment of the governance arrangements agreed to by GoI and GoA in the Subsidiary Arrangement. A number of GoA stakeholders also identified the need for improved governance arrangements. Current governance arrangements for AIFDR are not good practice and do not provide opportunities for BNPB to see good implementation governance in practice. The Subsidiary Arrangement establishing AIFDR and the design set out good practice governance arrangements including: an Executive Committee comprising BNPB, BAPPENAS, Kemlu, AusAID and DFAT to actively set the strategic direction for AIFDR; an independent Joint Monitoring Group to support performance assessment; and Technical Working Group to support the co-directors in their execution of the strategy set out by the Executive Committee.

The Executive Committee should include GoI and GoA Executing Agencies (BNPB and AusAID) as co-chairs and national stakeholders with a strategic interest in the overall objectives of AIFDR as set out in the Subsidiary Arrangement of July 9, 2009 (and listed above). In addition to the agencies listed in the SA (and above), the evaluation team suggests membership of the Executive Committee be broadened to ensure a balance between policy, science and disaster reduction capacity at national and sub-national levels. The evaluation team suggests membership of the Executive Committee should also include: Indonesian Ministry of Home Affairs (due to its involvement in funding provincial and district disaster management agencies); Indonesian Institute of Sciences (LIPI); *Badan Geologi*; *Badan Meteorologi Klimatologi dan Geofisika* (BMKG); Muhammadiyah and Nahdlatul Ulama. As an agency providing many of the implementation services for AIFDR (under an ROU with AusAID), Geoscience Australia should not be a voting member of the Executive Committee but could be included as an observer. The AIFDR Co-Directors (as implementation managers) should hold non-voting positions on the Executive Committee. AIFDR staff should provide executive support to the Executive Committee. The role of the Executive Committee should be to actively set the strategic direction of AIFDR activities, with work plans and activities prepared by AIFDR management and stakeholders responding to that strategic direction. To be effective, the Executive Committee must have genuine control over the strategic direction of AIFDR, including its budget and activities. This means that the Executive Committee should be the body that actively sets the direction of the Facility, not the management of AIFDR. This is consistent with the Subsidiary Arrangement.

***To ensure continued effectiveness AIFDR requires four changes***

Stakeholders from GoI, donor partners and civil society interviewed during the evaluation identified that the flexible and responsive approach used by AIFDR during the first 2 years had benefits and costs. The benefit of this approach that they identified was effective initiation of the BNPB-AusAID relationship. The costs identified included a fragmented portfolio of activities and outputs that may not all contribute to the end-of-facility outcomes and purpose, and confusion amongst partners about the strategic purpose and direction of AIFDR. This provides a challenge for the strategic direction and management of AIFDR from July 2011 to June 2013. To address that challenge and ensure continued effectiveness of AIFDR requires changes in (1) the development effectiveness of AIFDR activities; (2) the way science activities are identified and delivered by AIFDR; (3) the weighting given to capacity development in the AIFDR portfolio; and (4) AIFDR engagement with the development community in Indonesia (see Section 2.8 and Box 6). These four changes for on-going AIFDR effectiveness are

discussed below, summarised schematically in Chart 2, and inform the recommendations from this evaluation.

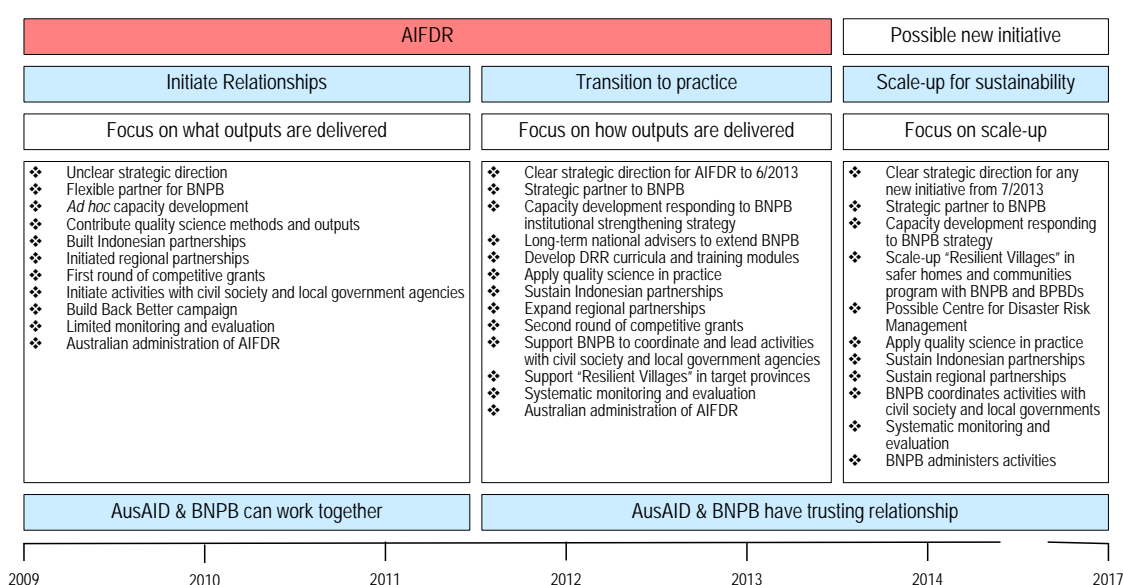
### ***A greater focus on development effectiveness of AIFDR activities***

Most of the initiatives supported by AIFDR have been designed and implemented or managed by AIFDR staff. For example AIFDR is directly delivering or managing delivery with its partners of 56% of current activities, while BNPB and other GoI partners are responsible for managing 13.5% of current activities, with other development partners managing delivery of the rest. This was appropriate to initiate relationships and demonstrate AIFDR technical effectiveness but it weakened development effectiveness because there was less focus on capacity development, change processes and sustainability in BNPB (see Section 2.5).

Given the capacity development needs prioritised by BNPB and its stakeholders, and consistent with the mid-term review of the Hyogo Framework for Action<sup>9</sup> and the Indonesian progress report on implementing that framework<sup>10</sup>, there needs to be a transition (see Chart 2). In the remaining 2 years of the facility, there is an opportunity for activities to be designed and implemented with a development focus on how they are delivered. This would be informed by a development strategy based on the agreed facility logic, goal, purpose and end-of-facility outcomes. A strengthened development focus will mean an increased focus on: tangible DRR outcomes for the poor; greater alignment with Indonesia's DRR plans; improved coordination with other DRR actors; and capacity development for long-term sustainability through delivery by BNPB and other GoI partner organisations. This last point will necessitate AIFDR treating every activity as a practical learning opportunity for BNPB staff or their partners. Such a transition will need support from AusAID and BNPB.

This transition will be enhanced by supporting BNPB to engage with other AusAID programs and their partners (*e.g.* links between the AusAID education program and Ministry of National Education; links between Muhammadiyah Safe Hospitals, the AusAID health program and Ministry of Health; and links between AusAID decentralisation program and Ministry of Home Affairs). A balance between geophysical and socio-economic analysis will also enhance the development outcomes of AIFDR by supporting delivery of DRR in practice.

**Chart 2 : Deliver increased effectiveness through transition to practice**



<sup>9</sup> UN-ISDR (2011) Hyogo Framework for Action Mid-term Review. UN International Strategy for Disaster Reduction, Geneva, Suisse pp22-24, 47, 48.

<sup>10</sup> BNPB (2011) Indonesia National progress report on implementation of HFA 2009-2011. BNPB Jakarta Indonesia pp7, 13-15.

***Future science investments by AIFDR need to be demand-driven***

Because of the complex context at the start of AIFDR, early science activities were appropriately initiated by Australia. More recently, science activities are being initiated by GoI science agencies but BNPB is not always fully engaged and this is a development challenge AIFDR can address. Now that BNPB has a clear 5-year plan and produces a program of priorities each year, the Facility should transition to supporting BNPB and science agencies to develop more demand-led work plans that are better aligned with BNPB priorities. This transition will be enabled by better governance arrangements in the facility.

GoI science and disaster management agency participants in the evaluation as well as UN partners and some AusAID staff clearly valued the science outputs from AIFDR but consistently suggested that future investments should be in applied science with a focus on down-scaled hazard maps for priority provinces and generation of vulnerability information that would support BNPB to strengthen the capacity of provincial BPBDs in targeted provinces. In this way geophysical science and socio-economic research will be applied in practice to support DRR at provincial and district levels.

To provide clarity about the demand for applied science and socio-economic tools and practices, the participants identified above emphasised an opportunity for AIFDR to support BNPB in coordinating thematic meetings with agencies such as BMKG, *Badan Geologi*, LIPI, BAPPENAS and MoHA as well as social science and economic agencies to identify strategic priorities for science activities that add value to other priorities such as local government development, community engagement and socio-economic research.

***Capacity development is central to effectiveness of future investments***

This evaluation confirmed that capacity development is a priority constraint for DRR in Indonesia. It recognised that the other drivers of performance and behaviour change – enablers and motivation are either well addressed (*e.g.* policy and public expenditure allocation enablers) or largely beyond the scope of AIFDR (*e.g.* public agent motivation in the political economy of Indonesia). This is consistent with findings in the Indonesian progress report on implementing the Hyogo Framework for Action and the mid-term review of that framework. For example, because of their recent establishment, many of the human resources at BNPB as well as in BPBDs do not have the competencies required to perform their functions assigned under the Disaster Management Law. Evaluation stakeholders at national, provincial and district levels consistently identified capacity development as a priority need. There are now about 350 personnel at BNPB and with several hundred BPBDs there is a huge number of personnel whose capacity needs to be developed. In addition, the evaluation team found evidence of a need for more general institutional strengthening in BNPB. Improving personnel and institutional capacity requires a strategic and systematic approach. Lessons learned from AusAID and international development research<sup>11</sup> show there are 5 characteristics of an effective organisation (Chart 3). This experience from development practice should inform AIFDR response to the need for capacity development.

To strengthen these 5 characteristics in BNPB, (and consistent with development effectiveness principles) activities supported by AIFDR need to be developed and delivered by BNPB and its partners, rather than being led by AIFDR, to build BNPB capacity to relate to stakeholders (state and non-state, national and sub-national) needed for effective DRR as well as practical administrative skills. As an example of these characteristics in practice, the General Affairs Bureau, responsible for BNPB staff administration and development, identified English training as a top priority for BNPB echelons. This is critical for regional engagement. After that, the

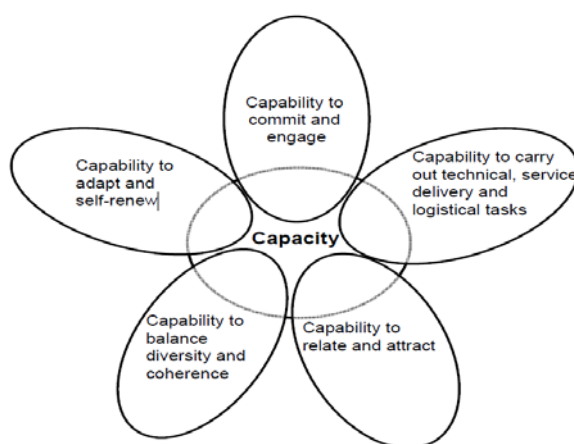
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<sup>11</sup> Baser, H. and Morgan, P. (2008) Capacity, Change and Performance. European Centre for Development Policy Management, Maastricht, the Netherlands.

priority identified was capacity in financial administration and management of state property. Thus capacity development supported by AIFDR to achieve its outcomes and purpose may focus on a broader range of capacities than what are traditionally considered key to disaster management.

In 2009 BNPB requested UNDP to conduct a capacity assessment of the agency. The report was finished in 2010 and has yet to be internally endorsed. The UNDP team proposed a five-year road map for BNPB capacity development with each year concentrating on a different issue: organisational structure (2010), performance management and standards (2011), competency development (2012), development of a communication system in the organisation (2013) and strengthening the organisation (2014)<sup>12</sup>. The roadmap has yet to be translated into operational activities for each year. There is an opportunity for AIFDR to support BNPB to develop a strategic framework for institutional strengthening and capacity development that could be implemented with funding through GoI budgets, AIFDR and other donor partners.

**Chart 3 : Key characteristics of an effective organisation<sup>11</sup>**



BNPB and civil society partners also consistently told the evaluation that capacity building was needed in BPBDs at provincial and district levels. The UNDP team prepared another strategy for the BPBDs which can be used by BNPB to assist local agencies strengthen their capacity. AIFDR does not have the resources to be the only source of donor support to address this need, but it could effectively contribute to achieving Outcomes 1, 2 and 3 by focusing capacity development initiatives in 3-4 target provinces and a selection of their districts.

Chart 4 shows the current allocation of AIFDR resources to each work stream. If personnel costs are allocated to programs the weighting increases significantly for risk and vulnerability. Given the priority identified for institutional strengthening of BNPB and its partners by this evaluation, and the purpose of AIFDR, it is necessary for the Facility to increase total allocation of resources to training and outreach, partnerships and research and innovation to enhance capacity development.

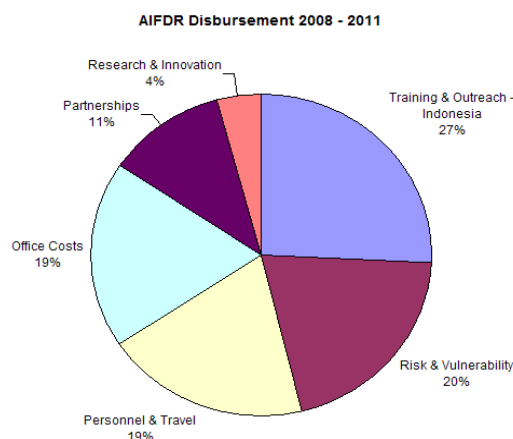
AIFDR has made early steps in this direction, building on clear evidence from the 2009-2011 Indonesian national progress report on the HFA that to achieve DRR outcomes activities should be mostly be implemented with local government and civil society. Activities proposed for the 2012 work plan that should contribute to a transition towards DRR in practice include:

- The proposed deployment of 17 local advisers to BNPB and 4 BPBDs. This is a practical contribution – providing new skills as well as additional resources for on-the-job learning, coaching and mentoring.

<sup>12</sup>Purwono, Achmad and Lincolina F. Soegito. 2010. Final Report. Capacity Assessment & Capacity Development at BNPB. UNDP (page 55).

- Partnerships with NU, Oxfam, Muhammadiyah and the Red Cross to build the capacity of BPBDs, communities and civil society in selected provinces.

#### Chart 4 : AIFDR disbursement needs strategic realignment



- Aligning local level partnerships in selected provinces with the *desa tangguh* (Resilient Village) proposal. This provides an ideal platform to implement a more developmental approach to capacity development.
- Risk modelling internships proposed for 12 BNPB staff for a one year period, with the 3 highest performing interns to be nominated for a Masters scholarship to Australia.
- Completion and delivery of modules to train local government disaster managers.
- Support for graduate research in earthquake and active tectonics at ITB.

To ensure effective transition to an increased focus on development effectiveness and capacity development, there is an opportunity for AIFDR to support BNPB to develop an Institutional Strengthening Strategy that includes a range of capacity development initiatives including technical internships, mentoring, coaching, formal training and on-the-job learning in priority topics to support an effective organisation. This should build on the capacity assessment work done by BNPB with UNDP in 2010 and could be initiated by a visioning exercise with BNPB deputies and senior echelons. BNPB leaders could then select and commit to implementing those components of the 5-year roadmap set out in the UNDP assessment.

## 2.3 Efficiency

Efficiency compares delivered outputs with AIFDR inputs and answers the fundamental questions: *Could the same outputs have been delivered with less inputs? Could more outputs have been delivered with the same inputs?* Four of the five senior BNPB managers interviewed for the evaluation raised questions of AIFDR management efficiency with the evaluation team. Their concern was that the number and cost of resources deployed for management of AIFDR exceeded what they perceived to be needed, resulting in less resources for activity implementation. Those questions of efficiency are normal and healthy ones for management to consider as they execute a strategy and should form part of the mandate of an active Executive Committee (see Section 2.2). The evaluation also examined use of AIFDR time and resources to achieve outcomes. Long term personnel contracts were not evaluated but selected short-term contracts were reviewed and analysed by the evaluation team for fragmentation (Chart 5) and efficiency benchmarks (Chart 6).

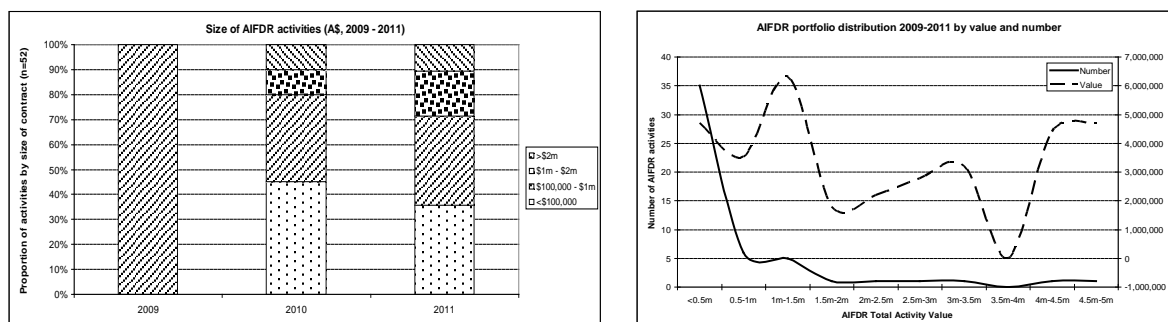
### *Economic efficiency of using public resources*

AIFDR has a large budget – indeed at almost A\$60m over 5 years of implementation it is the most significant investment in the sector by a large margin. Initiatives supported by AIFDR so far are designed to deliver national (*e.g.* national earthquake hazard map and BNPB capacity)



and regional public goods (*e.g.* supporting implementation of ASEAN Agreement on Disaster Management and Emergency Response) and so represent economically efficient use of public funds.

**Chart 5 : AIFDR has a fragmented portfolio that could be managed differently**



Source: AIFDR Activity Portfolio Worksheet (2011) analysed by the evaluation team

### ***Efficiency of using time, staff and financial resources***

AIFDR has a dedicated team that uses time efficiently to deliver activities and outputs. As the Facility transitions to an increased focus on development effectiveness and scaled-up activities, the use of time will need to change to support supervision and quality enhancement rather than more direct activity administration. For example, as AIFDR scales-up in 2012 and 2013 efficiency could be improved if more activities were bundled into programs with outsourced management [deliver more with same inputs]. Some of that is starting to happen (*e.g.* outsourced management of some training and outreach initiatives).

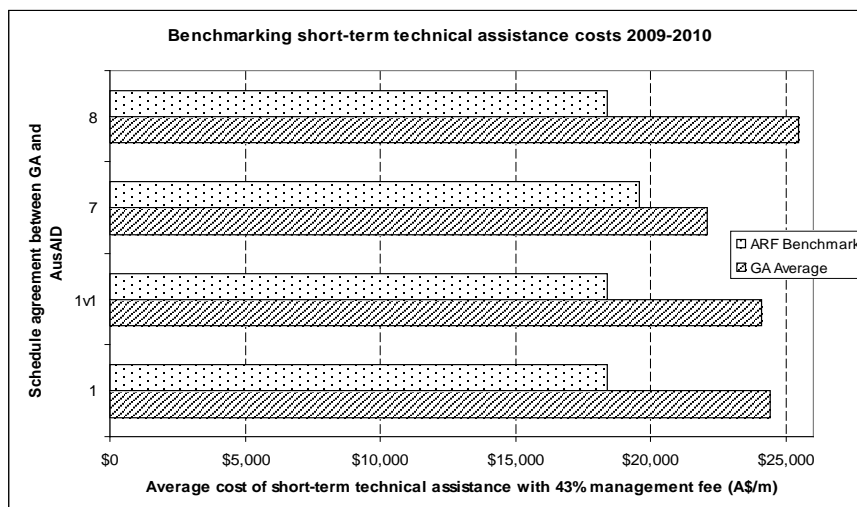
AIFDR manages a fragmented portfolio (*e.g.* small value procurement accounts for 67% of AIFDR activities by number and 14% by value – Chart 5) using an expensive modality (*e.g.* almost 40% of total facility costs are disbursed for staff and office costs – Chart 4). A number of GoI interviewees also noted concerns about the cost-efficiency of AIFDR. In light of this, the evaluation team suggests it would be beneficial for the Executive Committee to consider the efficiency of the AIFDR modality – that is, using a large number of international personnel (7 of the AIFDR 20 long term staff) engaged through the Australian Public Service to deliver a mix of outputs. For example, consistent with the portfolio balance point in Section 2.2 on effectiveness, efficiency could be improved if the staff mix was balanced to better reflect development needs and APS staff were used where they add unique value not available from AusAID contracted advisers (subject to the Adviser Remuneration Framework) [deliver same with less inputs].

AIFDR uses a large number of short term advisers (STA). For example, the risk and vulnerability program used more than 85 person months of STA to June 2011. Evidence from document reviews demonstrate value added by the activities that these STA supported but there is no monitoring evidence of the specific contributions from any of these advisers to development results. This is despite each schedule used to contract the advisers having a robust monitoring and evaluation framework (see Section 2.7).

When benchmarked against the AusAID Adviser Remuneration Framework (ARF), existing schedules for inputs by short term GoA public servants are significantly higher. For example, spatial analysis or programming inputs, which could be obtained from short-term individuals on the open market at ARF rates rather than through public service staff with higher associated costs. The analysis of this by the evaluation team using the information provided by AIFDR is summarised in Chart 6. Given the apparent cost premium involved (Chart 6), the uncontested use of Geoscience Australia (GA) to provide STA should be tested to ensure management efficiency and demonstrate accountability. The evaluation understands that the ARF does not

yet cover Australian Public Servants but there is an accountability and efficiency question that management should address. This is an efficiency question that is consistent with the Jakarta Commitment to Aid Effectiveness and good management practice and should form part of the mandate of an active Executive Committee (see Section 2.2).

**Chart 6 : Short term advisers are relatively expensive**



Source: Schedule agreements between AusAID and GA under Record of Understanding 51172 of 2009.

GA dispute this analysis and believe that they offer competitive short term inputs with a management fee that they calculate is 43% of advisor costs. The evaluation team used a 43% management fee for like-with-like analysis, even though in the AusAID market this is high (the internal AusAID maximum is reportedly 30%). The best way to test the efficiency of sourcing short-term technical advisers is to use the open market and competitive processes wherever possible. These processes should be used to source expertise to implement AIFDR activities selected by the Executive Committee to be consistent with execution of the strategy that they establish. This is what the evaluation team recommends should happen - as the work program matures in 2011/12, there is an opportunity for AIFDR to use market mechanisms for sourcing different inputs to demonstrate to BNPB ways of testing cost effectiveness through contestable procurement processes for goods and services.

***AusAID management modality adds additional costs that reduce efficiency***

AIFDR was established to be managed by AusAID. There are several benefits of this modality – especially given the opportunity to strengthen the bilateral relationship through AIFDR activities. However, because of security and other practical matters outside the control of AIFDR co-managers, the facility incurred additional costs that reduce its management efficiency. For example, the AIFDR office fit-out, excluding IT equipment and branding, cost more than \$2,000/m<sup>2</sup>. For comparison, Interior Contractors and Interior Designers who serve multilateral agencies in Jakarta (*e.g.* World Bank) and multinational corporations (*e.g.* BHP Billiton) advise that because of short lease tenure (typically 5 years, as with AIFDR) multilateral agencies and multinational corporations spend in the order of \$320/m<sup>2</sup> for fit-out (inclusive of IT server, satellite links and branding). This Jakarta benchmark is consistent with the refurbishment fit-out costs for BNPB international adviser work stations, which was less than \$210/m<sup>2</sup>. The AIFDR fit out was paid for with ODA funds and there is no question that less costly alternatives using Indonesian standards such as those employed by the World Bank would have cost much less. On the other hand, the extra costs may be justified because the value of the AIFDR being a Government entity justified additional costs associated with fitting out the office to Australian Government standards. From the evidence gathered in this review, it was not clear to the evaluation team whether any such additional benefits offset the extra costs.

