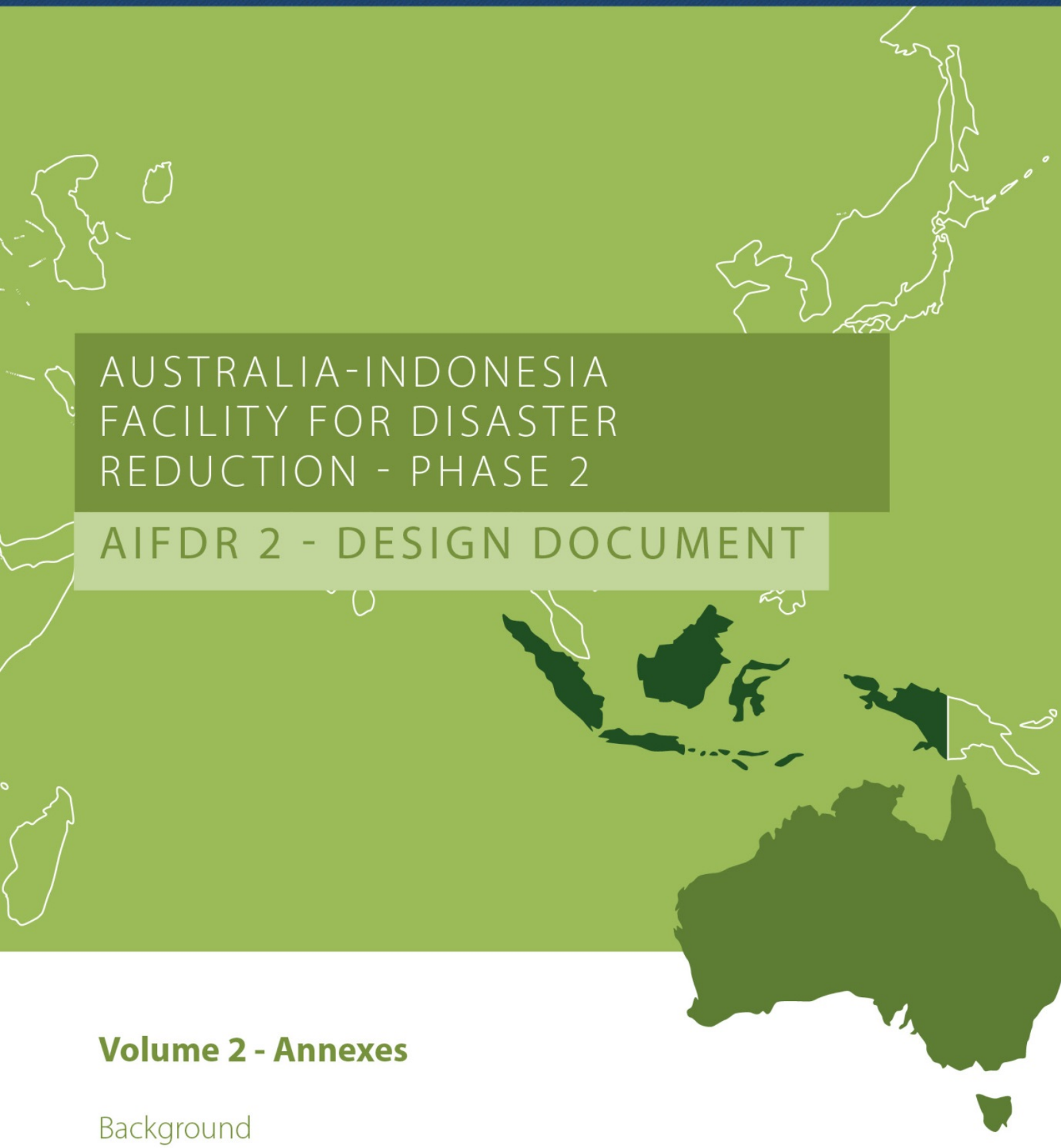
Australian Government
Department of Foreign Affairs and Trade

BNPB

AUSTRALIA-INDONESIA FACILITY FOR DISASTER REDUCTION



AUSTRALIA-INDONESIA FACILITY FOR DISASTER REDUCTION - PHASE 2

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AIFDR-2 DESIGN DOCUMENT

Part 1: BACKGROUND ANNEXES

1.1 Definitions

This annex provides definitions to terms commonly used in the AIFDR-2 design.

Civil Society: The arena of uncoerced/voluntary collective action around shared interests, purposes and values. In theory, its institutional forms are distinct from those of the state, family and market, though in practice, the boundaries between state, civil society, family and market are often complex, blurred and negotiated. Civil society commonly embraces a diversity of spaces, actors and institutional forms, varying in their degree of formality, autonomy and power[1].

Civil Society Organisation (CSO): Refers to a wide (and growing) range of non-government and non-market organisations through which people organise themselves to pursue shared interests or values in public life[2]. This includes organisations such as registered charities, village and community based organisation/s (CBO/s), non-government organisations (NGOs), faith-based organisation/s (FBOs), women's organisations, co-operatives, professional associations, trade unions, self-help groups, social movements, business associations, coalitions and advocacy groups, disabled people's organisations (DPO/s), indigenous groups, chambers of commerce, independent research institutes and the not-for-profit media. ***For the purposes of this design where the term CSO is used it is INCLUSIVE of national and international CBO/s, NGO/s FBO/s etc.***

Community: A community is defined as a group of people living in the same place or having a particular characteristic in common. In this design, community is taken to mean the smallest unit of human interaction that involves all elements of society – state, civil society, family and market. The term community is contextual and can include identity or "communities of interest" such as social or religious communities. However, for the purposes of this design, community relates to location or "communities of place". The "community level" therefore refers to sub-village, village or sub-district.

Community Based Disaster Risk Management (CBDRM): A process of community development that supports communities to understand and assess their risks and vulnerabilities, prepare DRM plans, establish and strengthen community DRM groups that lead the implementation of plans, and conduct simulations to test those plans.

Community Resilience: The ability of communities to effectively: anticipate, respond and adapt to disasters; and advocate for good DRM governance and service delivery.

Disaster Risk Management (DRM): The systematic process of using administrative directives, organisations, and operational skills and capacities to implement strategies, policies and improved coping capacities in order to lessen the adverse impacts of hazards and the possibility of disaster.[3]

Disaster Risk Reduction (DRR): The concept and practice of reducing disaster risks through systematic efforts to analyse and manage the causal factors of disasters, including through reduced exposure to hazards, lessened vulnerability of people and property, wise management of land and

1 The London School of Economics 2011.

2 AusAID, *AusAID Civil Society Engagement Framework* 2012, p.2.

3 UNISDR, *UNISDR Terminology