This is an example where an active Executive Committee could make a contribution – by weighing up the costs and benefits of alternatives and agreeing on the strategic solution mutually acceptable to GoI and GoA. More transparency about the full cost of different modalities ensure that BNPB and AusAID can weigh up the benefits and costs of different options and jointly decide the most efficient strategy, which AIFDR management can then execute. This is consistent with the Jakarta Commitment on Aid Effectiveness and will strengthen GoI ownership.

Based on this evidence, the evaluation recommends that the efficiency of the AIFDR modality should be assessed by AusAID in partnership with BNPB to ensure AIFDR resources deliver optimal results that contribute to the Facility purpose and goal.

### ***Delays in AIFDR implementation***

Because of its complex inception (Chart 1) there were delays in AIFDR implementation. Despite this, when the first staff joined in mid-2009 they quickly identified obvious technical gaps and started activities that addressed them to demonstrate what AIFDR could do, build credibility and initiate relationships. This was both effective and efficient.

### ***Risk management approach applied to management of AIFDR***

The AIFDR design does not include a risk matrix but the management of the Facility, its programs and activities applies practical risk management approaches. For example, formal contracting and APS fiduciary controls are applied with all partners. In fact several partners complained that AIFDR used more rigorous contract management systems than AusAID. The evaluation took these comments and the documentary evidence of risk management as evidence of a thorough approach to management of contractual and fiduciary risks.

The Facility also demonstrates effective management of development risk by adopting a practical scoping study approach for work with civil society (Box 4) and proactive support to shortlisted partners competing for small grants managed by the Research and Innovation team. Recent initiatives with faith-based organisations are designed to support BNPB efforts to strengthen BPBDs and their local efforts to build community resilience and demonstrate DRR in practice. These activities, although in their early stages, provide a foundation for results by the end of the Facility that could be taken to scale by new investments after June 2013.

Recognising the new functions of BNPB and the limited capacity of local government agencies and civil society, AIFDR effectively introduced a scoping study phase to refine activity design and initiate relationships before committing to implementation. This also proved to be an effective way of integrating results and lessons from other programs implemented by AIFDR. The scoping process could be strengthened with greater involvement of BNPB staff and local BPBDs and partners in the design of activities. Use of these risk management approaches improves the efficiency and effectiveness of AIFDR investments in partnerships.

### ***Risks to achievement of end-of-facility outcomes***

Risks to the achievement of end-of-facility outcomes and purpose faced by AIFDR include:

- **Competing demands for time of senior BNPB leaders** – AIFDR is co-managed by AusAID and BNPB. BNPB is a rapidly growing organisation that must respond to disasters as they happen. As the first 2-3 years of AIFDR implementation demonstrate, a disaster significantly reduces the time senior BNPB leaders have for AIFDR management. This reality is outside the control of AIFDR and is influenced both by the political economy of Indonesia as well as the practical reality of disaster management. AIFDR can reduce the impact of this risk by (1) establishing governance and planning arrangements that allow BNPB leaders to help set the strategic direction of AIFDR (see Section 2.7); (2) continuing to use AusAID resources for the administration of AIFDR while BNPB builds capacity to lead DRR in Indonesia; (3) increasing the engagement of BNPB in implementation of

activities identified from their annual priority plan; and (4) continuing to engage BNPB through formal management meetings.

#### **Box 4 : Scoping studies efficiently improve quality to reduce risk**

The BNPB 2010 Priority Work Plan included engagement with faith-based organisations to support community preparedness. While Australia had existing relationships with such organisations for community disaster management projects, the activities had not engaged GoI. AIFDR introduced a new approach to facilitate relationships between BNPB and these faith-based organisations, as well as identify new programs that support BNPB objectives for community resilience and build on the strengths of faith-based organisations such as Muhammadiyah and Nahdlatul Ulama.

Drawing on existing Australian relationships AIFDR organised the first-ever roundtable between high-level representatives from BNPB, NU and Muhammadiyah in May 2010. This provided BNPB an opportunity to share its aspirations for community outreach, as part of its functions under the Disaster Management Law 24/2007, with the two largest faith-based organisations in Indonesia.

To support NU to develop a proposal to address the community engagement needs of BNPB, as well as continue building NU capacity in community preparedness, AIFDR developed a 'scoping mission' model. This enabled NU to draw on their strength as a large organisation built on oral-traditions, strong hierarchy and local networks, to design an activity to deliver community disaster preparedness through strong community and local government engagement. The scoping mission provided the time (July-October 2010) and resources (\$50,000) for NU to: (1) Develop a new partnership with BNPB; (2) Identify local enthusiasm for change; (3) Analyse data and information; and (4) Build internal NU capacity. At the end of the scoping mission, NU presented BNPB and AIFDR with a 3-year \$2.2 million program called "Advocacy in Disaster Management Institutions in 8 Districts, East Java". The proposal was a strong one built on analysis, good linkages between the local government and BNPB for UU24/2007, and an understanding of the unique disaster management needs of each district. The proposal was a partnership between AIFDR, BNPB, NU and 8 Districts in East Java aimed at achieving 3 outcomes: 1) Local disaster regulation/law; 2) Local disaster budgets and plans; 3) Linking BPBD and communities together to establish the disaster plan.

The Scoping Mission model allowed for early analysis of the disaster management context in each district (for example some districts in East Java were not selected because of corruption charges or little political buy-in), and ensured that LPBI-NU designed a large program that had BNPB engagement and support from the start. This model will now be applied to engagement with the other large faith-based organisation, Muhammadiyah.

Source: Case study prepared by AIFDR Partnerships team as part of the AIFDR Performance Management Framework.

- **Fragmentation of effort** – to achieve its end-of-facility outcomes as well as to make a contribution to its goal AIFDR needs to transition to supporting DRR in practice. For this to have impact and provide a foundation for scale-up after June 2013, the activities need to be focussed in 3-4 targeted provinces and a selection of their districts. This is a strategic decision to be made by Government of Indonesia with input from Australia. Complementary Australian initiatives such as AIPD, ACCESS and the Education Partnership may increase aid effectiveness by integrating DRR into existing relationships.
- **Variable development effectiveness** – many AIFDR activities lack a development rationale that links them to the facility logic or a theory of change for DRR in Indonesia. This increases the risks arising from fragmentation because it uses resources that are less likely to contribute to AIFDR outcomes or purpose (*e.g.* some of the earthquake science activities and the focus on hazard rather than vulnerability are not well aligned to BNPB priorities). The proposed transition to a focus on DRR in practice (Chart 2) will be more effective if AIFDR develops a development strategy that provides direction for partners and activities under implementation and ensures alignment with national and BNPB plans.
- **Confusion caused by competing hazard methodologies** – as BPBDs develop their capacity and demand down-scaled risk maps at provincial scale, there is likely to be more than one methodology introduced. This has already started with UN hazard mapping of Aceh and Maluku planned for 2011-12. AIFDR could manage this risk by supporting BNPB to engage with GoI agencies such as BAKOSURTANAL and BAPPENAS as well as donor and UN partners to harmonise approaches to national and local risk mapping.

- **Ineffective capacity development approaches** – the evaluation received clear and consistent evidence from all stakeholders that the priority for BNPB and its partners at provincial and district levels is capacity development. As the UNDP experience with the 2010 BNPB capacity assessment demonstrates, this is a complex development task made more complex by the context – a new organisation actively managing several disasters very early in its establishment. As the largest ODA investment in the sector AIFDR has an added responsibility to ensure that its approach to capacity development will make a measureable contribution to the outcomes and purpose of the Facility. One way to manage this risk is to support BNPB to develop a capacity development strategy and then re-allocate AIFDR human and financial resources to respond to that strategy where expected outputs would clearly contribute to AIFDR outcomes and purpose.

## 2.4 Impact

AIFDR has been under active implementation for less than 2 years, so impacts are not expected yet. Despite this Chart 7 summarises some early signs of impact. In addition, AIFDR has delivered some unexpected impacts such as formal collaboration between four GoI science organisations that used not to work together.

## 2.5 Sustainability

Sustainability compares stakeholder needs and planned outcomes with the goal by answering the fundamental questions: *Do Indonesian government institutions participating in AIFDR have the capacity, resources and commitment to continue activities independently after the end of AIFDR?* and *Do community participants have the capacity, resources and commitment to continue activities independently after the end of AIFDR?*

### ***Ownership, capacity and resources to maintain AIFDR outcomes***

Although AIFDR is still young, there are some early signs of sustainability in technical and capacity development activities:

- Institutional arrangements are in place to sustain key institutions: the National Disaster Management Law in Indonesia (Law Number 24/2007); the National Disaster Management Agency (BNPB); the National Action Plan for Disaster Reduction 2010-2012 and the National Disaster Management Plan 2010-2014.
- BNPB stakeholders interviewed for the evaluation perceived that the budget allocation and staff numbers assigned to BNPB are approaching sustainable levels for its functional assignment under the Disaster Management Law. For example national budget allocation to BNPB increased from IDR30.2 billion in 2010 to IDR81.3 billion in 2011, and its staff numbers have increased from 114 in 2008 to 342 in 2011<sup>13</sup>. The BNPB officials also noted that many new staff are unfamiliar with disaster management and require significant capacity development – further reinforcing the need for AIFDR to focus on this aspect of development cooperation.
- *Badan Geologi* now independently produces volcanic ash models with the open-source software introduced by AIFDR, although still with the computing resources at AIFDR.
- BMKG independently produces Shakemaps with their own resources.
- The GREAT program supported by AIFDR is in the process of being accredited under the Ministry of National Education (MoNE). In addition, MoNE has committed funding for 10 PhD students under the program. Two MSc students are supported by the private sector. This compares with 4 students supported by AIFDR in the first program semester.
- The Muhammadiyah safe hospitals (HOPE) program will scale-up with support from Australia and its own resources.

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<sup>13</sup> BNPB data and Ministry of Finance Central Government Expenditure 2011 pIV-93.

Scientific agencies such as *Badan Geologi*, BMKG, ITB and LIPI made it clear to the evaluation team that they had strong ownership of the hazard mapping activities and their outputs. The evidence for this includes the points above and proposed investments by BMKG to adopt AIFDR computing standards with their own resources.

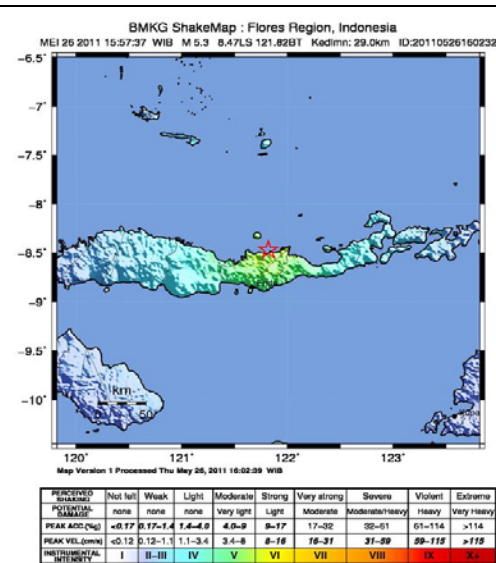
### Chart 7 : Early impacts of AIFDR activities

AIFDR supports Oxfam and its local partners to implement the Building Resilience Program with Community Organisers and Village Preparedness Teams of 105 villages in 16 districts and 6 Provinces of Eastern Indonesia. For example, students of *Lebao Tanjung* elementary school Waibao Village East Flores learn about natural disasters including what they should do during an earthquake, as this is one of the hazards they face. The image left shows some students being trained in first aid so they can help their injured friends during a disaster. As they said:

*We have a school map. If disaster strikes we know what to do. We are happy to have the simulation. We also can help friends who become victims*

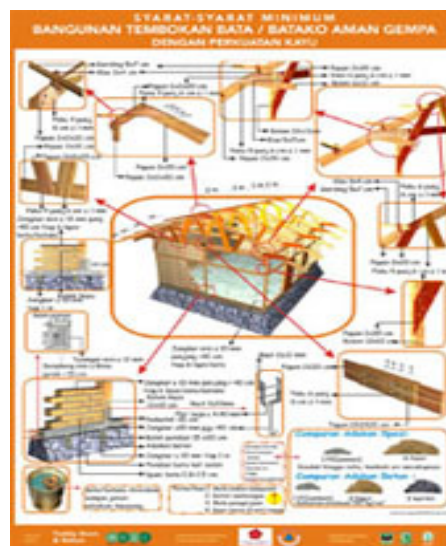


(Photo: Magda Rianghepat/YPPS)



A challenge for BNPB following an earthquake is to determine the required response. This needs an understanding of the number of people killed and injured and the number of buildings damaged. It is difficult to get "on-the-ground" information of these impacts soon after an earthquake. However, advances in earthquake science have led to tools that can produce near real-time maps of estimated impact of an earthquake that can inform planning before reports come from the field. BMKG is responsible for monitoring earthquakes in Indonesia and producing impact maps for BNPB. AIFDR supported BMKG to improve their systems and processes for producing impact maps. As a result BMKG now produces ShakeMaps and provides these to BNPB. For example, on May 26, 2011 BMKG independently produced the ShakeMap shown and provided it to BNPB within minutes of the earthquake occurring. These maps help BNPB to quickly identify communities most likely to be impacted, determine response priorities and provide information to the government and public. By informing timely and appropriate response, the capacity developed with AIFDR support will impact the lives of thousands of Indonesians affected by earthquake.

AIFDR financed a public education campaign in areas of West Sumatra affected by the Padang earthquake in 2009. The aim of the campaign was to raise awareness and encourage people to build back safe houses to reduce their vulnerability to future earthquakes. Evaluation of *Rumah Aman Gempa* (Build Back Better – see Box 5) found that the Campaign reached 33% of the target population (233,000 heads of household out of a possible 710,000 in the focus area) and influenced the construction of 22,000 houses. 67% of respondents identified that their house is not strong enough to withstand an earthquake and 68% of respondents identified at least 3 of the 6 building techniques to build back an earthquake safe house. However, of those who had access to technical information from the Campaign, only 3.2% applied 3 or more earthquake safe construction techniques. In short, the Campaign helped people know what to do but it did not change how many reconstructed their house.



Source: Case study prepared by evaluation team from case study information provided by Oxfam, R&V team and T&O team.

However, there is not yet clear evidence that BNPB has strong ownership of key AIFDR activities. The portfolio balance between capacity development, local level activities with BPBDs and civil society and activities with science agencies was raised as a concern by several BNPB participants in the evaluation. The poor communication about AIFDR activities across BNPB directorates and the limited transparency about financial matters undermines the ownership that co-management was supposed to ensure. The BNPB annual priority plan makes it clear that the top DRR priorities for the agency are support to local disaster management agencies and their civil society partners as well as institutional strengthening of BNPB. In the last 6 months the way AIFDR activities are selected and implemented has become more demand driven. For example, the 2011 annual planning process was more responsive to activities initiated by BNPB through its priority plan.

Given the resources available to BNPB, if AIFDR transitions to new governance arrangements and a portfolio that emphasises capacity development with DRR in practice at local levels then the prospects for sustainability by June 2013 are promising.

### ***Disaster Risk Reduction is sustainable development***

Often DRR is categorised as being simply a humanitarian or disaster management issue. However, reducing vulnerability and building resilience – key elements of DRR – are simply part of sustainable development. As one evaluation participant in Lamongan District noted, they had been doing DRR as part of community development long before it was called DRR. Integrating DRR into broader development programs – for example, in education, infrastructure and health – helps protect development gains from future devastation. As President Carlos Flores of Honduras said after Hurricane Mitch:

*We lost in 72 hours what we have taken more than 50 years to build*

In recognition of this, one BNPB role is to coordinate DRR across GoI agencies. AIFDR can influence sustainability by developing BNPB capacity to relate to other agencies and organisations through its unique links into both BNPB and AusAID. Using these links will help foster connections between BNPB and (through AusAID programs) other GoI agencies such as the Ministry of National Education, Ministry of Public Works and Ministry of Health.

The function for AIFDR is consistent with the facility purpose and outcomes and is consistent with agreed AusAID division of roles and responsibilities between AIFDR and DRU, in which the Facility has responsibility for implementing AIFDR activities and the following<sup>14</sup>:

- **Community based disaster risk reduction** - including programs that engage with civil society (Muhammadiyah, NU and Oxfam); GoI; and multilaterals (UNOCHA, UNDP, WB, International Federation of Red Cross) and related responsibilities for liaison with these organisations.
- **Disaster preparedness** – including work with DRU and Canberra to ensure regional response mechanisms are engaged.
- **Integration of Disaster Risk Reduction within the aid program** – including communication and coordination to support effective whole of government integration of DRR in Indonesia. The Facility will also lead on donor coordination, DRR integration and the relationship with BNPB (excluding the emergency management pillar).

### ***AIFDR activities that are clearly not sustainable***

The evaluation found no examples of clearly unsustainable activities in AIFDR. Some activities face institutional resistance from BNPB – e.g. the World Food Program (WFP) Logistics and Telecommunications Partnership – but these are being actively managed for results and are compounded by delivery issues from AIFDR partners such as WFP.

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<sup>14</sup> June 30, 2010 email from AusAID Minister Councillor to AusAID DRU and AIFDR.



A majority of GoI science institution stakeholders interviewed for the evaluation raised concerns about the sustainability of the AIFDR modelling computer resource that underpins risk and vulnerability modelling and analysis by AIFDR and its partners. Several of these partners (especially *Badan Geologi*) access this computer resource to enable them to conduct hazard analysis for BNPB and other stakeholders. This computing resource is currently located in and managed by AIFDR without any counterpart arrangements. This arrangement is not sustainable – it highlights the importance of addressing aid effectiveness in design and inception as well as implementation. AIFDR management should develop a transition to sustainability for this resource that includes (1) where the equipment will be housed after June 2013; (2) who will have custody of the equipment and its data sets – including the insurance, operation and maintenance costs; and (3) the capacity to be developed in 2012 and 2013 so that the IT equipment and systems can be sustained after AIFDR completion in June 2013.

## 2.6 Gender equality

AIFDR has recruited a balanced team: half the program managers are women and 10 out of 17 core staff are women. Despite this good foundation, AIFDR activities do not yet mainstream gender or consistently contribute to gender equality.

### *The AusAID gender stock take identified AIFDR as underperforming in gender*

AusAID conducted a stock take of gender across the Indonesia program in 2010. It found that AIFDR has a gender balanced team but awareness on gender issues is not yet consistently applied. The stock take recommended that this weakness be addressed by internal capacity development activities. One session was held in October 2010 on gender and disaster. The detailed findings of the stock take reinforce the need for increased focus on the development dimensions of AIFDR activities and outputs: aid effectiveness, efficiency, sustainability, gender equality and monitoring. Recent work on gender and monitoring with Muhammadiyah and NU demonstrate what is possible across the wider AIFDR program.

### *Beneficiaries of AIFDR interventions*

The immediate beneficiaries of most AIFDR activities have been government staff and civil society groups who have disaster management and DRR functions under GoI policy. Some recently started activities will directly benefit women and men in communities (e.g. Oxfam and NU activities in eastern Indonesia) – but there are few sex-disaggregated monitoring data to demonstrate this. Oxfam is the exception, as demonstrated below. The ultimate beneficiaries of most activities will be women and men vulnerable to the hazards being addressed by AIFDR – especially earthquake, tsunami and volcanic eruption. For example, the *Rumah Aman Gempa* Campaign reached 33% of the target population (233,000 heads of household out of a possible 710,000 in the focus area) and influenced the construction of 22,000 houses (Box 5).

### *AIFDR contribution to gender equality and poverty targeting*

AIFDR has not yet made a deliberate contribution to gender equality and poverty targeting. However, the *Rumah Aman Gempa* evaluation demonstrates the importance of socio-economic drivers of DRR and this provides lessons that should inform the portfolio balance of AIFDR for the last 2 years of implementation.

The Oxfam “Building Resilience” activity is a good example of gender-sensitive development. The activity works with Community Organisers and Village Preparedness Teams in 105 villages in 16 districts and 6 Provinces of Indonesia (see Chart 7). Of the 374 Community Organisers reported by Oxfam, 159 or 42.6% are women<sup>15</sup>, a significant achievement given the geographies covered. As at April 2011 Oxfam reported that 3,263 village people are members

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<sup>15</sup> AIFDR (2011) Mid-term evaluation of Oxfam Building Resilience Program. AIFDR, Jakarta Indonesia. P12



of village preparedness teams of whom 892 are women (27%). However, evaluation of the activities highlights variable gender performance of the Oxfam activity. For example, partners in Lombok and Sumbawa, parts of Flores and in Jayawijaya have operated a strict 50% policy. The small programs in Sulawesi have a majority of female Community Organisers. There has been some difficulty in this in Timor Tengah Selatan (TTS) and Timor Tengah Utara (TTU) where 21% of organisers are women and where Oxfam tracking sheets indicate that 9 of 14 villages do not have female organisers – perhaps because access to villages is very tough. These Oxfam data are a rare example of robust and gender disaggregated data to inform management of gender equality in AIFDR. Generally, beneficiaries of training activities have not been adequately monitored until recently, so gender disaggregated data are not available for activities conducted to end 2010.

During the Mentawai Islands tsunami and Mount Merapi volcano responses in 2010, AIFDR supported the addition of a gender in emergencies specialist to conduct gender-specific assessments as part of the overall AusAID response. The results of this study – which found low levels of gender balance in response in the Mentawai Islands compared to encouraging gender balance in response in Yogyakarta and Central Java – were shared with AusAID internally and with BNPB. In addition, training on gender and disasters is part of the core training in the NU and Muhammadiyah programs (*e.g.* AIFDR is working with NU to develop specialised gender and disaster training packages). AIFDR is demonstrating a recent focus on gender in DRR through these two partnerships.

### ***How AIFDR could better support gender equality***

In its first 2 years of implementation AIFDR has committed few resources to gendered vulnerability research or other gender equality initiatives. Some recent activities may address this gap (*e.g.* the UGM anthropological research around Mount Merapi and the Oxfam Building Resilience activity). Mainstreaming gender is a development priority that is consistent with DRR. Lessons learned from the mid-term review of the Hyogo Framework for Action<sup>16</sup> highlight the importance of community women's groups for sustainable DRR.

There is an opportunity for AIFDR to complement its good practice geophysical science with additional research and practice focused on the gender disaggregated social and economic drivers of DRR. This could support BNPB to engage with existing sources of vulnerability information (*e.g.* Ministry of Agriculture 2009 Food Security and Vulnerability Atlas).

## **2.7 Monitoring and evaluation**

### ***Use of monitoring and evaluation to inform management***

There has not yet been systematic use of monitoring of management or performance at the whole-of-facility level or in most programs. Management has relied on *ad hoc* reports and informal feedback from program teams to support decision-making. The exception is the Training and Outreach program, which systematically uses performance management tools to evaluate progress and learn lessons from implementation to inform management (see Box 5). Similarly, the Partnerships Program works with Muhammadiyah to use an evaluation of early HOPE activities to inform the scoping and design of HOPE-2. The GREAT graduate research activity, implemented by ITB, provides thorough six-monthly progress reports to the Risk and Vulnerability Program. However, none of the programs use systematic monitoring data at activity or program level to inform management. While schedules used to contract services from Geoscience Australia include good practice monitoring frameworks there is no evidence that these are used, reported against or considered important by management.

<sup>16</sup> UNISDR (2011) Turning good practice into institutional mechanisms: Investing in grassroots women's leadership to scale up local implementation of the Hyogo Framework for Action. An in-depth study for the HFA Mid-Term Review by Suranjana Gupta and Irene Leung. UN International Strategy for Disaster Reduction, Geneva, Suisse.

The absence of effective monitoring means there is no systematic evidence of progress or performance at the activity or program levels. In the absence of this evidence, whole-of-facility monitoring to demonstrate progress towards end-of-facility outcomes is difficult and has not yet been implemented.

The recently completed Performance Management Framework provides a clear and simple approach to overcome these shortcomings. Using the framework, AIFDR is in the process of starting systematic monitoring from early 2011 at Facility, Program and activity scales. Active implementation of systematic monitoring will inform management and support decisions about allocation of AIFDR resources. The performance management framework is consistent with the AusAID Indonesia Program Performance Assessment Framework, which guides implementation of the current Country Strategy at a sectoral level. This framework builds performance information from individual activities and initiatives (such as AIFDR) up to higher level objectives so that the Australian aid program in Indonesia, through State of the Sector and Annual Program Performance Reports is more able to coherently articulate achievements at the country level.

### ***Improving the quality of available evidence***

Evaluations conducted by the Training and Outreach program (*e.g.* Build Back Better, see Box 5) or its partners (*e.g.* Oxfam, see Chart 7) have informed management processes to improve the quality at implementation as well as the design of subsequent activities.

However, the low priority given to monitoring by AIFDR management has meant there is little evidence available to support management decisions.

### ***Monitoring of cross-cutting issues***

AIFDR does not yet collect useful monitoring information on cross-cutting issues. Evidence collected and used in some evaluations is sex-disaggregated to measure the outcomes of the activity on men, women, boys and girls (*e.g.* see Oxfam example in Section 2.6). But data on disabled and youth beneficiaries is missing.

## **2.8 Analysis and learning**

### ***Use of monitoring and evaluation evidence to inform annual plans and management***

With limited monitoring and evaluation data collected to date (see Section 2.7) AIFDR has had limited opportunity to use performance information to inform annual plans and management decisions. The evaluation of *Rumah Aman Gempa* is informing design of the next phase of that Campaign (see Box 5). However, learning from implementation and previous reviews (case studies, evaluations *etc.*) has not yet been systematically integrated into the management of AIFDR. If the recently completed Performance Management Framework is systematically implemented it should provide data that can be analysed to inform management of AIFDR.

The Performance Management Framework includes use of case studies as a tool for analysis and learning. There is an opportunity for AIFDR to use small grants under the Research and Innovation modality to support multi-disciplinary/multi-agency teams coordinated by BNPB to prepare case studies that could inform future design and plans. For example, case studies and related analysis could be used to generate learning from Indonesia to influence activities leading to an agreement that succeeds the Hyogo Framework for Action in 2015.

## Box 5 : Evaluation informs scale-up

As part of its response to the Padang earthquake, AIFDR financed a public awareness and education campaign in areas of West Sumatra affected by an earthquake in 2009. The aim of the campaign was to raise awareness and encourage people to build safe houses to reduce their vulnerability to future earthquakes.



The *Rumah Aman Gempa (Build Back Better)* Campaign ran between December 2009 and May 2011 with a total budget of A\$900,000. At the same time, AIFDR supported development of a new earthquake hazard map for Indonesia that identifies areas that have significantly greater earthquake hazard than previously understood. Faced with the challenge of communicating this new knowledge to communities facing high earthquake risk but who may not have experienced a major earthquake in recent generations, AIFDR conducted a detailed evaluation of *Build Back Better* to understand what information helps people change their behaviour to reduce the risk from disasters.

AIFDR conducted an evaluation of the Campaign by interviewing 3,000 randomly selected heads of households in 66 villages across 6 affected districts in West Sumatra. The evaluation measured the extent to which the campaign changed awareness of earthquake safe housing techniques and influenced changed building practices of people in West Sumatra.

The evaluation found that the Campaign reached 33% of the target population (233,000 heads of household out of a possible 710,000 in the focus area) and influenced the construction of 22,000 houses. The evaluation found that more people could have been reached if different channels were used – for example future campaigns should focus on community screenings, television advertising, banners, brochures, and radio talk shows.

Channel Effectiveness	Frequency	Percent	Potential	Effectiveness
TV	562	21.1	30.3	69.7
Banner / Billboard	363	13.6	14.7	92.6
Poster / Sticker / Brochure	296	11.1	1.69	??
Newspaper	78	2.9	20.0	14.6
Radio	21	0.8	8.8	8.9
Community Discussion	15	0.6	0.9	64.7

The evaluation also identified that the West Sumatra community has cultural dimensions to decision-making about house construction and a repair that are different from those in other parts of Indonesia. This results in a conundrum highlighted by the evaluation: **information does not translate into action**. Most respondents identify that a natural disaster would be the most disruptive event that could affect them, and 80% identify collapsing buildings as the main reason people are killed or injured in an earthquake. At the same time 67% of respondents identified that their house is not strong enough to withstand an earthquake and 68% of respondents identified at least 3 of the 6 building techniques to build back an earthquake safe house. However, of those who had access to technical information from the Campaign, only 3.2% applied 3 or more earthquake safe construction techniques. In short, the Campaign helped people know what to do but it did not change what they did – that is how they reconstructed their house.

These lessons are being used to inform a scaled up *Build Back Better* Campaign in West Sumatra as well as the choice

Source: Case study prepared by T&O team from commissioned terminal evaluation of BBB Activity.

### *Use of previous learning and analysis to inform AIFDR design and management*

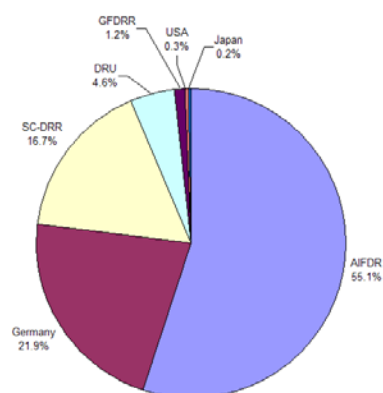
As the largest DRR and disaster management investment in Indonesia (excluding humanitarian and reconstruction support) (see Box 6), AIFDR has additional responsibilities to engage with donors and focus on aid effectiveness. However, while many donor partners interviewed for the evaluation noted the professionalism and technical knowledge of AIFDR staff, almost all commented that they found it difficult to get a holistic understanding of the purpose, aims and activities of AIFDR. AusAID has clearly assigned donor communication and harmonisation roles and responsibilities to AIFDR but little has been done to systematically implement these functions and communicate lessons learned to other AusAID sectoral programs. AIFDR does not yet systematically use learning from other donors and AusAID programs to inform its initiatives. Proactive engagement with AusAID programs and other donors is likely to identify

opportunities for analysis and learning by BNPB and AIFDR staff in complementary sectors (*e.g.* education) or geographies (*e.g.* NTB and NTT).

### Box 6 : As the lead DRR donor Australia has additional responsibilities

Australia is the largest DRR donor in Indonesia by a significant margin. In the 2009-2013 period Australia contributes more than A\$68m to a sector with around \$107m of ODA investment. In this period the Australian investment includes AIFDR (A\$59.2m), disaster preparedness and management initiatives under the Disaster Response Unit (~A\$5m), support the UN SC-DRR (~A\$3m) and World Bank GFDRR (estimated to be less than A\$1m in Indonesia).

ODA for DRR to Indonesia 2009-2013 (Total A\$107.5 m)



Being the lead donor places significant additional responsibilities on Australia to partner with other donors, communicate its strategic intent and program of activities and use analysis and learning to ensure aid effectiveness. In particular, AIFDR has additional responsibilities to engage with donors and focus on aid effectiveness. Many challenges faced by AIFDR are common to other donor programs (*e.g.* grants program management; institutional strengthening in dynamic and complex settings) or require donor harmonisation to be effective (*e.g.* addressing enablers and motivational dimensions of performance). Supporting BNPB to learn lessons from other DRR initiatives (at operational level) and with other donors (through partner dialogue) will build BNPB capacity to relate to Indonesian and international donors and agencies needed for effective DRR as well as supporting relationships and capacity development approaches that improve the efficiency and effectiveness of AIFDR delivery.

Source: Analysis by evaluation team of Indonesian ODA and disaster management data from GFDRR, GIZ, Japan and BAPPENAS.



## 3 Evaluation criteria ratings

The ratings<sup>17</sup> against the evaluation criteria are presented in Chart 8. Impact was not rated at the request of AusAID.

Chart 8 : Evaluation criteria ratings

Evaluation Criteria	Rating (1-6)	Comments
Relevance	5	<b>High quality:</b> Development gains in Indonesia are threatened by high disaster incidence and impact. For this reason Indonesia has identified disaster management as one of 11 priorities in the current medium-term development plan (2010-2014) and allocates increased public resources to implement this policy. AIFDR supports this existing change process and, with its focus on DRR, is addressing a key need in Indonesia that is only being addressed by other donors in a relatively minor way. AIFDR also provides an appropriate entry point for relationships relevant to the 2006 Framework for Security Cooperation between Indonesia and Australia.

<sup>17</sup> 6 = Very High Quality; 5 = High Quality; 4 = Adequate Quality; 3 = Less than Adequate Quality; 2 = Poor Quality; 1 = Very Poor Quality

Effectiveness	4	<b>Adequate quality:</b> Despite a complex start, a key partner agency that was both newly established and then distracted by 3 disasters, and a very dynamic context, AIFDR has established relationships and delivered outputs that could contribute to end-of-facility outcomes. Outputs focused on vulnerability are notably effective, as are some training outputs. Would have scored 5 with more focus on capacity development through delivery – that is emphasizing <i>how</i> AIFDR delivers outputs with partners rather than <i>what</i> is to be delivered – as well as socio-economic analysis to inform vulnerability assessments.
Efficiency	3	<b>Less than adequate quality:</b> AIFDR manages a fragmented portfolio ( <i>e.g.</i> 37% of activities are less than \$100,000 in value) using an expensive modality ( <i>e.g.</i> almost 40% of total facility costs are disbursed for staff and office costs). Would score 4 or 5 if more activities were bundled into programs with outsourced management [deliver more with same inputs] and the staff mix was balanced to reflect development needs and Australian Public Service staff were used where they add unique value not available from AusAID contracted advisers (subject to Adviser Remuneration Framework) [deliver same with less inputs].
Sustainability	4	<b>Adequate quality:</b> Despite the complex start there are a number of activities that show early signs of sustainability. BMKG and <i>Badan Geologi</i> now independently produce technical outputs to support DRR using methods introduced by AIFDR. The Ministry of National Education and the private sector are investing directly in the GREAT program recently started by ITB with AIFDR support. AIFDR has started work with strong civil society groups and local government who have the policies and capacities to replicate DRR models ( <i>e.g.</i> hospital safety with Muhammadiyah). Would score 5 if AIFDR approach to implementation ( <i>e.g.</i> the location and management of computing resources) had stronger development focus. Similarly, would score higher if activities were deliberately designed for sustainability – <i>e.g.</i> assistance provided for BNPB Pusdiklat (3 consultants developing the module on Basic Disaster Management) could be more sustainable if the module was developed together with BNPB Pusdiklat staff.
Gender Equality	2	<b>Poor quality:</b> As demonstrated by the recent AusAID Gender Stock Take, AIFDR has committed few resources to gendered vulnerability research, other targeted gender equality initiatives or mainstreaming gender equality. Some recent initiatives may address this gap in the future ( <i>e.g.</i> the UGM anthropological research around Mount Merapi and work with civil society groups such as NU, Muhammadiyah and Oxfam and IDEP have gender equality components). Lessons learned from the mid-term review of the Hyogo Framework for Action highlight the importance of community women's groups as a mechanism for sustainable DRR. Would have scored 4 if AIFDR complemented its good practice geophysical science with additional research and practice focused on the gender disaggregated social and economic drivers of vulnerability and resilience.
Monitoring & Evaluation	3	<b>Less than adequate quality:</b> The Training and Outreach program systematically uses performance management tools to monitor progress and learn lessons from evaluation of implementation to inform management. Other programs have not consistently used such tools until recently and there is not yet systematic monitoring of progress or quality at the Facility level. Active and systematic implementation of the recently completed performance management framework provides the foundation to improve the score at completion.
Analysis & Learning	3	<b>Less than adequate quality:</b> Training and Outreach has consistently used analysis and learning to inform management and design of initiatives. Would score 4 or 5 if analysis and lessons from the HFA mid-term review and Indonesian evaluation of the 2006-2009 NAP-DRR were identified and applied to AIFDR; and if lessons from the development and climate change adaptation communities, including other AusAID programs were reviewed and used.

## 4 Lessons learned and recommendations

### 4.1 Lessons learned

The following lessons from AIFDR can be applied to further implementation and design of new initiatives:

- **Quality technical assistance is an effective entry point for new relationships** – AIFDR effectively used very skilled Australian technical assistance to initiate and develop new relationships. This was an innovative approach that has yielded results appropriate to the phase of implementation where relationships are built. To deliver the end-of-facility outcomes and contribute to the AIFDR purpose and goal, there needs to be a transition to a greater focus on capacity building and sustainable development that will enable BNPB to deliver DRR results in Indonesia and the region into the future.
- **There is a foundation for targeted engagement with local government and communities** – AIFDR has delivered several outputs and is implementing other initiatives relevant to BNPB functions with local government (especially BPBDs) and civil society. There is an opportunity for AIFDR to build on this existing momentum to focus a larger proportion of resources to 2013 on local government and communities as they put new tools and institutional arrangements into DRR practice.
- **DRR is good development practice** – in a country with many communities vulnerable to risk such as Indonesia, the gains of years of development can be lost because of disaster impacts. DRR should be considered in all development initiatives because it is one way to protect development gains from being set back by disasters. There is an opportunity for AIFDR to support BNPB to engage in the development policy debate in Indonesia to contribute a DRR perspective to sector and local level plans. To be effective, such change would need to involve planning agencies (BAPPENAS and BAPPEDAs) and MoHA.
- **There is a rationale for future partnership in DRR** – the humanitarian and economic argument for investing in DRR in disaster-prone areas is fully apparent to the governments of Indonesia and Australia. There is a clear intention on both sides to continue building the resilience of Indonesians to disasters. Additionally, there is a comparative lack of investment in DRR by other donors, making Australia's continued support in the area significant. These factors indicate the usefulness of a continuing partnership on DRR between Indonesia and Australia.
- **Design partnerships to support change processes** – AusAID has reported results from research into the principles of effective partnerships and twinning arrangements<sup>18</sup> and also the use of diverse capacity development approaches for institutional strengthening<sup>19</sup>. Few of the approaches used by AIFDR are consistent with those findings – more could be done by AusAID to incorporate those lessons into implementation of AIFDR. In particular, partnerships could be designed to support a strategic institutional change and capacity building process in BNPB, in selected research institutions and with local government and community actors in targeted provinces.
- **Evaluate efficiency and effectiveness of modality during design** – This evaluation highlights questions about the cost-effectiveness of the modality selected for delivery of AIFDR. Any future contribution in DRR should first have a clear purpose and function agreed before the form of delivery is decided. This lesson is also relevant for other AusAID country programs considering an initiative similar to AIFDR – *i.e.* it is essential to

<sup>18</sup> AusAID (2007) Capacity building stock take. Australian Agency for International Development, Canberra Australia.

<sup>19</sup> Morgan P., Land, A. and Baser, H. (2005) *Study on capacity change and performance*. European Centre for Development Policy Management, Maastricht, Holland.

carefully consider the ultimate DRR-related change that is desired and then use evidence to determine the most efficient method of delivering that change about.

- **Prepare for the challenge of scaling-up** – lessons learned from other AusAID initiatives highlight the difficulty in scaling-up from activity outputs to achieve whole-of-facility outcomes. The portfolio of activities implemented by AIFDR should be selected with a view to scaling-up successful results. This is just starting with NU and Muhammadiyah (e.g. HOPE) but more strategic thinking is needed to ensure future investments make a clear contribution to expected DRR outcomes.
- **Use lessons from supervision to support policy dialogue** – there are opportunities to use information from active supervision of strategically significant activities to inform DRR and DM policy dialogue between Australia and Indonesia as well as with multilateral (e.g. GFDRR, ASEAN, APEC) relationships. Lessons from field activities provide strong evidence to support policy dialogue and can be used to advance DRR and related issues such as food security, vulnerability and disaster response.
- **Pro-actively support development practice in whole-of-government partners** – AusAID and Geoscience Australia (GA) have demonstrated an effective partnership in AIFDR. However, more could be delivered with the same investment if AusAID development professionals proactively engaged with whole of government technical partners to help them apply good development practice. For example, AusAID could support GA to respond to the monitoring indicators set out in the Monitoring and Evaluation Frameworks attached to each schedule under the Record of Understanding between the two organisations. This could be as simple as supporting GA to adapt the way staff use Overseas Trip Reports in its administrative system and using agreed indicators as a framework for annual progress reports.

## 4.2 Recommendations

Based on review of many documents, interviews with GoI (national, provincial and district), civil society, private sector and AIFDR stakeholders, as well as the lessons learned above, the independent evaluation team recommends that:

1. With support from AIFDR staff, senior officers of BNPB and AusAID should establish good practice governance arrangements consistent with the intent of Clause 7 of the Subsidiary Arrangement – including an Executive Committee and a Joint Monitoring Group. These changes should occur by late 2011 for the Executive Committee to approve the 2012 work plan as early and meaningful engagement of the Executive Committee – including oversight of the AIFDR budget, activities and the design of any subsequent initiative – is essential to AIFDR effectiveness.
2. With reference to Clause 14 of the Subsidiary Arrangement, GoI and GoA should continue implementation of AIFDR from July 1, 2011 to June 30, 2013 subject to effective governance arrangements being established and the strategic direction of on-going AIFDR implementation and the design process for any subsequent initiative being actively driven by an Executive Committee.
3. Under the active strategic direction of the Executive Committee, AIFDR management and staff should work with BNPB and other stakeholders to develop and actively use a Development Strategy based on the agreed facility logic, goal, purpose and end-of-facility outcomes to communicate the AIFDR strategic direction and inform allocation of AIFDR resources from July 1, 2011 to June 30, 2013. This recommendation should be implemented through 4 specific sets of actions:
  - **Recommendation 3a** – the Development Strategy should be developed in draft form by AIFDR management based on strategic direction from the Executive Committee, experience in the past 2 years and anticipated needs in the remaining period of the Facility.

- **Recommendation 3b** – the Development Strategy should be formally approved by the Executive Committee. In approving the strategy, the Executive Committee should consider issues including: AIFDR regional engagement; efficiency of the AIFDR modality; development effectiveness principles; AIFDR portfolio balance and appropriate expertise; AIFDR engagement with development partners; how AIFDR can focus on building partners' capacity; and the AIFDR role in civil-military engagement.
  - **Recommendation 3c** – the Development Strategy should be used by AIFDR management to prepare the July 2011-December 2012 and subsequent work plans as 18-month rolling plans, to be reviewed by the Executive Committee each 6 months, so that planning processes, plans and budgets are aligned with the GoI Financial Year and compatible with GoA budgeting requirements.
  - **Recommendation 3d** – in preparing 18-month rolling work plans, AIFDR management should integrate gender equality principles, particularly through consideration of gendered vulnerabilities and resilience to natural hazards.
4. AIFDR management and staff should support BNPB to develop a strategic framework for institutional strengthening and capacity development of BNPB, informed by the capacity assessment and related roadmap prepared by UNDP in 2010. This framework should inform the AIFDR Development Strategy and allocation of resources to capacity building including technical assistance, internships, coaching, mentoring, training and twinning.
  5. The Executive Committee should appraise the efficiency of the AIFDR modality to ensure AIFDR resources deliver optimal results that contribute to the Facility purpose and goal. As part of this, the Executive Committee might choose to require AIFDR management to use open market and competitive processes for sourcing expertise to implement AIFDR activities where there are opportunities to source different inputs through contestable procurement processes for goods and services.
  6. Under the direction of the Executive Committee, senior BNPB and AusAID staff should work with AIFDR management, GoI partners and other donors to initiate the process to develop a concept note, and if agreed develop a design document, for a DRR partnership to commence after the completion of AIFDR in June 2013. To align with Indonesian and Australian budget planning processes any design process should be well progressed by late 2012.

### 4.3 Communication of lessons learned

Communicating lessons learned and recommendations from this evaluation to AIFDR stakeholders is an important part of the on-going maintenance of the relationship between Indonesia and Australia.

There is an opportunity for AIFDR, BNPB and AusAID to present lessons learned and recommendations to a wider audience of stakeholders interested in DRR in Indonesia and the ASEAN region. The AusAID Counsellor, AIFDR Co-Directors and AIFDR Evaluation Manager should facilitate this, using outputs from this evaluation as a basis for communication of lessons learned and development of responses by Indonesian and Australian partners.



## **Annex 1**

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### **AIFDR Facility Logic**

## Annex 1: AIFDR Facility Logic

**Goal:** Strengthened national and local capacity in disaster management in Indonesia, and promotion of a more disaster resilient region

**Purpose:** Contribute to strengthened understanding of risks and vulnerability; inform disaster managers about management options and demonstrate DRR in practice

### Outcome 1 – Better understanding of risk and vulnerability:

Disaster managers in priority areas of Indonesia and the region have an improved understanding of disaster risk and vulnerability

**Indicative outputs – partnerships with BNPB, AIFDR, Geoscience Australia, ASEAN, selected Universities and Indonesian Government Science Agencies that lead to a better understanding of risk and vulnerability and innovative responses to reduce risk:**

- Increased capacity in Indonesia to assess natural hazard risks
- New, open-source tools for understanding natural hazards are being used by GOI science partners (e.g. *Badan Geologi* is able to produce maps of where volcanic ash is likely to go during future eruptions)
- Indonesian science agencies (BMKG, LIPI and *Badan Geologi*) have collaborated to develop a new earthquake hazard map for Indonesia using best practice approaches
- BMKG and BNPB are collaboratively producing rapid estimates of the ground shaking intensity and number of fatalities following an earthquake
- BNPB is developing realistic impact scenarios for priority hazards and using these for disaster management exercises
- Innovative approaches to disaster risk result from research and community activities
- BNPB and technical agencies work together to develop natural hazard risk information

### Outcome 2 – Better able to reduce disaster risk in practice:

Disaster managers and vulnerable communities in demonstration provinces of Indonesia are better prepared to reduce impacts through disaster management planning and practice

**Indicative outputs – partnerships with BNPB, selected BPBDs and civil society groups to demonstrate good practices, implement exercises and case studies to build resilience to disaster risks:**

- BNPB identifies priority training needs, core competencies and training delivery methods for provinces and districts
- BNPB coordinates a national program to use natural hazard risk information in support of Indonesian DM Law
- BNPB and BPBD in demonstration provinces use natural hazard risk information for DRR in practice
- BPBD in demonstration provinces engage District counterparts for effective DRR in practice
- Sustainable and improved approaches to doing risk assessments are advocated within Government of Indonesia
- Demonstrations implemented to apply natural hazard risk information for DRR in practice
- ASEAN Member States and Civil Society Organisations are supported to better implement their priorities in disaster risk management
- Disaster risk management training modules and curricula prepared
- DRM training modules and guidelines updated to remain current through experience with demonstrations
- Demonstrations include trial of innovative approaches to disaster risk identified from research and community activities
- Natural hazard risk information and related demonstrations inform DRR and development plans
- The use of natural hazard risk information for DRR is successfully demonstrated
- Tools for better communication of risk are developed

### Outcome 3 – Partnerships with national, community and international organisations: Partnerships enable sustainable disaster reduction in Indonesia and the region

**Indicative outputs - partnerships with regional, national and sub-national agencies as well as civil society to enable sustainable disaster reduction in Indonesia and the region:**

- AIFDR identifies and initiates partnerships in hazard risk science, training, research and DRR priorities in Indonesia and across the ASEAN region
- AIFDR programs inform and influence national and regional DRR policies and practices
- AIFDR partnerships in Indonesia and the region contribute to enhancing regional DRR efforts
- Selected partners perceive their capacity is developed as a result of being engaged and informed through AIFDR
- AIFDR supports regional DRR priorities through ASEAN and APEC
- AIFDR programs and partnerships are showcased and recognised internationally

## **Annex 2**

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### **SWOT Analysis**

## Annex 2 – SWOT Analysis

Strengths	Weaknesses
<ul style="list-style-type: none"> <li>• Space for BNPB to take risks, trial new approaches</li> <li>• AIFDR provides a platform for BNPB to work with Gol agencies on practical and tangible programs</li> <li>• Growing BNPB relationships in complex context</li> <li>• Flexibility allows AIFDR to respond to BNPB needs</li> <li>• AusAID administration of facility reduces BNPB transaction costs</li> <li>• Perceived as easy to work with and keen to involve local stakeholders</li> <li>• Different programs effectively working across Facility</li> <li>• Chasing change – Indonesia is committed to DRR</li> <li>• BNPB is becoming stronger as an institution at the same time that AIFDR relationships are maturing</li> <li>• Effective evaluation and monitoring of T&amp;O activities</li> <li>• Growing engagement with civil society for CB-DRM &amp; DRR governance in district level</li> <li>• Technical geo-science capacity</li> <li>• Facilitated cooperation in organisations supporting BNPB (e.g. LIPI, BMKG, <i>Badan Geologi</i> as well as Muhammadiyah and NU)</li> <li>• Effective relationships developed with technical agencies and universities</li> <li>• Scaling-up successful safe hospital/clinic programs</li> <li>• Shifting from supply-driven to demand-driven science based on BNPB and partner needs</li> <li>• Shifting from producing science to applying science with community – putting research into practice</li> <li>• Initial development of training curricula and modules to support decentralised DRR efforts</li> <li>• Training &amp; equipment support appreciated</li> <li>• \$800,000 ARC grant to complement AIFDR resources for EQ risk assessments</li> <li>• Use of open-source software for modelling</li> <li>• Modelling capacity respected – BNPB internships proposed; science agencies replicating at their cost</li> <li>• CBDRM and local DRR governance modality transferred from AusAID, increases relatively well developed CBDRM portfolio</li> <li>• Structured monthly meetings improving co-director relationships</li> <li>• Transition of Muhammadiyah contract from DRU to AIFDR was well executed</li> </ul>	<ul style="list-style-type: none"> <li>• Weak governance systems, transparency and accountability to Gol or AusAID</li> <li>• Strategic changes from design and SA not recorded or formalised between Gol and GoA</li> <li>• Lack of clear, articulated strategic direction leading to confusion about AIFDR purpose in some donors</li> <li>• Fragmentation of portfolio – 53 activities, &gt;70% small</li> <li>• BAPPENAS &amp; MoHA not engaged in implementation</li> <li>• BNPB has limited understanding of outside DRR actors</li> <li>• Inconsistent communication of AIFDR activities and results through BNPB and other DRR agencies</li> <li>• Poor internal communication between BNPB directorates</li> <li>• Inconsistent ownership of AIFDR activities by BNPB</li> <li>• AIFDR work with few units of BNPB (e.g. lack of relation with the Rehabilitation &amp; Reconstruction Deputy</li> <li>• Planning fits Australian rather than Indonesian FY even though AIFDR is co-managed</li> <li>• Little visibility of Australian DRR/DRM investment on Gol budget (e.g. not listed in NAP-DRR Annex 1)</li> <li>• Little monitoring data at activity level, none at facility level</li> <li>• Lack of monitoring program by BNPB, AIFDR and recipients of large grants</li> <li>• Questionable efficiency of Aus public servants implementing AIFDR (different blended AusAID model)</li> <li>• Early R&amp;V activities supply-driven</li> <li>• Overly focused on scientific rather than social side of DRR</li> <li>• Hazard work of lower priority to BNPB</li> <li>• BNPB reluctant to use AIFDR risk models</li> <li>• Computing system highly valued but not sustainable with its current location and management arrangements</li> <li>• Unstructured approach to capacity development – initially because of new counterpart organisation – but now a structured approach is needed to sustain change</li> <li>• AIFDR team lacks socio-economic and capacity development/institutional strengthening skills</li> <li>• Gender equality is poorly addressed in AIFDR activities</li> <li>• Limited local government and local NGO involvement</li> <li>• Limited use of civil society strengths</li> <li>• Regional work beginning but direction uncertain</li> <li>• Limited use of GOI and GOA guidelines</li> <li>• Most activities focus on immediate vulnerability (e.g. SRC-PB, community preparedness, hospital preparedness) but less on causes of vulnerability</li> <li>• Some substitution for government responsibilities e.g. NU district DM regulation advocacy project</li> <li>• Weak integration with other development initiatives and sectors funded by AusAID, Gol &amp; others (e.g. PNPM, health, education etc.)</li> <li>• AIFDR not mainstreaming DRR in AusAID program – limited leverage of AusAID programs for DRR in practice</li> <li>• Small grants and activity management lessons not learned from other AusAID programs</li> <li>• Project design was ambitious with very broad range of achievements and significant flexibility</li> </ul>

Opportunities	Threats
<ul style="list-style-type: none"> <li>• Structured and strategic approach to capacity development to enhance BNPB institutional capacity</li> <li>• As BNPB capacity grows, transition to BNPB management of some activities through true co-management to exit current management by AIFDR</li> <li>• Strengthen governance systems and accountability to Gol or AusAID – establish and operate Executive Committee, including civil society representative</li> <li>• Support development of BNSP standards for DRR curricula and modules</li> <li>• Establish QA/QE system – including Joint Monitoring Group or similar as per design</li> <li>• Implement monitoring system and use evidence to inform management and monthly meetings</li> <li>• Use semi-annual output-to-purpose review to report progress to Executive Committee</li> <li>• Conduct quarterly review and annual planning processes with all BNPB Deputies</li> <li>• Align annual AIFDR work planning with BNPB annual program prioritisation process</li> <li>• Partner with Muhammadiyah and NU to bridge the community/ Gol gap</li> <li>• Scale-up successful Muhammadiyah safe hospital and safe clinic programs</li> <li>• Focus on building BNPB capacity to work with/ strengthen BPBDs in target provinces</li> <li>• Strengthen gender dimensions of vulnerability assessments</li> <li>• Put research into practice by mainstreaming DRR links with Gol programs (e.g. PNPM) and AusAID programs (e.g. health, education, ACCESS, AIPD)</li> <li>• Develop transition strategy from AIFDR to new model of support from 2013 – drawing on Gol and GoA appetite for action/cooperation/leadership (of Gol) on DRR (shift from response focus of past)</li> <li>• Focus on building capacity/coordinating/bringing together stakeholders rather than implementing activities itself (e.g. more involved in update of National DRR plan in 2012)</li> <li>• MOHA power to finance local governments and decentralisation system</li> <li>• Indonesian leadership in disaster management (ASEAN, global champion, etc.) create more buy-in from government and other stakeholders</li> <li>• More aware mass media and public due to increasing disasters.</li> <li>• High demands/expectations for newly established BNPB and BPBDs to perform</li> </ul>	<ul style="list-style-type: none"> <li>• Inter-agency competition in DRR sector</li> <li>• Flexibility of facility model is a threat without good governance – strategic direction from Executive Committee and management informed by monitoring</li> <li>• If Facility seen as ineffective, 'too much work', holding purse strings too tightly may become irrelevant – plenty of other donors interested in DRM</li> <li>• If perceived marginalisation of BAPPENAS and WFP continues could damage broader relationships</li> <li>• Business as usual lacks accountability, leaves program open to criticism</li> <li>• Inefficiencies arising from possible duplication – e.g. planned Gol Centre, AHA Centre</li> <li>• BNPB continues not to be taken as a serious player by other Gol agencies</li> <li>• Increasing asset loss due to extensive disasters</li> <li>• Adverse impacts of climate change</li> </ul>

**Annex 3**  
**People and  
organisations  
consulted**

### Annex 3: People and organisations consulted

Institution	Person	Location
BNPB	Ir. Fatchul Hadi, Secretary General	Jakarta
	Dewina Nasution, Deputy of Logistic and Equipment Unit	
	Drs. Mulatno, M.Si, Head of General Affairs Bureau	
	Ir. B. Wisnu Widjaya, Director of Preparedness	
	Ir. Teddy Sudinda, Director of DRR	
	Drs .Muhtaruddin, Head of Training and Education	
	Dr Sutopo Purwo Nugroho, Head of Data, Information & Public Relation Centre	
	Ir. Siti Noerhayati, Directorate of Logistic	
	Yolak, Directorate of Equipment	
	Badrun, SH., M.Pd, Sub-Dir of Storage and Distribution	
	Ir. Rifai, Program Planning and Budgeting II Unit	
	Berton SP Panjaitan, Community Empowerment Unit	
	Tania Resita, S.Sos, Sub-unit of Program & budgeting IIA	
	Budi Sunarso, Directorate of Preparedness	
AusAID	Jacqui De Lacey, Minister Counsellor	
	Sam Zappia, Chief of Operations	
	Helen McFarlane, Counsellor for Health, Gender and Disaster Response	
	Penny Davis, Disaster Risk Reduction Unit (DRU) Manager	
	Piter Edward, DRU Program Manager	
	Fenni Rum, DRU Program Officer	
BAPPENAS	Maxx Pohan, Deputy for Regional Development and Local Autonomy	
	Dr Ir Suprayoga Hadi, Director for Special Area and Disadvantaged Region	
Ministry of Home Affairs	Moh. Roem, Director of Disaster Risk Reduction	
Muhammadiyah	dr. Slamet Sudi Santoso MPd. Ked, Project Manager HCPDM	
	Husnan Nurjuman, Asst. PM HOPE	
WFP	Coco Ushiyama, Country Director	
	Peter Guest, Deputy Country Director	
	Betty Ka, Logistics Officer/Head of SCM Unit	
	Charles Kumar, Supply Chain Management	
UNDP-SCDRR	Kristanto Sinandang, Senior Programme Officer	
	Titin Agustini, Senior NPM cum Team Leader	
	Malikah Amril, Program Manager	
UNOCHA	Ignacio Leon-Garcia, Head of OCHA Indonesia	
AIFDR Staff	Matt Hayne, Co-Director	
	Trevor Dhu, Risk & Vulnerability Manager	
	Jason Brown, Training & Outreach Manager	
	Anita Dwyer, Partnerships Manager	
	Wita Katoppo, Research & Innovation Manager	
	Ole Nielsen, Numerical Modeller	
	Jonathan Griffin, Geophysicist	
	Kristy van Putten, Spatial Analyst	
	Radhietya Hadikusuma, Program Officer	
	Widya Setiabudi, Sri Novelma and Dimas Purnama, Program Managers	
	Vania Budianto and Tini Astuti, Program Officers	
	Henry Pirade, BNPB Liaison	
	Irfan Herlambang, Communication Specialist	

Institution	Person	Location
Nahdlatul Ulama	Ir. Avianto Muhtadi, MM, Head of LPBI NU	Surabaya
	Ibu Yayah, LPBI NU Jakarta	
	9 Regional Officers of LPBI NU Lamongan and Malang (3 women, 6 men)	
BPBD Jawa Timur	M. Sahrul Arifin, Head of Provincial BPBD and 5 staff (2 women, 4 men)	
Lamongan District	Drs Yuronhur Efendi, Secretary General Lamongan District	
	Drs Soniharsono, BPBD Lamongan	
	Agus Saleh and 18 others from BPBD (4 women, 14 men)	
University of Gadjah Mada	Dr. Nicolaas Warouw, Head of Anthropological Lab (by telephone)	Jogjakarta
	Dr Bambang Hidayana	
Badan Geologi	Dr. Surono, Head of Centre of Volcanology and Geological Hazard Mitigation	Bandung
Institut Teknologi Bandung	Dr. Irwan Meilano, Graduate Research for Earthquake & Active Tectonics	
	Vice Dean and 4 students in GREAT program (3 women, 2 men)	
	Dr. I Wayan Sengara, EQ Hazard/Team 9, Post-disaster engineering	
LIPI	Danny Hilman Natawidjaja, Phd, Head of LabEarth Hazard Geotek LIPI Bandung	
	Dr Hery Haryono, LabEarth Hazard Geotek	
Australian Red Cross	Bill Marsden, Country Manager	Jakarta
French Red Cross	Yvan Trapet, Head of Delegation	
Oxfam	Mia Marina, Program Manager	
MPBI	Iskandar Leman, Director	
LIPI	Iriana Rafliana, Coordinator of Community Preparedness Program	
Humanitarian Forum	Hening Parlan, Director	
Japan	Takako Ito, Counsellor, Embassy of Japan	
Badan Meteorologi Klimatologi dan Geofisika	Dr. Prih Harjadi, Deputy of EQ & Tsunami	
World Bank	Iwan Gunawan, Senior Disaster Management Adviser	
NZAID	Kirk Yates Development Counsellor	
	Simon Williamson (Wellington, NZ by telephone)	
USAID	Alfred Nakatsuma – Mission Disaster Relief Officer	Canberra
	Yusak Oppusunggu – Program Specialists (DRR)	
AusAID	Rod Brazier, ADG Indonesia and East Timor Branch	
	Alan March, ADG Humanitarian and Peace Building Branch	
	Mat Kimberley, Director Indonesia Section	
	Grant Morrison, Disaster Risk Reduction Unit Manager	
	Lisa Staruszkiewicz, former Disaster Risk Reduction Unit Manager (Nairobi, Kenya by telephone)	
	Barnaby Caddy, Humanitarian Emergency Section	
	Thanh Le, Seconded to ADF JOC (former Emergencies Manager)	
	Jeong Park, Jakarta-based Disaster Management Advisor	
PM&C	Rajan Venkataraman, Senior Adviser, Emergency Management and Infrastructure Security	
Geoscience Australia	Dr John Schneider	
	Dr Phil Cummins	
	Jane Sexton	
Asia Pacific Civil Military Centre of Excellence	Alan Sweetman	
	Stacey Greene	
	Trish Smith	



## **Annex 4**

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### **Annotated list of AIFDR activities and outputs**

Annex 4: Annotated list of AIFDR activities and outputs

BNPB Priority	AIFDR Outcomes	Activity Name	Description	Outputs to be delivered	Major Milestones Achieved to date	Activity Start	Activity End	Partners	Estimated Total Budget	Planned, Ongoing or Completed
Risk and Vulnerability										
Penelitian dan pengembangan ilmu pengetahuan dan teknologi penanggulangan bencana  Research and development of science and technology for disaster management	Outcome 1 – Better understanding of risk and vulnerability Outcome 3 – Partnerships with national, community and international organisations	Indonesian National Earthquake Hazard	4-year, AUD\$4.7 Million science and capacity building program to better understand earthquake hazard in Indonesia and to build the Government of Indonesia's capacity to undertake and support a sustainable and robust program of earthquake hazard assessment. A key deliverable from this Project will be a revised national earthquake hazard map for Indonesia produced collaboratively by Badan Geologi, BMKG, LIPI and ITB. This map will be designed for use both within Indonesia's building codes as well as for more general risk assessment use such as prioritising future earthquake DRR activities.	- New earthquake hazard map for all of Indonesia - New information on the likely magnitude and frequency of earthquakes in Indonesia produced by ITB and LIPI - Badan Geologi able to undertake probabilistic seismic hazard analysis - BMKG able to produce ground motion models specific to Indonesia - Improved coordination between BMKG, LIPI, Badan Geologi and BNPB on earthquake hazard assessments.	- Benchmark national earthquake hazard map produced by a team of Indonesia's leading scientists and endorsed by Minister of Public Works for use in revision of the national standard for earthquake construction SNI 03-1726-2002 - Badan Geologi has produced its first ever probabilistic earthquake hazard map using Central Java - Established the Program for Graduate Research on Earthquakes and Active Tectonics (GREAT) at ITB - 4 students have started Masters studies at GREAT and 2 students have begun Masters studies at the Australian National University. - First senior (Echelon 1) coordination meeting held in Dec-10 and a draft MoU outlining roles and responsibilities between all agencies is ready for final approval - Additional funding of AUD 800,000 provided by the Australian Research Council Linkages Program - this is recognition of the quality of the proposed science program	Jan-10	Dec-13	BNPB Geoscience Australia BMKG Badan Geologi LIPI ITB Australian National University Melbourne University	\$4,700,000	Ongoing
	Outcome 1 – Better understanding of risk and vulnerability Outcome 3 – Partnerships with national, community and international organisations	Volcanic ash modelling	Partnership with Badan Geologi to develop capacity to undertake volcanic ash modelling using open-source modelling tools.	- Badan Geologi able to run probabilistic volcanic ash models - Badan Geologi able to more rapidly assess the volcanic ash risk from Indonesian volcanos	- Badan Geologi has completed probabilistic volcanic ash hazard models for four volcanos in West Java - Badan Geologi staff are able to run these modelling tools with minimal AIFDR support and did so during the Sinabung (2010) and Merapi (2010) eruptions.	Jun-09	Jul-12	BNPB Geoscience Australia Badan Geologi	\$700,000	Ongoing
	Outcome 1 – Better understanding of risk and vulnerability Outcome 3 – Partnerships with national, community and international organisations	Better information for tsunami preparedness	BNPB, AIFDR and GFDRR are supporting a research program to address knowledge gaps that are restricting BNPB's ability to model tsunami impacts. This will focus on developing an understanding of the tsunami sources that are likely to effect Indonesia into the future as well as providing BNPB with a cost-benefit assessment to help decide what elevation data is the best value for money for future tsunami modelling.	- Deep water tsunami sources for Indonesia that can be used for tsunami inundation modelling. - A sensitivity study that will provide BNPB with scientifically defensible minimum requirements for the elevation data that is used in inundation studies.		Jun-11	Jun-13	BNPB GFDRR ITB BMKG Geoscience Australia LIPI BAKOSURTANAL URS	\$1,000,000	Ongoing
	Outcome 1 – Better understanding of risk and vulnerability Outcome 3 – Partnerships with national, community and international organisations	West Sumatra Post-Disaster Survey	Following the 2009 West Sumatra earthquake AIFDR supported the systematic collection and analysis of data on earthquake damage, with a particular focus on houses, schools and medical facilities. Such data are needed to: understand the vulnerability of buildings to earthquake ground motion; undertake realistic earthquake risk assessments for national and sub-national disaster risk management; develop better building codes; and improve contingency planning.	- advice to BNPB's reconstruction plan for West Sumatra - analysis of why some buildings collapsed and others survived the West Sumatra earthquake - detailed damage data made available to local and international researchers.	- All outputs delivered and independently reviewed by an international risk modelling company (AIR) with the conclusion: "The high quality of the post-disaster survey conducted for the 2009 Padang Earthquake puts it up to par with the most refined surveys conducted in the rest of the world. The vulnerability of a suite of building types, typical of this region of Indonesia, is very well documented and provides valuable insights for future building code enhancements and enforcement."	Oct-09	Jun-10	BNPB Geoscience Australia ITB Andalas University	\$500,000	Completed

BNPB Priority	AIFDR Outcomes	Activity Name	Description	Outputs to be delivered	Major Milestones Achieved to date	Activity Start	Activity End	Partners	Estimated Total Budget	Planned, Ongoing or Completed
	Outcome 1 – Better understanding of risk and vulnerability Outcome 3 – Partnerships with national, community and international organisations	Indonesian Earthquake Damage Model	Indonesia does not yet have earthquake damage models that quantify the relative safety of its various building types, and allow disaster managers to estimate how much damage and economic impact a future earthquake will cause. This Project aims to build off the AIFDR funded West Sumatra Post-Disaster Survey to develop these damage models for Indonesia and provide the government of Indonesia with the knowledge needed to allow: - BKF to estimate the potential costs of a catastrophic earthquake and inform possible risk financing options - in combination with insurance models from groups like PT Maipark. - BNPB to estimate the number of damaged buildings and fatalities within minutes of an earthquake occurring - in combination with Shake Maps from BMKG; and - BPBD's to better understand their earthquake risks	- An Earthquake Damage Model that describes the range of building and bridge types that exist in Indonesia and how each of these building and bridge types will respond to earthquake ground shaking. - Post-disaster data collection tools and methods		Jul-11	Jun-13	BNPB GFDRR ITB Geoscience Australia	\$1,200,000	Planned
<i>Peningkatan akses komunikasi dan pengadaan data dan informasi real-time untuk emergensi, pengembangan TI</i> Improving access and provision of data communications and real-time information for emergency, IT development	Outcome 2 – Better able to reduce disaster risk in practice Outcome 3 – Partnerships with national, community and international organisations	Real-time Earthquake Impact Tools	Facilitate and support a partnership between BNPB and BMKG to ensure that BNPB is able to rapidly and accurately estimate the impact of earthquakes in Indonesia	- BMKG is able to rapidly produce maps of earthquake ground shaking (ShakeMaps)- BMKG is using data from its ground motion monitoring network to improve the accuracy of its ShakeMaps- BNPB is able to use BMKG's ShakeMaps to estimate the impacts to communities (i.e. number of fatalities, number of damaged buildings)	- BMKG is able to rapidly produce maps of earthquake ground shaking (ShakeMaps) and is providing them to BNPB	Jul-10	Jul-12	BNPBBMKGGeoscience Australia	\$1,300,000	Ongoing
<i>Penyusunan Rencana Penanggulangan Bencana di pusat dan fasilitasi penyusunan RPB di daerah</i>	Outcome 2 – Better able to reduce disaster risk in practice Outcome 3 – Partnerships with national, community and international organisations	Development of impact and risk assessment tools for Kabupaten and Kota Risk Assessments	BNPB, AIFDR and GFDRR are collaborating in the development of tools that will allow for simpler and more useful risk assessments at a sub-national level. These tools will be based on open-source web-based technologies, such as the World Bank supported GeoNode, and will be designed to use available risk information to better inform the actions that need to be taken in order to increase a communities resilience	- open-source software to provide district (Kabupaten/Kota) disaster managers with interactive tools for undertaking risk assessments (Risk in a Box). - open-source software tools that identify and communicate priority actions for improving community resilience based on demographic parameters - pilot communities in demonstration provinces have implemented the tools and identified their priorities for action	- AIFDR has developed a proof of concept of the Risk in a Box toolkit that has been presented to BNPB	Jun-10	Jul-13	BNPB GFDRR TBC - CBDRM implementers Demonstration BPBDs	\$500,000	Ongoing
Development of DM plan at central level and facilitation of DM plan at regional level	Outcome 2 – Better able to reduce disaster risk in practice Outcome 3 – Partnerships with national, community and international organisations	Exposure Data for DRR	BNPB, AIFDR and the GFDRR are currently piloting a number of innovative approaches to acquiring consistent and easily available data on the location of people and infrastructure for: - rapidly estimating the impacts of tsunami and earthquakes following an event; - informing risk financing decision making; and - developing scenarios for preparedness, contingency planning and exercises such as the recent ARF DiREX in Manado.	- completion of a community mapping pilot in partnership with the PNPM Support Facility, Mercy Corps, the Australian Community Development and Civil Society Strengthening Scheme and Indonesian Universities - pilot the acquisition of data through the analysis of remote sensed imagery	- Pilot of remote sensed imagery analysis has been completed and the data is now being assessed by BNPB and the Ministry of Finance	Jan-11	Dec-11	BNPB BKF GFDRR Humanitarian OpenStreetMap Team Global Earthquake Model	\$250,000	Ongoing

BNPB Priority	AIFDR Outcomes	Activity Name	Description	Outputs to be delivered	Major Milestones Achieved to date	Activity Start	Activity End	Partners	Estimated Total Budget	Planned, Ongoing or Completed
	Outcome 2 – Better able to reduce disaster risk in practice Outcome 3 – Partnerships with national, community and international organisations	Earthquake and Tsunami Risk Assessment Guidelines	AIFDR has funded the UNDP RCB to lead the development of tsunami risk assessments for Indonesia. This work has been undertaken in-line with BNPB's SK. 011/BNPB/D.I/X/2010. AIFDR also provided funding to LIPI to undertake a post-disaster assessment of the Mentawai islands to understand the links between preparedness activities there and the impact of the 2011 tsunami to inform the risk assessment guideline development process. AIFDR technical staff have also supported this process and facilitated a rapid development process for similar earthquake risk assessment guidelines.	- Tsunami risk assessment guidelines - Earthquake risk assessment guidelines	- Tsunami risk assessment guidelines provided to BNPB - Earthquake risk assessment guidelines provided to BNPB - Draft Mentawai report being reviewed	Jul-10	Jul-11	BNPB UNDP RCB LIPI	\$36,000	Ongoing
<i>Kerjasama Internasional dalam peningkatan kesiapsiagaan dan tanggap darurat</i>  International cooperation in improving emergency preparedness and response	Outcome 2 – Better able to reduce disaster risk in practice Outcome 3 – Partnerships with national, community and international organisations	Manado Tsunami Model for the ASEAN Regional Forum Disaster Relief Exercise (ARF DiREX)	At the request of BNPB AIFDR scientists led the production of the tsunami scenario that was used as the basis for the ARF DiREX exercise.	- Tsunami inundation model animation - Digital data provided to BNPB for the production of final maps for DiREX	- All outputs delivered in a 10 day period	Jan-11	Feb-11	AIFDR BNPB	\$5,000	Completed
	Outcome 2 – Better able to reduce disaster risk in practice Outcome 3 – Partnerships with national, community and international organisations	AIFDR Internship Program for Risk Modelling	In recognition of AIFDR's natural hazard risk modelling expertise, AIFDR will begin an internship program to work with staff from BNPB to develop their skills in and understanding of natural hazard risk modelling.  The AIFDR Internship Program will be an ongoing program over the life of the AIFDR and will provide staff from BNPB to opportunity to work side-by-side with AIFDR's science team on short-term (3 month) projects designed to: • develop specific disaster risk management products for BNPB or their partners; • train BNPB staff in the application of risk modelling tools; and • increase BNPB's understanding of the components, complexities and processes required for risk assessments.			Jul-11	Jun-13	AIFDR BNPB		Planned

BNPB Priority	AIFDR Outcomes	Activity Name	Description	Outputs to be delivered	Major Milestones Achieved to date	Activity Start	Activity End	Partners	Estimated Total Budget	Planned, Ongoing or Completed
Training and Outreach										
1.2 <i>Pembentukan dan penguatan BPBD dan kelengkapannya (Pusdalops, Satuan Reaksi Cepat Daerah)</i>  The establishment and strengthening of BPBD and fittings (Center of Control and Operations- Pusdalops, Regional Rapid Response Unit)	Outcome 1 – Better understanding of risk and vulnerability  Outcome 2 – Better able to reduce disaster risk in practice	Strengthened Disaster Coordination and Response Preparedness Eastern Indonesia Program - Australian Red Cross	This program will be implemented in 3 eastern Indonesian provinces and up to 15 districts. It is a 2.5 year program involving 3 key phases: 1) Analysis and Detailed Implementation Plan; 2) Emergency Operations Centre construction and systems program ; 3) improved enabling environment - disaster response and coordination training for local government and Indonesian Red Cross. Final province selection will be based on scoping and willingness to join the program. Prioritised provinces are South Sulawesi, East Nusa Tenggara and West Papua.	1) Detailed Implementation Plan and Monitoring and Evaluation Plan 2) Selection of 3 east Indonesian provinces based on criteria and commitment of local government resources 3) Construction of 2 new Emergency Operations Centres 4) Development of disaster management information systems (DMIS) in 3 provinces and up to 15 districts 5) Develop links between provincial and national EOC Training of province based technical staff for EOC 6) Response and coordination training program conducted in 3 provinces and up to 15 districts focussing on local government disaster managers (BPBD) and Indonesian Red Cross branches and chapters	Proposal from Australian Red Cross has been signed. Partnership with the French Red Cross and Indonesian Red Cross. The Australian Red Cross will manage the program over the next 2.5 years including direct management of district disaster management capacity development training program. French Red Cross will build 2 new EOC in Eastern Indonesia province and create disaster management information systems in total 3 provinces.	May-11	Dec-13	Australian Red Cross French Red Cross Indonesia Red Cross BPBD BNPB Local DM stakeholders at provincial and district level including INGOs, CSOs, associated government departments	\$AUD4,400,000 + \$AUD 600,000 from Australian and French Red Cross	Ongoing
1.3 <i>Diklat penguatan kapasitas manajemen PB di daerah</i>  Training and education to strengthen the management capacity of DM at regional level	Outcome 1 – Better understanding of risk and vulnerability  Outcome 2 – Better able to reduce disaster risk in practice	Sub-National Disaster Management Needs and Capacity Development Assessment	The assessment was designed to establish key challenges at the sub-national level. A team of 4 (1 international + 3 national) undertook the assessment which involved a review of 8 provinces including those with established BPBD and those with new BPBD. The assessment to be used to assist in program strategy for T&O	1) Conduct review of 8 provinces 2) Produce an Aide Memoire highlighting key findings 3) Produce final report highlight training needs and challenges based on BNPB criteria - 1) Legislation; 2) Institution; 3) Planning; 4) Implementation; 5) Finance/Budget; 6) Knowledge/Technology	Assessment Completed Aide Memoire presented to BNPB Final Report presented to AIFDR Report translated into Indonesian	Apr-10	Aug-10	BNPB BPBD International consultant national consultants	\$AUD 95,000	Completed
		BNPB Pusdiklat Disaster Management Curriculum and Training Module Development	This program is designed as a lead-in program for longer term capacity development support for the BNPB Training and Education Unit. A team of 3 national specialist including 1 DRR specialist and 2 adult learning specialists. Includes: 1) Analysis of training needs and internal capacity gaps 2) Identification of future training strategy 3) Development of existing curriculum into basic DM training modules 4) Trial of modules within BNPB and ToT for BNPB trainers 5) Piloting of training led by BNPB trainers in East Java. 6) Recommendations on future training program and strategy	1) Produce a training needs analysis specific to BNPB Pusdiklat identifying future training strategy and key training components for improved disaster management capacity 2) Develop Basic Disaster Management Training modules 3) Conduct ToT for BNPB trainers 4) Test and trial training materials in Jakarta (BNPB) and province (East Java) 5) Final report and recommendations.	National development team has been contracted and working with BNPB Pusdiklat Training modules for Basic Disaster Management currently under development	Apr-11	Aug-11	BNPB - Pusdiklat staff BPBD Province - East Java BPBD district - Jember	\$AUD 82,500	Ongoing

BNPB Priority	AIFDR Outcomes	Activity Name	Description	Outputs to be delivered	Major Milestones Achieved to date	Activity Start	Activity End	Partners	Estimated Total Budget	Planned, Ongoing or Completed
1.4 <i>Peningkatan Kapasitas Sumber Daya Manusia dalam Penanggulangan Bencana (Teknis PB)</i>  Human Resource Capacity Building in DM (technical DM)	Outcome 1 – Better understanding of risk and vulnerability  Outcome 2 – Better able to reduce disaster risk in practice	BNPB Capacity Development Support Program	This program will provide national technical assistance to key areas of BNPB. The technical assistance will be embedded into BNPB units and provide skills transfer. The technical assistants will be managed by the relevant BNPB Deputies and Directors but will be monitored regularly by AIFDR. The technical assistants will be required to produce Capacity Development Contracts with counterparts. Key capacity development areas include law and policy analyst, liaison & protocol officer; governance adviser; disaster risk management specialist; monitoring and evaluation specialist; provincial DM and DRR program analysts; research officer; DRR coordinator; public relations and media analyst; capacity building team. The TA requirements have been identified by BNPB based on an internal capacity and needs assessment. Review will be held after 12 months	1) Recruitment of up to 17 national technical assistants 2) Secondment of TA into key BNPB units 3) Training and capacity development activities undertaken by TA in coordination with BNPB 4) Quarterly meetings and reports 5) Design of long term Capacity Building Contracts - identifying future skills and capacity building activities. 6) Program review and assessment.	1) Scoping undertaken by AIFDR team to identify key positions and job description 2) HK Logistics contracted to manage recruitment and HR support program - including funding CB activities	May-11	Oct 2011 (phase 1 - will be extended)	HK Logistics BNPB BPBD East Java, South Sulawesi, West Papua, east Kalimantan (TBC)	\$AUD 620,000	Ongoing
1.6 <i>Pembentukan Depo Logistik Regional, Pusat Pelatihan dan Pusedalops</i>  Establishment of Regional Logistics Depot, Center for Training and Pusedalops	Outcome 1 – Better understanding of risk and vulnerability  Outcome 2 – Better able to reduce disaster risk in practice	Scoping for Disaster Management T&L Centres	Scoping of potential provinces for Regional Training and Logistics Centres. Included BNPB reps from preparedness, Pusediklat and logistics; engineering team; warehouse & logistics team and DRR training specialist + AIFDR. Visited West Sumatra, NTB, South Sulawesi, Papua and South Kalimantan	1) Engineering survey including draft concept designs 2) Land provided by local government 3) Soil testing and assessment 4) Draft and Final reports including engineering, logistics and training assessments	1) Draft report completed 2) Final report completed and presented to BNPB 3) Concept drawings completed and approved by BNPB 4) Padang selected as pilot project	Nov-09	Jul-10	BNPB BPBD Cardno Acil HK Logistics DRR consultant	\$AUD 190,000	Completed
		Padang Disaster Management T&L Centre - Design	Padang has been selected as the pilot for Indonesia's first Regional Disaster Management Training and Logistics Centre. Through selected tender, a company has been contracted to create the Project Design Document for open tender. The PDD will include detailed construction design and supporting program to enable transition to Gol	1) Company contracted to undertake design work 2) Detailed Construction Design including materials, indicative budget etc 3) Draft Project Design Document 4) Final Project Design Document - tender ready	1) The program is now being designed, including a comprehensive construction design, and timelines are being developed. It is estimated that construction will take over 12 months with follow-up support to BNPB until the end of AIFDR. 2) The Aide Memoire has been presented to BNPB, West Sumatra BPBD and AIFDR.	Jan-11	Aug-11	BNPB BPBD West Sumatra Cardo Acil Pty Ltd Willcox Associates (sub-contracted for details construction design)	\$AUD 245,000	Ongoing
		Padang Disaster Management T&L Centre - Construction and Program Implementation	Following the completion of the PDD, the project will be put to open tender. This process will take approx 5 months. The project - construction and capacity building - is expected to take up to 2 years	1) PDD put to open tender 2) Managing contractor selected 3) Project started	N/A	Jul-11	Dec-13	BNPB BPBD West Sumatra Selected managing contractor	\$AUD 3,200,000	Ongoing
3.3 <i>Berbagi informasi dan pembelajaran antardaerah dan dengan negara lain</i> Sharing information and knowledge across regions and with other countries	Outcome 1 – Better understanding of risk and vulnerability Outcome 2 – Better able to reduce disaster risk in practice	BNPB English Training	Based on request form BNPB, AIFDR instituted an English training program. The program was designed and implemented by a local Jakarta provider and training classes were provided at BNPB offices	1) Training program designed and approved by BNPB 2) English proficiency testing provided to participating BNPB staff 3) English testing completed and training certificates provided	1) Testing of BNPB staff completed 2) 87 BNPB staff trained in Level 1, 2a and 2b + conversation 3) Completed.(There were some difficulties with attendance due to many BNPB officers in the field following multiple emergencies in 2010.)	May-10	Dec-10	TBI - English Training BNPB	\$AUD 15,000	Completed

BNPB Priority	AIFDR Outcomes	Activity Name	Description	Outputs to be delivered	Major Milestones Achieved to date	Activity Start	Activity End	Partners	Estimated Total Budget	Planned, Ongoing or Completed
3.4 <i>Pendidikan publik melalui diseminasi informasi terkait kebencanaan</i>  Public education through the dissemination of disaster related information	Outcome 1 – Better understanding of risk and vulnerability  Outcome 2 – Better able to reduce disaster risk in practice	West Sumatra build-back-better campaign - Phase 1	The Build Back Better campaign Phase 1 involved the production of multi-media materials, distribution and broadcast of materials and development and broadcast of training video on how to build an earthquake safe house. The campaign featured development of the key slogan - Bukan Gempa Tapi Bangungannya and the phrase Rumah Aman Gempa (Earthquake Safe House). The campaign featured well-known national actor Jajang C Noer	1) Development of visual , audio and print media 2) Broadcast and distribution of materials 3) Mid-term and final reports	1) Phase 1 completed 2) Program launched by West Sumatra Govenor, BNPB and Australian Ambassador 3) High quality materials produced - television commercials and training film, radio commercials, print materials. 4)PSAs broadcast almost 2800 times reaching an estimated 2.7 million (70% of target area) 5) High quality report completed. Translated and shared with BNPB. 1000 extra copies printed for distribution at BNPB oputreach events	Nov-09	May-10	IDEP Foundation Cagkir Kopi -Production Company BNPB BNPB West Sumatra Construction Clinic - Andalas university	\$AUD 250,000	Completed
		West Sumatra build-back-better campaign - Phase 2	The Build Back Better Phase 2 program involved interactive community programs in worst affected areas, production and distribution of more materials, development of a earthquake safe retrofitting video and development and launch of on-line national products: www.rumahamangempa.net	1) Development of a retrofitting training video 2) Broadcast of materials 3) Community events 4) Design of national materials and development of website and interactive strategy include Face Book and Twitter 5) Mid-term and final reports	1) Phase 2 completed. 2) National website developed and launched by West Sumatra Vice Governor, head of BPBD, BNPB rep and Australian Charge de Affairs 3) Broadcast of PSAs almost 1500 times + films and talks shows reaching audiences of up to 1 million 4) Community outreach and screenings in 8 locations + 3 universities 5) More than 1000 media and info packs distributed to communities, community facilitators and other outreach stakeholders 6) Development of new training video 7) Reports completed on time.	May-10	Oct-10	IDEP Foundation BNPB BNPB West Sumatra Construction Clinic - Andalas university	\$AUD 200,000	Completed
		West Sumatra build-back-better campaign - Phase 3	The Build Back Better phase 3 included more community outreach, development of film for earthquake resistant wooden buildings (semi-permanent) and links with Muhammadiyah and NU and AusAID partners working on reconstruction. A key part of Phase 3 was the training of village builders.	1) Development of semi-permanent earthquake safe house training video 2) Broadcast iof materials 3) Design and production of community training materials 4) Training of community builders 5) Mid-term and final reports	1) Phase 3 is ongoing 2) has provided training tools as well as direct training or more than 200 village builders in earthquake affected areas 3) Conducted training and village outreach in partnership with Muhammadiyah 4) Conducted training with managing contractor Coffey responsible for health clinic reconstruction 5) Developed a new training video for semi-permanent earthquake safe house	Nov-10	Aug-11	IDEP Foundation BNPB BNPB West Sumatra Construction Clinic - Andalas university	\$AUD 380,000	Ongoing
		West Sumatra Build Back Better campaign - Assessment	A comprehensive assessment of the Build Back Better campaign was commissioned to evaluate the extent to which the campaign had affected attitude and practice in terms of communities adopting build back better techniques in housing reconstruction. Included provision for the design of a national earthquake safety program contingent upon assessment results	1) Design of assessment methodology 2) Quantitative Survey of communities in West Sumatra 3) Qualitative evidence collection 4) Draft assessment report 5) Final assessment report and recommendations	1) Assessment completed and results presented to BNPB 2) 2 out of 3 surveyed has changed attitudes but only small number of people were actually building earthquake safe houses 3) Assessment identified barriers to building back better 4) Comprehensive report completed 5) Design of interim program - Resilient Village: Earthquake Safe Housing	Nov-10	Jul-11	IDEP Foundation BNPB BNPB West Sumatra Construction Clinic - Andalas university	\$AUD 450,000	Ongoing

BNPB Priority	AIFDR Outcomes	Activity Name	Description	Outputs to be delivered	Major Milestones Achieved to date	Activity Start	Activity End	Partners	Estimated Total Budget	Planned, Ongoing or Completed
5.4  <i>Pengembangan program PRB berbasis masyarakat</i>  Development of community-based DRR program	Outcome 1 – Better understanding of risk and vulnerability  Outcome 2 – Better able to reduce disaster risk in practice	West Sumatra Resilient Villages - Safe Housing Construction (Pilot earthquake mitigation program)	This interim program has been designed for 4 villages in West Sumatra - 2 urban and 2 rural - and will test and trial incentives for communities to adopt and follow through with earthquake safe building practices. The program will involve incentive through subsidised micro-credit and aims to combine community education, training of community and builders and community participation and monitoring. The model has been design based on the outcomes of the Build Back Better campaign assessment	1) Design of program initiatives 2) Inclusion of resilient villages program - village disaster prep. teams & community mapping 3) Training a cadre of village builders in earthquake safe housing techniques 4) Up to 300 earthquake safe houses built 5) Communications strategy and village, district and province level 6) Advanced data base and monitoring system	1) Program designed and now being implemented	May-11	Aug-12	Mercy Corps West Sumatra Construction Clinic IDEP Foundation BPBD West Sumatra	\$AUD 1,800,000	Ongoing
	Outcome 1 – Better understanding of risk and vulnerability	Oxfam Building Resilience in Eastern Indonesia Mid Term Review	AIFDR manages the Oxfam Building Resilience in Eastern Indonesia program. This program was previously managed by the AusAID's Disaster Management Unit. Funding continues to be provided from other AusAID sources. However, for future programming it was important to organise a mid-term review of the program	1) Mid term assessment of the BR in eastern Indonesia program to identify strengths and weaknesses on implementation to date and makes appropriate recommendations 2) Aide Memoire, draft report, final report	1) Aide Memoire has been presented to Oxfam, BNPB and AIFDR	Apr-11	Aug-11	Oxfam BNPB International & national consultant	\$AUD 115,000	Ongoing
	Outcome 2 – Better able to reduce disaster risk in practice	Community Based Disaster Risk Management National Review	The CBDRM review has been designed to show level of CBDRM programming in Indonesia, review current and past CBDRM programs and identify gaps for future community programming	1) Design of review methodology 2) Workshop with partners 3) CBDRM Methodology Booklet 4) CBDRM community survey and review on non-AusAID programs 5) Final report and recommendations	1) International consultant identified and contracted 2) National NGO identified and contracted 3) Review methodology designed.	May-11	Sep-11	BNPB AusAID CBDRM partners Non-AusAID partners International consultant National NGO - Perkumpulan ELSPPAT	\$AUD 155,000	Ongoing
6.1  Penguatan SRC-PB nasional di wilayah barat dan timur  Strengthening INDRRA (SRC-PB) in the west and east area	Outcome 1 – Better understanding of risk and vulnerability  Outcome 2 – Better able to reduce disaster risk in practice	Rapid Assessment & Information Management Training - SRC-PB	This was the first workshop to combine military and civilian members of the SRC-PB from both the western and eastern commands. A team of four DRR specialists designed a workshop to introduce rapid assessment techniques and tools adopted for the Indonesian and specifically SRC-PB context. Media and information management training was also included	1) Identification of international standard training and tools for SRC-PB context 2) Design and adaptation of tools 3) Design and implementation of 3-day training workshop 4) Final reports and recommendations	1) All outputs completed 2) Training involved 31 people / 30M + 1F. Participants from Indonesian armed forces, BNPB and associated ministries 3) Final reports and recommendations completed	Mar-10	May-10	International consultant X 1 National consultants X 3 Maverick Media BNPB	\$AUD 80,000	Completed
6.1Penguatan SRC-PB nasional di wilayah barat dan timurStrengthening INDRRA (SRC-PB) in the west and east area	Outcome 1 – Better understanding of risk and vulnerabilityOutcome 2 – Better able to reduce disaster risk in practice	SRC-PB Equipment and Training Support Program	This is a training and equipment support program for the new national disaster rapid response and assistance force. The investment is for preparedness of the force to react quickly to national disasters. The program will support the western and eastern commands of the SRC-PB	1) Provision of targeted training for the SRC-PB 2) Provision of personnel kit for the SRC-PB	1) USAR training completed 2) ICT training completed 3) Kit purchased for western command 4) ICT, medium SAR, command tents, rescue vehicles procured etc 45 warehouse Space secured in Jakarta and Malang	Jun-10	Oct-11	HK Logistics BNPB	\$AUD 2,780,000	Ongoing
II.3.1  <i>Peningkatan kapasitas tanggap darurat melalui pendidikan-pelatihan, pembangunan sistem dan infrastruktur serta penyediaan anggaran yang memadai</i>	Outcome 1 – Better understanding of risk and vulnerability  Outcome 2 – Better able to reduce disaster risk in practice	Padang Temporary Emergency Warehouse, Emergency Stores and Temporary EOC Program	This program was established after the Padang earthquake 2009 to provide temporary emergency warehouse space and emergency relief items for BNPB. The temporary warehouse was initially designed to provide logistics solutions while the new Padang Training and Logistics Centre was constructed. This is based on evidence that points to the potential of another large earthquake occurring in the region	1) Provide temporary warehouse space for BNPB 2) Provide emergency relief items	1) Warehouse scoped, identified and rented 2) Warehouse manager trained 3) based on request from BNPB, the warehouse space has been provided to the West Sumatra Emergency Operations Centre and currently EOC is housed in container	Jun-10	Oct 11 (possible extension)	HK Logistics BNPB BPBD West Sumatra	\$AUD 618,000	Ongoing



BNPB Priority	AIFDR Outcomes	Activity Name	Description	Outputs to be delivered	Major Milestones Achieved to date	Activity Start	Activity End	Partners	Estimated Total Budget	Planned, Ongoing or Completed
Improvement of the emergency response capacity through education, training, systems development and infrastructure as well as adequate budgeting		Radio Operations Training	This training was hosted for BNPB staff at AIFDR offices	1) Basic radio operations training for BNPB staff	1) All outputs completed 2) Training for 27 people - 26M and 1F	Mar-10	Mar-10	BNPB	\$AUD 15,000	Completed

BNPB Priority	AIFDR Outcomes	Activity Name	Description	Outputs to be delivered	Major Milestones Achieved to date	Activity Start	Activity End	Partners	Estimated Total Budget	Planned, Ongoing or Completed
Partnerships										
6.2 <i>Kerjasama Internasional dalam peningkatan kesiapsiagaan dan tanggap darurat</i>  International cooperation in improving emergency preparedness and response	Outcome 2 – Better able to reduce disaster risk in practice Outcome 3 – Partnerships with national, community and international organisations	The ASEAN Agreement on Disaster Management & Emergency Response	AIFDR has provided \$1.3 million for the implementation of the ASEAN Agreement on Disaster Management & Emergency Response (AADMER) work program. Indonesia and the other 9 ASEAN Member States have legally committed to supporting over 300 activities that enhance national and regional capacity in disaster management. AIFDR funding supports ASEAN's priority activities, including the AHA Centre, Risk Assessments, Safer Schools and Rapid Assessment Training.	1) Work plan of key activities to be funded agreed to by AIFDR, BNPB and ASEAN. 2) Recruitment of additional staff to the ASEAN Secretariat to support better AADMER implementation. 3) Risk Assessments: Support Indonesia take the lead in this Working Group and develop a work plan 4) AHA Centre: Release funding when AHA Centre is legally established 5) Safer Schools: Work with ASEAN Sec to develop a work plan for this working group that includes pilot projects in Jakarta and Manila. 6) Emergency Rapid Assessment Team: Work with Singapore as the lead to ensure Indonesian nationals are included in regional training 7) Establish and Chair the ASEAN Dialogue Partners' Working Group on Disaster Management to better coordinate donors support for AADMER	1) Work plan agreed (August 2010) 2) Job profiles and advertisements drafted (May 2011) 3) ASEAN Committee for Disaster Management (ACDM) agreed to the Risk Assessment Working Group proposal led by Indonesia, Philippines and Singapore (Feb 2011) 4) AHA Centre not legally established 5) Not yet progressed 6) The Emergency Rapid Assessment Team established and finished round 1 training (Nov 2011) and Indonesian nationals included in training. 7) ASEAN Dialogue Partners Working Group established (June 2010) and 2 meetings held, 3rd scheduled for June 2011. These better link BNPB with the UKP4/AHA Centre staff, better streamline donor support for ASEAN activities, and support Indonesia's increasing leadership role in ASEAN disaster management activities	Jun-10	Jun-12	ASEAN Secretariat, ASEAN Committee on Disaster Management, BNPB, UKP4/Indonesian AHA Centre Management Team, ASEAN Dialogue Partners (EU, Canada, Japan, USA, NZ)	\$1.3 million	Ongoing
	Outcome 2 – Better able to reduce disaster risk in practice Outcome 3 – Partnerships with national, community and international organisations	BNPB Capacity Building in Logistics and Telecommunications Partnership with WFP	AIFDR facilitated the partnership of WFP and BNPB for a project aimed at building capacity within the BNPB logistics and telecoms areas, and in turn training BNPB and SRC-PB staff.	1) Work plan agreed to by BNPB, AIFDR and WFP 2) Two WFP expert staff embedded within BNPB 3) Training modules developed 4) 200 BNPB and SRC-PB staff trained in emergency logistics AND emergency telecommunications 5) SRC-PB SOPs developed 6) Food and Non-Food Items Tracking Database	1) Work plan agreed to (June 2010) 2) Two staff embedded, one fully and one partially (September 2010) 3) Training modules developed (January 2011) 4) Not achieved 5) Not achieved 6) Not achieved	Jun-10	Aug-11	BNPB, WFP	\$600,000	Ongoing
	Outcome 2 – Better able to reduce disaster risk in practice Outcome 3 – Partnerships with national, community and international organisations	BNPB and Regional Training in International Disaster Assessment Standards with UNOCHA	AIFDR facilitated greater numbers of Indonesian nationals being trained in UNDAC standards in partnership with their ASEAN colleagues and UNOCHA	1) Indonesian nationals (BNPB, Dept of Health, NGO) trained in UNDAC standards 2) Other ASEAN Nationals trained in UNDAC 3) Further opportunities to tailor-make UNDAC courses and trainings in Indonesia	1) 3 Indonesian nationals trained in UNDAC standards and now members of the UNDAC team - one was deployed as part of ASEAN's ERAT team deployment to the October 2010 Mentawai Island tsunami 2) 7 other ODA eligible ASEAN nationals trained 3) Being pursued	Apr-10	Apr-12	BNPB, OCHA Geneva, OCHA Indonesia	\$100,000	Ongoing

BNPB Priority	AIFDR Outcomes	Activity Name	Description	Outputs to be delivered	Major Milestones Achieved to date	Activity Start	Activity End	Partners	Estimated Total Budget	Planned, Ongoing or Completed
3.3 <i>Berbagi informasi dan pembelajaran antardaerah dan dengan negara lain</i>  Sharing information and knowledge across regions and with other countries	Outcome 3 – Partnerships with national, community and international organisations	1 million Safer Schools and Hospitals Campaign	A global campaign which PLANAS and BNPB launched in Indonesia.	1) Support for materials, banners and books as part of the launch of the event in October 2010	All achieved	Sep-10	Sep-11	BNPB, PLANAS, Department of Education	\$10,000	Completed
	Outcome 3 – Partnerships with national, community and international organisations	Global Platform for Disaster Risk Reduction	3rd Global Platform for DRR is a 2-yearly event that brings together governments and partners of DRR. The UN Secretary-General opens and the President of Indonesia was to receive the Global Champion Award. AIFDR secured Indonesia a side-event (highlighting safer villages) and a marketplace showcasing Indonesian best-practice.	1) Organise side-event with BNPB and BAPPENAS 2) Organise marketplace with BNPB 3) Attend as part of the Indonesian Delegation	All achieved.	Jan-11	May-11	BNPB, BAPPENAS	\$45,000	Completed
5.4 <i>Pengembangan program PRB berbasis masyarakat</i>  Development of community-based DRR program	Outcome 1 – Better understanding of risk and vulnerability Outcome 3 – Partnerships with national, community and international organisations	Scoping Mission: Scoping a partnership between BNPB, NU and AIFDR	A 5-month scoping mission that supported NU, BNPB and AIFDR to work together to identify the best partnership for DRR at the local level.	1) Agreed scoping mission plan 2) Scoping mission, including site visits and analysis 3) Final report in the form of a new program proposal	All achieved. Site visits to East Java also included BNPB and AIFDR staff attending.	Jul-10	Oct-10	NU, BNPB	\$50,000	Completed
	Outcome 1 – Better understanding of risk and vulnerability Outcome 3 – Partnerships with national, community and international organisations	Advocacy in Disaster Management Institutions in 8 Districts, East Java (NU)	A 3-year program aimed at developing disaster management plans in 8 districts that are budgeted, linked to communities and aimed at DRR.	1) Recruitment of 8 Regional Officers for the 8 Districts 2) MOUs in each 8 districts with key stakeholders for disaster management planning (BPBD, NU, DPRD) 3) New disaster management laws in 8 districts 4) New disaster management plans in 8 districts 5) Community workshop engagement through Perda planning and DM Plan development	1) Achieved (Feb 2011) 2) Achieved (may 2011)	Jan-11	Dec-13	NU, BNPB, BPBD (Provincial), 8 BPBD (District), 8 DPRD (Parliament), Community	\$2.2 million	Ongoing
	Outcome 1 – Better understanding of risk and vulnerability Outcome 3 – Partnerships with national, community and international organisations	Scoping Mission: Scoping a partnership between BNPB, Muhammadiyah and AIFDR for "Safer Hospitals & Communities Phase 2"	A 5-month scoping mission that supported Muhammadiyah, BNPB and AIFDR to work together to identify the best partnership for DRR at the local level.	1) Agreed scoping mission plan 2) Scoping mission, including site visits and analysis 3) Final report in the form of a new program proposal	1) Achieved (May 2011)	Jun-11	Sep-11	Muhammadiyah (Health and Disaster Units), BNPB	\$50,000	Ongoing
5.4 <i>Pengembangan program PRB berbasis masyarakat</i>  Development of community-based DRR program	Outcome 1 – Better understanding of risk and vulnerability Outcome 3 – Partnerships with national, community and international organisations	Partnership with Muhammadiyah and BNPB for "Safer Hospitals & Communities Phase 2"	A multi-year partnership aimed at creating safer hospitals and communities in select districts						\$1.5 million	Planned
	Outcome 1 – Better understanding of risk and vulnerability Outcome 3 – Partnerships with national, community and international organisations	Socialisation of DRR in Islamic Boarding Schools in pesantren in West Java	A project aimed at using previously funded (by AusAID) DRR education materials to socialise concepts through training, workshops and a simulation.	1) Initial training and dissemination of material 2) Workshops with students and teachers and local leaders 3) Community disaster simulation that will put in place lessons learned	1) Achieved (May 2011)	Apr-11	Oct-11	NU, BNPB, 2 Pesantren in West Java	\$73,000	Ongoing

BNPB Priority	AIFDR Outcomes	Activity Name	Description	Outputs to be delivered	Major Milestones Achieved to date	Activity Start	Activity End	Partners	Estimated Total Budget	Planned, Ongoing or Completed
	Outcome 2 – Better able to reduce disaster risk in practice Outcome 3 – Partnerships with national, community and international organisations	Support to the Indonesian National Platform for DRR (PLANAS)	PLANAS is a national multi-stakeholder advisory group on DRR. The aim is to support all stakeholders with key activities, policy development and advocacy in Indonesian DRR, and to support the development of local platforms with good practices	n/a	Many discussions with PLANAS executive about AIFDR support. It was agreed that PLANAS would provide an annual work plan for funding, but this did not happen. Ongoing internal changes and structural changes has prevented further progress and discussions	Jul-10	Jun-11	PLANAS, BNPB,	\$100,000	Planned

BNPB Priority	AIFDR Outcomes	Activity Name	Description	Outputs to be delivered	Major Milestones Achieved to date	Activity Start	Activity End	Partners	Estimated Total Budget	Planned, Ongoing or Completed
Research and Innovation										
1.5 <i>Pemberdayaan Perguruan Tinggi untuk memfasilitasi peningkatan kapasitas Penanggulangan Bencana</i>  Empowerment of Higher Education to facilitate capacity building for Disaster Management	Outcome 1 – Better understanding of risk and vulnerability	Targeted Grants - Assessment Model for an Integrated Socio-Economic recovery of Mt Merapi Victims	Recovery of victims of Mt Merapi eruption is a complex process. Livelihood recovery is determined by various factors, including good understanding about survivors' social, political and economic context, as well as their involvement in the decision making process. This study will be based on the mapping of socio-economic conditions, touching the very core of issues being faced in the post-eruption period. This mapping will be complemented by mapping of cultural conditions. Findings will be used as the basis to design an integrated solution for socio-economic recovery.	Inputs and strategic recommendations for BNPB, BPBD Sleman and Magelang	Agreement is signed in June 2011	Jun-11	Jan-13	Penelitian & Pelatihan Ekonomika & Bisnis, Fakultas Ekonomika & Bisnis, Universitas Gadjah Mada		Ongoing
	Outcome 2 – Better able to reduce disaster risk in practice  Outcome 3 – Partnerships with national, community and international organisations	DRR Research Grants - Developing better governance in disaster management: creating gender equity-based vulnerability mapping for local capacity building and DRR	This research aims to 1) measure vulnerability level among society members, emphasising on women who are affected the most by disasters; 2) develop gender equity-based governance systems to reduce disaster vulnerability within household, community and district and increase their resilience in coping with disasters; and 3) develop a solid model of gender equity-based governance systems at various levels by piloting the model in selected villages, sub-districts and districts.	1) gender equity-based governance system model; 2) recommendations for further refinement of the model		Jul-11	Feb-13	Magister Administrasi Publik, Universitas Gadjah Mada	IDR1.122.800.000 (approx. AUD124,755.60)	Planned

BNPB Priority	AIFDR Outcomes	Activity Name	Description	Outputs to be delivered	Major Milestones Achieved to date	Activity Start	Activity End	Partners	Estimated Total Budget	Planned, Ongoing or Completed
		DRR Research Grants - Disaster Risk Management Development Model for Micro, Small and Medium Enterprises in Surakarta	In the disaster, the micro, small and medium enterprises (MSME) sector is greatly affected and often does not have the ability to recover. MSMEs in Surakarta is very rarely or never had involvement with banks or other micro-finance institutions because most of them were considered un-bankable. These conditions occur due to the lack of vision and ability to develop risk management for their business; while on the other hand, their limited capital hampers them from developing proper business risk management processes. This research aims to develop a model for micro-financing schemes based on risk analysis for the MSMEs in Surakarta. The DRM model for MSMEs is part of the strategy for preparing institutions in anticipating natural disasters.	Disaster risk management model for micro, small and medium enterprises	Agreement is signed in June 2011	Jun-11	Jul-11	Pusat Penelitian Bisnis & Manajemen, Fakultas Ekonomi, Universitas Muhammadiyah Surakarta	IDR502.508.750 (approx. AUD55,834.30)	Planned
3.1 <i>Penelitian dan pengembangan ilmu pengetahuan dan teknologi penanggulangan bencana</i>  Research and development of science and technology for disaster management	Outcome 1 – Better understanding of risk and vulnerability  Outcome 2 – Better able to reduce disaster risk in practice  Outcome 3 – Partnerships with national, community and international organisations	DRR Research Grants - Development of Earthquake Fatality Model as a Function of Modified Magnitude Intensity for Indonesia	Earthquake disasters cause fatalities to human due to the vulnerabilities in the affected areas, by both physical environment and social economic of the people. Such conditions require that the local government and the community in the high risk areas to be prepared by developing earthquake disaster risk reduction and emergency response plan. In order to develop plan that is in accordance with the existing conditions, it is necessary to estimate the disaster risk based on the hazard and vulnerability conditions related to future earthquake disaster. This research is intended to develop earthquake fatality model as a function of estimated Modified Magnitude Intensity (MMI) relevant to Indonesian urban areas. The goal of the research is to reduce fatalities in future earthquake disaster in Indonesian urban areas and to provide tool for emergency response planning. Specific objectives are to develop methods to estimate the level of fatality in urban areas due to earthquakes, which can be used to help prioritize earthquake vulnerability reduction programs in Indonesian cities, and to plan effective emergency response measures.	The expected outcome of the research is improved earthquake vulnerability reduction program in the urban areas of the involved cities in particular and at the national level in general, which consists of strengthened buildings in the highest fatality area estimated by the model and improved method for earthquake disaster emergency response based on the near real time prediction of fatality.	Agreement is signed in June 2011	Jun-11	Jul-12	Lembaga Penelitian & Pengabdian Masyarakat, Institut Teknologi Bandung	IDR834.471.000 (approx. AUD92,719)	Ongoing

BNPB Priority	AIFDR Outcomes	Activity Name	Description	Outputs to be delivered	Major Milestones Achieved to date	Activity Start	Activity End	Partners	Estimated Total Budget	Planned, Ongoing or Completed
		DRR Research Grants - Participatory Research on Climate Vulnerability	The proposed research will analyse climate change vulnerability in three districts of Nusa Tenggara Timur (NTT) and develop a model for climate change vulnerability mapping to be used nationally and internationally. The research also aims to strengthen research skills of academics and researchers in Indonesia, to better foster a stronger culture of research on DRR, climate change adaptation (CCA_ and development. The research will also help local government officers as well as DRR managers and practitioners to increase their knowledge and understanding of the potential implications of climate change, with a special focus on enhancing existing local capacities to adapt to climate change impacts through science-based expertise.	New approach for climate vulnerability mapping developed; increased capacity of academics, resaerchers, disaster risk managers and practitioners in mapping vulnerability; local adaptive responses to climate change stimulated; recommendations for design of DRR/CCA activities within a long-term framework	Agreement is signed in June 2011	Jun-11	Jul-12	PLAN International Indonesia	IDR869.680.000 (approx. AUD96,6311)	Ongoing
3.1Penelitian dan pengembangan ilmu pengetahuan dan teknologi penanggulangan bencanaResearch and development of science and technology for disaster management	Outcome 1 – Better understanding of risk and vulnerabilityOutcome 2 – Better able to reduce disaster risk in practiceOutcome 3 – Partnerships with national, community and international organisations	Targeted Grants - Anthropologic al Study of the Diversity of Local Knowledge of Mt Merapi People	Accounts and experiences from recent disasters have provided valuable lessons from which disaster and post-disaster management could be improved. Discrepancy in cultural understanding between government's official procedures as well as scientific knowledge and local knowledge are lessons that could be learned from the recent Mt Merapi eruption in Central Java. It is important to take local knowledge into account if we want to achieve an effective disaster risk management and DRR implementation. This study aims to understand socio-cultural potentials, way of life, beliefs, ecological knowledge and the everyday lives of communities living in the slope of Mt Merapi. By understanding those aspects, research findings will assist government in reformulating and improving the current DRM strategy.	1) Results of the study will be fed into the assessment model of an integrated socio-economic livelihood recovery. 2) Ethnography of people living in Mt Merapi.	Agreement was signed in April 2011	Apr-11	Jun-12	Laboratorium Antropologi untuk Riset dan Aksi, Departemen Antropologi, Universitas Gadjah Mada	IDR3.140.000.000 (approx. AUD348,888.90 )	Ongoing
		DRR Research Grants - The Construction of Awareness, Individual and Collective Self-Defence Mechanisms and Patterns of Kluet Society, South Aceh, in dealing with Natural Disaster and Social-Political Conflict	The research aims to understand the individual as well as the collective self-defence mechanisms and patterns of the Kluet Society, Southern Aceh, in dealing with disasters happened in the past and present time. The self-defence mechanisms and patterns will be reviewed thoroughly using analytical-genealogical-critical discourse approach to generate a comprehensive understanding about the configuration and collective awareness construction of Kluet society in dealing with various disasters. It is important to explore collective memory about the history of disasters that happened in the past and the cultural-religious understanding that is strongly held by the Kluet society. Research results will be confronted with the disaster risks program implemented by international humanitarian organisations in Kluet, to analyse whether the programs are effective and have helped in creating a "new culture" related to DRR and patterns to deal with disasters.	1) Historiography; 2) Recommendations for the partner and relevant stakeholders in refining DRR plan and program within communities that have suffered from political and natural disasters	Proposal and budget have been finalised	Jul-11	Jul-13	Pusat Sejarah dan Etika Politik, Universitas Sanata Dharma	IDR2.379.368.790 (approx. AUD264,374.30 )	Planned

BNPB Priority	AIFDR Outcomes	Activity Name	Description	Outputs to be delivered	Major Milestones Achieved to date	Activity Start	Activity End	Partners	Estimated Total Budget	Planned, Ongoing or Completed
5.4  <i>Pengembangan program PRB berbasis masyarakat</i>  Development of community-based DRR program	Outcome 1 – Better understanding of risk and vulnerability	DRR Community Grants - Community-based Integration of DRR into Sustainable Livelihood Program	Community-based Integration of DRR into Sustainable Livelihood program (DRR-SL) is designed as an essential effort to promote DRR practice to become a normal part of decentralised development process, in particular to strengthen community social economic resilience. Main objective of the activity is to strengthen capacity of community in two villages in Yogyakarta in managing disaster risk resilient sustainable livelihood through promotion of DRR integration into sustainable livelihood, facilitate awareness raising activities, and policy as well as institutional advocacy.	1) Application of sustainable livelihood based DRR policy, regulation and framework; 2) strengthened local economic development organisation and multi-stakeholder partnership; 3) community and decision makers have better understanding about hazards and necessary actions in disaster risk and hazards reduction; 4) establishment of a strategic forum at the village level, regulation and strategic plan, as well as multi-stakeholder partnership.	Agreement is signed in June 2011	Jun-11	Dec-12	Daya Annisa	IDR1.157.844.500 (approx. AUD128,649.40)	Planned
	Outcome 2 – Better able to reduce disaster risk in practice  Outcome 3 – Partnerships with national, community and international organisations	DRR Community Grants - Reducing Risk of disaster through community-based Disaster Mitigation and Preparedness Planning	This activity aims to contribute to the reduction of disaster risk in total of 15 villages in Tolikara, Yakuimo and Jayawijaya districts (Papua), Minahasa and Bitung districts (North Sulawesi), and Northern Lombok district (Nusa Tenggara Barat), using Participatory Assessment of Disaster Risk (PADR) methodology.	1) Local partner organisations mainstream DRR in their relief and development planning and program; 2) development of village disaster mitigation and preparedness planning; 3) establishment of village level disaster mitigation and preparedness planning task force or committee; 4) publication of good practices and lessons learned		Jun-11	Jan-13	World Relief	IDR899.137.000 (approx. AUD99,904.10)	Planned
5.6  <i>Pengurangan risiko dan kesiapsiagaan spesifik untuk kaum perempuan, anak dan kelompok-kelompok marjinal</i>  Risk reduction and preparedness specifically for women, children and marginalized groups	Outcome 1 – Better understanding of risk and vulnerability  Outcome 2 – Better able to reduce disaster risk in practice  Outcome 3 – Partnerships with national, community and international organisations	DRR Community Grants: Widening Participation Women and Children with Disability in Community-Focused Disaster Risk Reduction	Community-based Integration of DRR into Sustainable Livelihood program (DRR-SL) is designed as an essential effort to promote DRR practice to become a normal part of decentralised development process, in particular to strengthen community social economic resilience. Main objective of the activity is to strengthen capacity of community in two villages in Yogyakarta in managing disaster risk resilient sustainable livelihood through promotion of DRR integration into sustainable livelihood, facilitate awareness raising activities, and policy as well as institutional advocacy.	1) 70 KBPM cadres (5 per village) trained and equipped as Disaster Risk Reduction Cadres (KTB). 2) 7 PLKB trained at sub-district level in order to assist in coordination and monitoring. 3) up to 100 children with disabilities plus family members and neighbours- min. 4 per child (up to total of 500 individuals) will be trained. 4) Issuance of mandatory letters by district government acknowledging the role of cadres in community-focused disaster management and the need for the inclusion of women and children with disabilities and their incorporation within local contingency planning at the district level. 5) Inclusion of children with disabilities and reference to their protection in the event of a disaster with district contingency planning. 6) Dissemination of lessons learned with particular focus on the inclusion of children with disabilities in contingency planning from district to national level with further knowledge sharing at the village level within the sub-district.	Agreement is signed in June 2011	Jun-11	Aug-12	Arbeiter-Samariter-Bund Deutschland	IDR1.418.977.826 (approx. AUD157,664.20)	Ongoing

BNPB Priority	AIFDR Outcomes	Activity Name	Description	Outputs to be delivered	Major Milestones Achieved to date	Activity Start	Activity End	Partners	Estimated Total Budget	Planned, Ongoing or Completed
3.4 <i>Pendidikan publik melalui diseminasi informasi terkait kebencanaan Public education through the dissemination of disaster related information</i>	Outcome 1 – Better understanding of risk and vulnerability  Outcome 2 – Better able to reduce disaster risk in practice  Outcome 3 – Partnerships with national, community and international organisations	Targeted Grants - TV Film and Public Service Broadcast Campaign for Community Risk Reduction	Development and delivery of a Public Service Announcement (PSA) on prime-time TV leading to a prime time TV Film in popular entertainment format, but including key social issues and messages of risk and risk reduction strategies in Indonesian village life. The PSA will carry a core message which will be expanded in the TVFilm, exploring in a drama based manner, aspects of disaster risk, social inclusion, gender and health- and aspects of risk reduction. The primary objective is to deliver information to communities (middle to lower social levels) across Indonesia an interesting, entertaining TV film about key disaster risk, social inclusion and health issues.	1) Movie ; 2) Recommendations for development of future media campaign for DRR	Story line has been developed, but technical proposal and budget are still under negotiation	Jul-11	Aug-12	Australian Red Cross & Palang Merah Indonesia	IDR2.070.860.000 (approx. AUD230,095.60)	Planned

## **Annex 5**

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### **Evaluation Plan**



## Annex 5: Evaluation Plan for Mid-term Evaluation of AIFDR

### 1. Introduction

#### 1.1 Activity to be evaluated

As one of the most hazard-prone and densely populated countries in the world, Indonesia faces a significant risk of loss of life and economic impacts from natural disasters. This is why disaster risk reduction has been recognized by the Government of Indonesia as one of their top eleven priorities in the Medium-Term Development Plan (2010-2014). In recognition of the impact of disasters on developing economies, the AusAID policy on disaster risk reduction highlights the importance of investing in disaster reduction<sup>20</sup>.

AIFDR represents Australia's largest bilateral commitment to reducing the impact of disasters and is a key part of Australia's development program in Indonesia. The AIFDR works in close partnership with the Indonesian Disaster Management Agency, BNPB, and focuses on enhancing Indonesia's capacity to identify, mitigate and respond to risks from natural disasters.

AIFDR has been operational since April 2009 and was officially launched by the Australian and Indonesian Foreign Ministers in July 2010. An initiative of the Australian Prime Minister and President Yudhoyono, AIFDR has a budget of AU\$67 million over 2008-2013. Managed by Australian and Indonesian co-directors, the AIFDR work programs and funding decisions are developed in joint agreement between AusAID and BNPB. The AIFDR annual work-plan is reviewed by an executive committee and, in line with the Jakarta Commitment on Development Effectiveness, the AIFDR budget is lodged on the Government of Indonesia's budget. All reporting is in line with the Government of Indonesia's reporting requirements, where possible.

The goal of AIFDR is to "*strengthen national and local capacity in disaster management in Indonesia, and promotion of a more disaster resilient region*". Three work streams and one modality form the basis of the AIFDR:

- **Training & Outreach:** Works with *Badan Nasional Penanggulangan Bencana* (BNPB) – the National Disaster Management Board – to develop, standardise and deliver training materials to help build the capacity of national and sub-national governments to manage disaster risks. This program also develops materials to promote disaster reduction across Indonesia.
- **Risk & Vulnerability:** Works with Government of Indonesia by facilitating partnerships between Australian and Indonesian scientists to develop and demonstrate risk assessment methods, tools and information for a range of natural hazards.
- **Partnerships:** Supports key risk reduction partners of Indonesia and the Southeast Asia region. By fostering stronger linkages between these partners, this program ensures that the AIFDR adds value to Indonesian and regional efforts to make communities safer.
- **AIFDR Grants:** A modality that promotes a culture of disaster risk reduction research and innovation in Indonesia and the region, as well as support linkages between community and government.

AIFDR has a performance management plan that is consistent with the AusAID Indonesia Program Performance Assessment Framework, which guides implementation of the current Country Strategy at a sectoral level. This framework builds performance information from individual initiatives (such as AIFDR) up to higher level objectives so that the Australian aid

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<sup>20</sup> <http://www.ausaid.gov.au/keyaid/disasterriskreduction.cfm>

program in Indonesia, through State of the Sector and Annual Program Performance Reports is more able to coherently articulate achievements at the country level.

## 1.2 Purpose of evaluation

The purpose of the evaluation mission is to conduct an independent progress review (a mid-term evaluation) of the Australia Indonesia Facility for Disaster Reduction (AIFDR). The mid-term evaluation will test the hypothesis that AIFDR activities and outputs are progressing towards end-of-facility outcomes that will contribute to the facility goal. Lessons learned will inform refinement of the facility logic, the work plans for the period July 2011 to June 2013, and considerations for future contributions from Australia to Indonesia for DRR.

## 1.3 Contents of evaluation plan

This evaluation plan conforms to Standard 5 (Independent Evaluation Plans) of the Indonesia Program Monitoring and Evaluation Standards (November 2010 version). It identifies the primary intended users of the evaluation and their evaluation needs; sets out limitations or constraints on the evaluation; states the purpose and objectives of the evaluation; provides a broad investigatory framework and poses detailed evaluation questions based on the terms of reference. The plan also sets out how unexpected issues will be flexibly dealt with; describes appropriate methods to collect data for the evaluation questions; explains how triangulation will be used to strengthen the confidence in the findings; and sets out a clear and appropriate sampling strategy where needed. In addition, describes the proposed approach to data processing and who will be making informed professional judgments about AIFDR performance. The plan allocates evaluation tasks to team members. A proposed evaluation schedule and field work plan is presented that reflects adequate time to answer the posed evaluation questions. In addition, methods and tools are presented with performance questions presented for use in semi-structured interviews with stakeholders in Australia, Indonesia and Singapore.

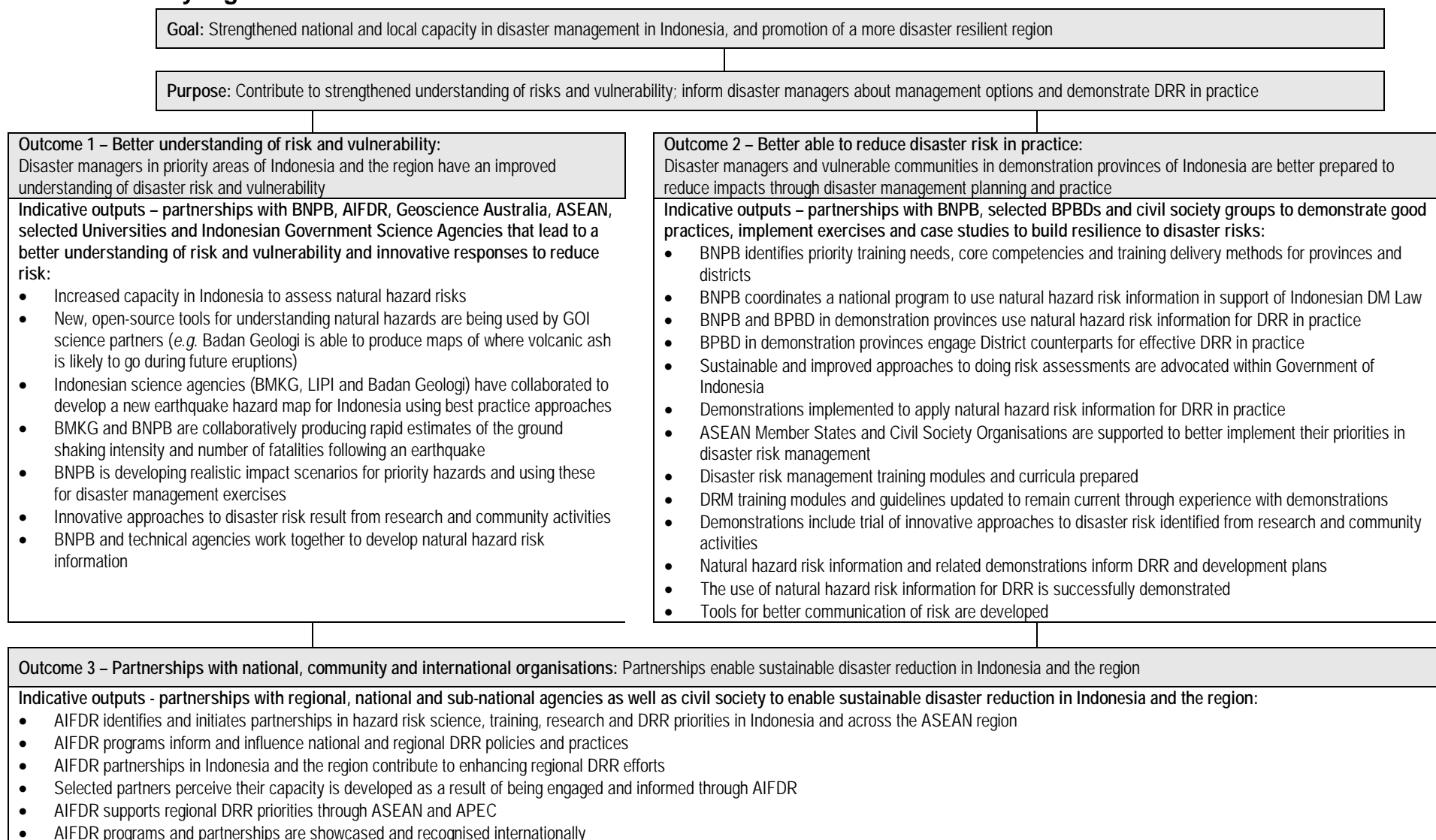
## 2. Investigatory framework

The evaluation framework is informed by the facility logic presented in Chart 5-1. This demonstrates the 3 programmatic elements of the facility and the contribution they are expected to make to achievement of the facility purpose and goal. The mid-term evaluation will test the hypothesis that AIFDR activities and outputs are progressing towards end-of-facility outcomes that will contribute to the facility goal.

This framework was used to develop performance questions for the IPR and forms the basis for assessment of performance against the 3 core evaluation criteria that are the foundation for the IPR report:

- **Effectiveness** – which compares delivered outputs with the AIFDR purpose and asks *Is the rate of progress demonstrated by the facility sufficient to deliver the outcomes expected to be achieved at the end of the investment period (June 2013)?*
- **Efficiency** – which compares delivered outputs with AIFDR inputs and answers the fundamental questions: *Could the same outputs have been delivered with less inputs? Could more outputs have been delivered with the same inputs?*
- **Sustainability** – which compares stakeholder needs and planned outcomes with the goal by answering the fundamental questions: *Do Indonesian government institutions participating in AIFDR have the capacity, resources and commitment to continue activities independently after the end of AIFDR?* and *Do community participants have the capacity, resources and commitment to continue activities independently after the end of AIFDR?*

**Chart 5-1 : Facility logic**



### 3. Evaluation design

#### 3.1 Approach

To ensure independence this evaluation will be led by an independent evaluator with one external technical specialist team member and two AusAID team members. The team will also include representatives from BNPB. If BNPB cannot participate, the team will aim to have a BAPPENAS or other Government of Indonesia official take part. This is not a Joint Evaluation as defined by the Development Assistance Committee of the Organisation for Economic Cooperation and Development.

***Our approach is collaborative*** – using interviews and focus groups to engage with AIFDR participants and other stakeholders – and is framed by a developmental approach to complex systems change.

***Our approach is developmental***<sup>21</sup> – the team leader of the evaluation is also the performance management advisor to AIFDR. This enables the evaluation to be designed to provide feedback, generate learnings, support direction (or affirm changes in direction) because the evaluator is an independent member of the AIFDR team. He is engaged as a facilitator and learning coach bringing evaluative thinking to the table, supportive of the AIFDR outcomes and goal. In a developmental evaluation, the evaluator collaborates with those engaged in the change effort to design an evaluation process that matches the philosophy and organisation of the initiative. The evaluation is designed to capture system dynamics, interdependencies, and emergent relationships rather than being based on linear cause-effect logic models. The plan presented here aims to produce context-specific understandings that inform ongoing implementation and provide reality-testing to inform results-focused, learning-oriented leadership.

Developmental Evaluation processes include asking evaluative questions and applying evaluation logic, to support program, output, staff and/or organisational development. The evaluator is part of the facility team whose members collaborate to conceptualise, design and test new approaches in a long-term, on-going process of continuous improvement, adaptation and intentional change. The evaluator's primary function in the team is to elucidate team discussions with evaluative questions, data and logic, and facilitate data-based decision-making in the developmental process<sup>22</sup>.

***Our approach is formative*** – using lessons learned to inform future activities and provide constructive feedback to participants and other stakeholders. This will especially include lessons relating to management of implementation and the interactions between the AIFDR programs.

Given the resources and time available, a formal counter-factual approach to evaluation will not be used for this IPR.

#### 3.2 Primary intended users

The primary intended users of the evaluation are AusAID and BNPB – the co-managers of the facility and the immediate senior staff who can support the direction and implementation of any recommended changes. Secondary users will include other whole of Government partners, including the Humanitarian sector team (this includes disaster risk reduction, humanitarian

<sup>21</sup> Gamble, J.A., (2008) A developmental evaluation primer. J. W. McConnell Family Foundation. Montreal, Canada.

<sup>22</sup> Quinn-Patton, M. (2010) Developmental evaluation – applying complexity concepts to enhance innovation and use. Guilford Press, Canada.

policy and emergency response) at AusAID, Geoscience Australia and DFAT, in addition to strategic partners of BNPB, including BAPPENAS and key multi-lateral organisations.

Specifically, the primary intended users are:

- AIFDR Co-Directors
- AusAID Minister-Counsellor and Assistant Director General (Indonesia Program)
- BNPB Deputy Prevention and Preparedness and BNPB Secretary-General

The AIFDR Co-Directors and the responsible staff in BNPB will use the evaluation findings to prepare a management response, which will be reviewed by their leaders before being approved and then implemented.

### **3.3 Limitations**

The evaluation will be conducted over a short time frame with a small team. It is not a scientific evaluation with a counterfactual and randomised sample of beneficiaries. Rather it is a formative and developmental evaluation that seeks to learn lessons from past activities and collaboratively identify opportunities for improved effectiveness, efficiency and sustainability.

### **3.4 Criteria**

AIFDR will be evaluated against the 8 criteria defined in AusAID's Guideline: relevance, effectiveness, efficiency, impact and sustainability as well as monitoring and evaluation, gender equality and analysis and learning. As a developmental evaluation, the IPR will allocate most resources to those criteria that will produce context-specific understandings that inform ongoing implementation and provide reality-testing. These are effectiveness, efficiency and sustainability.

### **3.5 Evaluation questions**

Evaluation questions that will be used to assess performance of AIFDR are set out in the TOR. Core evaluation questions will be selected from those presented in Chart 15 of the AIFDR Performance Management Plan for use in formal mid-term and terminal evaluations.

Interview questions to be used in semi-structured interviews, individual interviews and focus groups are presented in Chart 5-2. These include questions linked to the progress reporting for the Hyogo Framework for Action (HFA). Data from the responses to these sorts of questions can be used to provide evidence for evaluation against all criteria.

Data from the responses will be used to prepare information that will provide evidence for evaluation against the evaluation criteria. Overarching questions include:

- To what extent is AIFDR progressing towards its end-of-program outcomes?
- How is AIFDR perceived by its partners and stakeholders?
- How effectively has AIFDR contributed to BNPB capacity to implement its functions under the Indonesian Disaster Management Law 2007/24?
- How efficient are AIFDR activities and organisational arrangements?
- How sustainable are AIFDR outputs likely to be?

Interview questions to be used in semi-structured interviews, individual interviews and focus groups are presented in Chart 5-2. Each stakeholder will be asked the primary questions, where relevant. The semi-structured interview will use selected secondary questions from Chart 5-2 to elicit additional evidence and case studies from stakeholders to support answers

to performance questions that will be presented in the IPR. Not all secondary questions will be used, and each stakeholder will only be asked those secondary questions that help elicit additional data from them or triangulate evidence from other sources.

**Chart 5-2 : Semi-structured interview questions**

Primary Q	Secondary Questions
To what extent is AIFDR progressing towards its end-of-program outcomes?	What real difference does AIFDR make to its partners and beneficiaries?
	Is the AIFDR purpose expected to be achieved by the end of the investment period?
	To what extent do AIFDR activities contribute to achievement of end of facility outcomes?
	Are there any outputs that need enhancing to achieve the investment purpose?
	Could any outputs be reduced without impacting achievement of the purpose?
	To what extent does a national policy and legal framework and decentralised delivery organisation exist for DRR? (HFA-1) <sup>23</sup>
	Are dedicated and adequate resources available from all sources to implement DRR activities in all vulnerable areas? (HFA-1)
	What real difference did the AIFDR activity make to the beneficiaries (government officials responsible for DRR policy and/or service delivery functions, vulnerable citizens in at-risk areas and private sector actors)?
	To what extent are stakeholders better able to reduce disaster risks?
	How has new capacity changed the impact and outcomes of DRR activities?
	To what extent does delegation of authority and resources to local levels ensure community participation and decentralisation? (HFA-1)
	Can you provide examples of identified changes?
	What contribution did AIFDR make to those changes?
How is AIFDR perceived by its partners and stakeholders?	What value does BNPB perceive AIFDR to add?
	What value do donor and multilateral partners perceive AIFDR to add?
	What value do civil society partners perceive AIFDR to add?
	How effective was implementation of the R&I Grants process? To what extent do the planning, development and implementation of grants link with other AIFDR programs?
	How is AIFDR, with its DRR focus, perceived by the wider disaster risk management and response community?
How efficient are AIFDR activities and organisational arrangements?	Could the same outputs have been delivered with less inputs?
	Could more outputs have been delivered with the same inputs?
	How efficient is the hybrid-management model used by AIFDR?
	How efficient is the technical assistance model used by AIFDR?
	What alternatives could be considered and what are their strengths and weaknesses?
	Can you provide examples of how AIFDR could be managed differently?
	What contribution did the co-directors make to delivery of AIFDR outputs?

<sup>23</sup> HFA refers to the Hyogo Framework for Action – these are links to the standard HFA indicators used by Government of Indonesia.

Primary Q	Secondary Questions
How effectively has AIFDR contributed to BNPB capacity to implement its functions under the Indonesian Disaster Law?	How has BNPB changed since 2007?
	How effective is the hybrid-management model used by AIFDR?
	How effective are the technical advisors used by AIFDR?
	Does BNPB want to engage more with AIFDR?
	What new knowledge has been/is being generated through AIFDR activities?
	What evidence is there that the new knowledge is likely to be adopted by BNPB, BPBDs and other disaster managers?
	How has the capacity of provincial and district BPBD's to use information to better target disaster risk reduction activities changed?
	How has BNPB changed its capacity to respond to disasters? Did AIFDR make to achievement of those changes?
	Describe some things that changed before and after AIFDR support?
	How have managers of DRR partner institutions addressed the tension between technical rigour and capacity development of staff and stakeholders?
	To what extent do national and local risk assessments take account of risks in SE Asia, with a view to cooperation on risk reduction in the SE Asia region? (HFA-2)
	How effective is the national public awareness strategy in stimulating a culture of disaster resilience, with outreach to urban and rural communities? (HFA-3)
	How have research methods and tools for multi-risk assessments and cost benefit analysis been developed and strengthened? (HFA-3)
	How effectively do planning and management of human settlements incorporate DRR and enforce building codes? (HFA-4)
	To what extent are social development policies and plans being implemented to reduce the vulnerability of populations most at risk? (HFA-4)
	Can you provide examples of results?
	What contribution did AIFDR make to achievement of those changes?
How sustainable are AIFDR outputs likely to be?	What is BNPB's preferred model for capacity building?
	To what extent were the AIFDR support objectives realistic and achievable, particularly in relation to public policy, service delivery and institutional capacity development?
	To what extent are policy, technical and institutional capacities and mechanisms for DRR, sustainably in place? (HFA-5)
	What is the most effective way to support research and innovation for DRR in Indonesia and the region?
	Are there AIFDR activities that are clearly not sustainable? What lessons can be learned from this?
	Do AIFDR programs and activities have sufficient and appropriate staffing resources?
	To what extent have economic and productive sectoral policies and plans been implemented to reduce the vulnerability of economic activities? (HFA-4)
	Do beneficiaries and/or partners have sufficient ownership, capacity and resources to maintain outcomes from AIFDR activities after AusAID funding ends?

### 3.6 Methods

Given the goal and outcomes of AIFDR, and the complex change processes it is working with, the mid-term evaluation will be conducted with a focus on relationships and how those position Indonesian institutions and people to better respond to and reduce the impacts of natural disasters. To do this the following methods will be used:

- **Document review** – review of documents prepared by AIFDR and its partners, AusAID and other stakeholder agencies through the development, implementation and management of AIFDR. These will be reviewed by the team and used to provide evidence against the evaluation criteria. These will include sector performance reviews and QAI prepared by AusAID for AIFDR as well as Facility management reports and outputs.
- **Before and after comparison** – to evaluate effectiveness we will explore experiences, capacity and perceptions in key AIFDR partners before they engaged with the facility and

after that engagement commenced. For example perceptions of BNPB response to disasters before (*e.g.* Padang Earthquake disaster) and after (*e.g.* Merapi Volcano disaster) will be explored and the contribution of AIFDR to any change evaluated.

- **Semi-structured and individual interviews** – stakeholders in Jakarta and Bandung, East Java, Canberra and Singapore (by telephone to explore the regional component of AIFDR) will be consulted using semi-structured and individual interviews. Performance questions to support evaluation are presented in Chart 5-4 and will be selected for use to obtain evidence to support the evaluation. Individual interviews will especially be used with women and younger staff to ensure they have a space to present their perceptions freely.
- **Field observations** – we will conduct field inspections in Jakarta, Bandung, and East Java including meetings with scientific and civil society partners such as NU and Oxfam. In addition to semi-structured interviews and focus groups, we will use field observations to see how partners relate and operate, observe outputs from activities and learn more about the context in which AIFDR works.
- **Case studies** – we will use case studies to provide feedback, generate learnings, support direction or affirm changes resulting from AIFDR. These could be at program or initiative scales, depending on the change and lessons learned. Case studies considered during planning for the evaluation included: Build Back Better Program; NU partnership for DRR action at district level; capacity change in BNPB; analysis of BPBD needs at provincial and district levels; and engagement of and early partnerships with regional stakeholders.
- **Focus groups** – we may also use focus group techniques for collected stakeholders if semi-structured interviews are inappropriate because of the size of group or nature of participants. For example meetings with provincial and district BPBD staff may be better done as focus groups.

### 3.7 Data needs

The evaluation team will need documentary evidence and data, including:

- **Financial data** – planned and actual expenditure from commencement disaggregated by source and quarter, and by program area.
- **Government of Indonesia data** – including regulations and organisational circulars defining the functions, roles and responsibilities of agencies for DRM/DRR; planned and actual budget allocations to DRR/DRM; reports from BNPB to GOI and HFA Secretariat; BNPB strategic plans and annual work plans from 2008.
- **Indonesian DRM/DRR data** – time series from 2000 to present of disasters, losses, expenditure on Indonesian disaster management and DRR, as well as any investment in SE Asia regional disaster activities.
- **SE Asian DRM/DRR data** - time series from 2000 to present of disasters, losses, expenditure on disaster management and DRR in SE Asian region.
- **Program and activity outputs** – evidence of program outputs including technical reports and maps, software (by reference and URL), workshops, evaluations, training activities and any evaluations.
- **Performance reports** – monthly or quarterly progress reports, variance from plan analyses and any other regular performance reports from AIFDR and from each program.
- **Management minutes and reports** – examples of minutes, responses and other documentation relating to co-management of AIFDR, management meetings, reports to AusAID and GoI.

### 3.8 Triangulation

The evaluation team will use triangulation to strengthen confidence in lessons learned and evidence collected. For example we will verify key documentary evidence through semi-



structured interviews with beneficiaries and, where relevant, field verification or meta-analysis of existing evaluations. This process is also aligned with the Evaluation Team's commitment to a formative and developmental approach to the evaluation – both the process of triangulation and the results themselves will be used in presenting findings to AIFDR staff.

### **3.9 Sampling**

Most AIFDR stakeholders and beneficiaries are in small groups that do not need sampling. Random sampling of trainees will be used to select a small number for interview and focus groups to evaluate the effectiveness of training activities. Outreach programs with larger numbers of beneficiaries have already been evaluated with randomised samples and the IPR team will use the resulting data as an input to the evaluation.

### **3.10 Stakeholders to be interviewed**

**In Canberra some members of the IPR team propose to meet with:**

- AusAID (Indonesia Desk, Humanitarian and Peace Building Branch)
- Department of Prime Minister and Cabinet
- Department of Foreign Affairs and Trade
- Asia-Pacific Civil-Military Centre of Excellence
- Geoscience Australia

**In Jakarta the IPR team proposes to meet with:**

- BNPB (all departments)
- Other Government of Indonesia agencies (BAPPENAS, MoHA, UKP4, Special Adviser to President on Disasters)
- Government of Indonesia science agencies (LIPI, BMKG, BPPT, Ristek, BAKOSURTANAL)
- University partners of AIFDR (UGM)
- ASEAN Secretariat, ACDM Chair
- Civil Society Organisations (Muhammadiyah, Nahdlatul Ulama, PMI, Oxfam)
- Multilateral partners (WB/GFDRR, UNDP/SCDRR, OCHA, WFP)
- Bilateral donor partners (USAID, GIZ, JICA, NZAID, EC)
- AIFDR Co-Directors (AusAID and BNPB)
- AIFDR staff
- AusAID DRU staff

**In Bandung the IPR team proposes to meet with:**

- Government of Indonesia science agencies (Badan Geologi)
- University partners of AIFDR (ITB)

**In the field the IPR team proposes to meet with:**

- Selected BPBD in East Java
- Civil Society Organisations (Nahdlatul Ulama, Oxfam)

In addition, some of the team members will aim to meet regional stakeholders in Singapore including the Singapore Civil Defence Force and the Singapore Rapid Assessment Team.

### **3.11 Evaluation and field work schedules**

The proposed evaluation schedule is presented in Chart 5-3 and the proposed field work schedule is presented in Chart 5-4. The team will arrive in Jakarta ready to start the evaluation

on Monday May 30 and work with stakeholders to Friday June 10. We will remain flexible throughout the evaluation field work to fit the availability of stakeholders. The aide memoire will be presented at an evaluation workshop in Jakarta on Friday June 10. Some team members will conduct interviews with Canberra stakeholders in the following week.

**Chart 5-3 : Evaluation schedule**

Week ending	May 2011			June 2011				July 2011					August 2011			
Activity	14	21	28	4	11	18	25	2	9	16	23	30	6	13	20	27
Document review																
Evaluation planning																
AusAID review of plan																
Consult in Jakarta/Bandung																
Consult Singapore partners																
Consult in East Java																
Evaluation workshop																
Consult in Canberra																
Prepare draft IPR																
Peer review																
Finalise IPR																
Disseminate findings																
Management response																

**Chart 5-4 : Fieldwork schedule May-June 2011**

Activity	May 2011			June 2011													
	29	30	31	1	2	3	4	5	6	7	8	9	10	11	12	13	14
Travel to Jakarta																	
Jakarta consultations																	
Field consultations																	
Collate data in Jakarta																	
Prepare aide memoire																	
Evaluation workshop																	
Return to Australia																	
Canberra consultations																	
Commence IPR writing																	

### 3.12 Presentation of findings

The evaluation team will present and discuss initial findings with the AIFDR and BNPB team members in Jakarta at the end of the evidence gathering phase of the evaluation. On Monday June 13 the team will present an evaluation findings workshop, including presentation of the aide memoire and summary findings to AusAID and Indonesian stakeholders – to allow key stakeholders to discuss the team's preliminary findings.

The evaluation team will use initial feedback from stakeholders to inform preparation of the draft IPR. The report will be prepared using the AusAID template provided. The draft report will be submitted to AusAID by June 25 for peer review and comments. Feedback from AusAID and GoI will be used to refine recommendations and prepare the final IPR for submission before mid-August, 2011.

The final report will include lessons learned of relevance to future options for Australian support to disaster risk reduction in Indonesia. For all key findings the evaluation team will describe the current situation, identify key enabling or inhibiting factors, provide an analysis of its implications for AusAID support to GoI programs, and recommend a response.

The AusAID Evaluation Manager (AIFDR Partnership Manager) will prepare a Learning and Communication Plan for dissemination of lessons learned from the mid-term evaluation/IPR. This will include key presentations in Canberra to both AusAID, Geoscience Australia and other Whole of Government partners in Canberra.

## **4. Roles and responsibilities**

The evaluation will be implemented by a five-person evaluation team – a Team Leader/Evaluator, a capacity development/institutional strengthening specialist, the AusAID Indonesia Program Desk Disaster Management Officer, the AusAID Disaster Management Adviser and two BNPB staff from the Government of Indonesia. The team will also require one interpreter. Their proposed roles and responsibilities are summarised below.

### **4.1 Team Leader/ Evaluator**

The Team Leader/ Evaluator will lead the mission and take primary responsibility for:

- the design and conduct of the IPR;
- preparing the Evaluation Plan consistent with the Indonesian M&E Standard 5 including a sound methodology for the mission that reflects acceptable practice standards, and the time and resources available for the mission;
- quickly grasping the aims and key delivery mechanisms including principles, guidelines and requirements of AusAID's program with Indonesia and its operational context;
- leading the mission in the field, allocating tasks, ensuring safety of team and efficiency of implementation;
- collecting evidence relating to relevance, efficiency, M&E, analysis and learning;
- collecting evidence relating to the efficiency of management arrangements;
- drafting and presenting the Aide Memoire at the end-of-evaluation workshop;
- leading the drafting and presentation of the Draft IPR;
- leading the response to peer review and preparation of the Final IPR; and
- other duties in TOR and as directed by AusAID.

### **4.2 Capacity Development/Institutional Strengthening Specialist**

The Capacity Development/Institutional Strengthening Specialist will take primary responsibility for:

- evaluating the extent to which AIFDR has contributed to changes in individual, group and institutional capacity in partners and beneficiaries working with AIFDR;
- collecting evidence relating to changes in capacity of BNPB and other agencies to implement their functions assigned under the Indonesian Disaster Management Law;
- collecting evidence relating to effectiveness and efficiency of specific capacity development and institutional strengthening activities supported by AIFDR;
- assessing AIFDR capacity development methodologies, activities and outputs and comparing them with expected capacity change outcomes and good international practice for institutional strengthening;
- describing the current capacity in BNPB and selected BPBDs and identifying key enabling or inhibiting factors for institutional change as well as providing an assessment of their implications for AusAID support to GoI programs, and recommending an appropriate response;
- contributing to preparing the Aide Memoire;
- contributing to preparing the Draft IPR including interpretation of lessons learned and developing recommendations;
- contributing to preparing the Final IPR; and
- other duties in TOR and as directed by AusAID.

### **4.3 AusAID Indonesia Program Desk Disaster Management Officer**

The AusAID Indonesia Disaster Analyst will take primary responsibility for:

- providing disaster analysis relevant to the evaluation;
- collecting evidence relating to changes in capacity of BNPB and other agencies to analyse disaster hazards, risks and impacts;
- collecting evidence relating to effectiveness and efficiency of specific activities supported by AIFDR;
- collecting evidence relating to efficiency, analysis and learning, impact and effectiveness of capacity development;
- contributing to preparing the Aide Memoire;
- contributing to preparing the Draft IPR including interpretation of lessons learned and developing recommendations;
- contributing to preparing the Final IPR;
- presenting findings and relevant outputs to key stakeholders in Canberra, and
- other duties in TOR and as directed by AusAID.

### **4.4 AusAID Jakarta Disaster Management Adviser**

The AusAID Disaster Management Adviser will take primary responsibility for:

- providing disaster management assessments relevant to the evaluation;
- collecting evidence relating to changes in capacity of BNPB and other agencies to manage disasters and coordinate disaster response – ideally using evidence from recent disasters including the West Sumatra Earthquake, the Mt Merapi Volcanic Eruption and the Mentawai Islands Tsunami;
- collecting evidence relating to effectiveness and efficiency of specific disaster management activities supported by AIFDR;
- collecting evidence relating to sustainability of AIFDR activities contributing to strengthened disaster management;
- describing the current situation and identifying key enabling or inhibiting factors for disaster management as well as providing an analysis of their implications for AusAID support to GoI programs, and recommending an appropriate response;
- contributing to preparing the Aide Memoire;
- contributing to preparing the Draft IPR including interpretation of lessons learned and developing recommendations;
- contributing to preparing the Final IPR; and
- other duties in TOR and as directed by AusAID.

### **4.5 BNPB Team Members**

Up to two BNPB members will join the evaluation team as full members of the team. They will support the Team Leader by:

- leading analysis of BNPB perceptions of AIFDR effectiveness, efficiency and sustainability;
- supporting the team in interviews and collection of BNPB data sets;
- contributing to preparing the Aide Memoire;
- contributing to the Draft IPR; and
- other duties in TOR and as directed by BNPB.

## 5. Report structure

The draft and final IPR will be submitted electronically in MS Word format and be in accordance with AusAID Guidelines for Independent Progress Reports. The report will be approximately 25 pages with annexes if needed. The proposed key contents of the IPR are shown in Chart 5-5.

**Chart 5-5 : Proposed key contents of IPR**

Australia Indonesia Facility for Disaster Reduction  
Independent Progress Report

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## **Annex 6**

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### **Terms of reference**

## Annex 6: Terms of reference for Mid-term Evaluation of AIFDR

Terms of Reference (ToR)  
Independent Progress Report and Mid-term Review  
Australia Indonesia Facility for Disaster Reduction

### Introduction

The Australian Government is committed to strengthening the performance of Australia's aid program. Aid must be monitored and evaluated against its objectives to ensure its effectiveness in reducing poverty and achieving sustainable development. This is even more important as the Government of Australia is planning to significantly increase aid by 2015. Independent evaluations are an important source of information on the effectiveness of the aid program. Along with informing country strategies, design of new activities and supporting management of existing ones, independent evaluations significantly strengthen the evidence upon which programs base their assessment of program performance. Further, they are increasingly becoming an important tool for communicating progress, lessons learned and achievements through distribution on the AusAID internet.

This Terms of Reference has been prepared for the Independent Progress Report (IPR) and Mid-Term Review (MTR) of the Australia Indonesia Facility for Disaster Reduction (AIFDR). The Facility commenced in 2008 and is scheduled to end in June 2013.

### Program Background and Description

As one of the most hazard-prone and densely populated countries in the world, Indonesia faces a significant risk of loss of life and economic impacts from natural disasters. This is why disaster risk reduction has been recognized by the Government of Indonesia as one of their top eleven priorities in the Medium-Term Development Plan (2010-2014). In recognition of the impact of disasters on developing economies, the AusAID policy on disaster risk reduction highlights the impact disasters have on development gains and hence the importance of investing in disaster reduction<sup>24</sup>.

AIFDR represents Australia's largest bilateral commitment to reducing the impact of disasters and is a key part of Australia's development program in Indonesia. The AIFDR works in close partnership with the Indonesian Disaster Management Agency, BNPB (Badan Nasional Penganggulangan Bencana), and focuses on enhancing Indonesia's capacity to identify, mitigate and respond to risks from natural disasters.

AIFDR has been operational since April 2009 and was officially launched by the Australian and Indonesian Foreign Ministers in July 2010. An initiative of the Australian Prime Minister and President Yudhoyono, AIFDR has a budget of A\$59.2 million over 2008-2013. Managed by Australian and Indonesian co-directors, the AIFDR work programs and funding decisions are developed in joint agreement between AusAID and BNPB. The AIFDR annual work-plan will be developed by AIFDR and BNPB and, in line with the Jakarta Commitment on Development Effectiveness, the AIFDR budget is lodged on the Government of Indonesia's budget. All reporting is in line with the Government of Indonesia's reporting requirements, where possible.

The goal of AIFDR is to "strengthen national and local capacity in disaster management in Indonesia, and promotion of a more disaster resilient region". Three work streams and one modality form the basis of AIFDR:

- **Training & Outreach:** Works with BNPB – the national disaster management agency – to develop, standardise and deliver training materials to help build the capacity of national and sub-national governments to manage disaster risks. This program also develops materials and supports partners to promote disaster reduction across Indonesia.
- **Risk & Vulnerability:** Works with Government of Indonesia by facilitating partnerships between Australian and Indonesian scientists to develop and demonstrate risk assessment methods, tools and information for a range of natural hazards.
- **Partnerships:** Support key risk reduction partners of Indonesia and the Southeast Asia region. By fostering stronger linkages between these partners, this program ensures that the AIFDR adds value to Indonesian and regional efforts to make communities safer.
- **Small grants program:** Promotes a culture of disaster risk reduction research in Indonesia and the region, as well as support linkages between community and government.

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<sup>24</sup> <http://www.ausaid.gov.au/keyaid/disasterriskreduction.cfm>

AIFDR is in the process of implementing its new performance management plan that is consistent with the AusAID Indonesia Program Performance Assessment Framework, which guides implementation of the current Country Strategy at a sectoral level. The evaluation will further guide the direction of the AIFDR performance assessment plan. This framework builds performance information from individual initiatives (such as AIFDR) up to higher level objectives so that the Australian aid program in Indonesia, through State of the Sector and Annual Program Performance Reports is more able to coherently articulate achievements at the country level.

### **Purpose**

The independent Mid-Term Review (MTR) will assess the performance of the facility and the programs and initiatives it supports, draw out lessons learned to inform other AusAID programs in Indonesia, and provide recommendations for the final implementation phase of the AIFDR. Key findings will also be used to commence discussion and planning for any AIFDR successor programs.

The IPR/MTR will focus on the following key evaluation questions:

- a. To what extent have AIFDR initiatives contributed to the facility goal and end-of-facility outcomes?<sup>25</sup>
- b. How sustainable are AIFDR initiatives and their outcomes?
- c. How efficient is the AIFDR modality?
- d. To what extent have AIFDR initiatives been effective?
- e. Who benefits from AIFDR initiatives (institutions, men, women, rich, poor)?

In addition, the IPR/MTR will provide evidence to support evaluation of:

- a. impact of AIFDR activities and support to BNPB;
- b. the influence AIFDR has on overall disaster risk reduction in Indonesia as captured by the Performance Framework and Government of Indonesia measures;
- c. the modality and delivery approach of the AIFDR; and
- d. the continuation of AIFDR support to Indonesia.

### **Scope of Services**

An evaluation team will plan and conduct the evaluation to produce an IPR/MTR for AIFDR. The IPR/MTR will assess and rate the Facility's performance against the Evaluation Questions outlined in the TOR and further evaluation questions to be developed by the evaluation team and set out in the evaluation plan. The ratings will be based on the standard AusAID six-point scale, as outlined in the IPR Template.

Cross cutting issues should be assessed as part of the relevant evaluation criteria. For example, gender and environment issues would be considered in the context of all the criteria.

For all key findings the evaluation team should describe the current situation, identify key enabling or inhibiting factors, including in relation to gender and social inclusions, and provide an analysis of its implications for AIFDR and AusAID, and recommend an appropriate management response.

### **Duration, phasing and timing**

The duration of the IPR/MTR will be up to 34 days for the team leader and up to 24 days for team members with 6 days for preparation, 19 days for field work in Indonesia and production of aide memoire, 9 days for writing and presenting the draft report and 4 days for writing the final report incorporating comments from the peer review. The in-country mission is expected to commence on May 29, 2011. The report should be completed no later than September 9, 2011.

### **The IPR/MTR Team: skills required and composition**

The expected qualification for the Team Leader:

- Experience in the design and conduct of program evaluations. This includes the capacity to develop and deliver a sound methodology for the mission that reflects acceptable practice standards, and the time and resources available for the mission.
- Demonstrated experience in and commitment to gender and social inclusion (GSI), and capacity to evaluate programs in relation to GSI.
- Familiarity and ability to quickly grasp the aims and key delivery mechanisms including principles, guidelines and requirements of AusAID's program with Indonesia and its operational context.
- Expertise in institutional change, natural resource management and community development is desirable.

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<sup>25</sup> The goal and 5 expected outcomes are set out in the design document of February 2009. If it is not possible to determine the extent of contribution towards these outcomes, the assessment should be done against program outcomes.



The IPR/MTR team will include two consultants: one Team Leader/performance assessment specialist and one institutional strengthening specialist. The team will also include two AusAID staff (Canberra based Indonesia Disaster Management officer, and the Jakarta based Disaster Management Advisor) and two Government of Indonesia staff (BNPB). The team will also require one interpreter.

The collective qualifications and experience of the team members should include:

- Performance assessment and program design
- Institutional change
- Disaster risk management
- Community engagement/empowerment, especially in relation to disaster management
- Experience with or knowledge of Indonesia's government institutions and systems is highly desirable

Each team member should also have:

- Demonstrated commitment to gender equity and social inclusion
- Strong interpersonal skills and ability to work in a team
- Ability to liaise effectively with key stakeholders and consider different views
- Highly developed conceptual and analytical skills
- Effective report writing skills in English
- Experience in development evaluation
- Clear presentation skills
- Cultural sensitivity/awareness
- Ability to meet deadlines
- Ability to facilitate sessions with the implementation team to identify, extract and analyse important issues
- Ability to create a mission environment that balances validation of claims of achievement with collegiate analysis and learning

### Evaluation Process

The evaluation team is expected to carry out at minimum, the following activities:

- **Literature/Document Review:** The evaluation team reviews key documents related to AIFDR, including design document and progress reports, in order to determine the information that is already available and to guide the fieldworks focus. A list of the key documents for review is provided by AIFDR.
- **Evaluation Plan (including methodology):** The team leader is responsible for producing an evaluation plan in consultation with the review team members, AusAID Jakarta and AIFDR Personnel. The evaluation plan should include the following information:
  - ❖ Methodology to achieve the objectives of the evaluation;
  - ❖ Expertise mapping which includes defining the roles and responsibilities of each member of the evaluation team;
  - ❖ An itinerary outline identifying key stakeholders to be engaged including Government agencies at national, provincial and district levels; scientific institutions; civil society groups; implementing partners and beneficiaries;
  - ❖ Key informants to be interviewed by the review team members and key questions to be asked and information to be obtained from them; and
  - ❖ An annotated outline of the Review Report and target dates for deliverables.

The above documents are to be submitted to AusAID two weeks prior to the in-country mission and should be cleared by the evaluation delegates before work starts on the evaluation activities. This is to allow AusAID time to arrange meetings.

- **Pre-Field Mission Briefing:** The team will attend a pre-field mission briefing with AusAID in Jakarta.
- **In-country field work:** The in-country field work may involve interviews, data gathering and visits to key sites of AIFDR activities. The visit schedule should be question-based and research-oriented. The team leader will direct the in-country missions in accordance with the agreed review method and work plan as specified above, as well as allocation of responsibilities and timeline. The team leader shall analyse data and write up draft sections of the Evaluation Report during the field work, delegating tasks to evaluation team members according to agreed responsibilities.
- **Initial Findings:** The evaluation team should present and discuss its initial findings with the activity managers, evaluation manager, the evaluation delegate, and stakeholders. The evaluation team will document its initial findings into an Aide Memoire and use this as a basis for discussions at the end-of-evaluation workshops and presentations.
- **Reporting:** The evaluation team is expected to use feedback from stakeholders on initial findings when preparing the draft evaluation report. The team leader shall finalise the report.

### Deliverables and Due Dates

The evaluation team is expected to deliver the following outputs:

- **The Evaluation Plan:** The evaluation plan shall be submitted to AusAID two weeks prior to the in-country mission. The evaluation plan should be cleared by the evaluation delegate before work starts on the evaluation activities.
- **Aide Memoire** (maximum 5 pages). Towards the end of the field work the evaluation team shall prepare an Aide Memoire covering the major findings, preliminary recommendations, lessons learned, and a clear summary of the review process. This will be presented to an end-of-evaluation workshop to be held prior to departure from Indonesia. It will be presented for discussion and comment to appropriate GoI officials and AusAID staff.
- **Draft Independent Progress Report** (maximum 25 pages plus annexes). The team leader shall coordinate inputs from the evaluation team members, complete and submit a Draft Evaluation Report to AusAID no later than 14 days after the completion of the in-country mission. The draft report must include draft ratings against AusAID Quality at Implementation criteria. The report should be a brief, clear and cogent summary of the evaluation outcomes, focusing on a balanced analysis of strengths and issues faced by AIFDR and it should recommend ways to overcome any problems identified. Annexes should be limited to those that are essential for explaining the text. The evaluation report should conform to AusAID IPR Template.
- **Final Independent Progress Report** (maximum 25 pages plus annexes) is to be submitted to AusAID within 4 days upon receiving final written comments from AusAID.
- **Presentations:** The Team Leader and key AIFDR/AusAID representatives shall present the findings, recommendations and lessons learned in a debrief sessions to key partners: BNPB and GoI (Jakarta), AusAID and Geoscience Australia (Canberra).

All outputs will be provided in both electronic copy form and should be emailed to the AIFDR Partnerships Team Leader [anita.dwyer@ausaid.gov.au](mailto:anita.dwyer@ausaid.gov.au)

### Evaluation questions

These suggested evaluation questions for Independent Progress Reports are provided to guide evaluation managers in developing questions that get the most value from the evaluation. They are based on evaluation criteria that provide a comprehensive view of aid effectiveness. The evaluation criteria are: relevance to who, effectiveness for who, efficiency, impact on who, sustainability, gender equality, monitoring & evaluation and analysis & learning. The aid activity must be rated against these criteria, excluding impact.

The questions can be used as provided, or can be adapted to be more relevant to the aid activity, country context and the size of the evaluation. The independent evaluation team can be asked to adapt the evaluation questions when they develop the methods design in the Evaluation Plan, including developing evaluation questions that assess relevant cross-cutting issues.

Specific questions should be developed to assess compliance with the Paris Declaration on Aid Effectiveness and the Accra Agenda for Action under the relevant criteria that are relevant to the activity. While all criteria relating to the DAC evaluation criteria will be considered, it is considered that for the purpose of the AIFDR IPR/MTR, there will be greater emphasis on the 3 criteria of: Effectiveness, Efficiency and Sustainability.

### Questions for the AIFDR Mid-Term Review

#### Primary Questions

##### Effectiveness

- Is there progress towards achieving expected end-of-facility outcomes? If not, why?
- To what extent does AIFDR contribute to achievement of these outcomes?
- How effective is the balance between DRR and the broader DRM context (response, recovery)?
- How effective are the different types of interventions (science, relationships, CSO engagement, training, grant provision)?

##### Efficiency

- Does implementation of AIFDR activities make effective use of time and resources to achieve outcomes?
- Did AIFDR suffer from delays in implementation? If so, why and what was done about them?
- Did the activity have sufficient and appropriate staffing resources?
- Is a risk management approach applied to management of AIFDR?

- What are the risks to achievement of end-of-facility outcomes? Are the risks managed appropriately?

### **Sustainability**

- Do beneficiaries and/or partner country stakeholders have sufficient ownership, capacity and resources to maintain AIFDR outcomes after Australian Government funding has ceased?
- How sustainable are the technical (science and training) activities, including those that have a capacity building focus?
- Are there any AIFDR activities that are clearly not sustainable? What lessons can be learned from this?

### **Secondary Questions**

#### **Relevance**

- Are the goal and expected end-of-facility outcomes relevant to Australian Government and partner government priorities?
- Are the objectives relevant to the context/needs of beneficiaries?
- If not, what changes could be made to the activity or its objectives to strengthen relevance?

#### **Impact (where feasible)**

- Have activities produce intended or unintended changes in the lives of beneficiaries and their environment, directly or indirectly?
- Are there positive or negative impacts from external factors?

#### **Gender Equality**

- Who benefits from AIFDR interventions?
- Does AIFDR promote equality of decision-making between women and men?
- How can AIFDR better support gender equality?
- Does AIFDR contribute to capacity of donors, government agencies, civil society to understand and promote gender equality and poverty targeting?

#### **Monitoring and Evaluation**

- How is monitoring and evaluation used to obtain evidence to demonstrate progress towards end-of-program outcomes?
- Which features of the monitoring system improve the quality of available evidence?
- Is data sex-disaggregated to measure the outcomes of the activity on men, women, boys and girls?
- Does the monitoring system collect useful information on cross-cutting issues?

#### **Analysis & Learning**

- How well is evidence from the monitoring system and evaluations used to inform annual plans and management decisions?
- How was previous learning and analysis used to inform the AIFDR design?
- How well is learning from implementation and previous reviews (case studies, evaluations etc. ) integrated into the activity?

#### **Lessons**

- What lessons from AIFDR can be applied to further implementation/design of possible new initiatives.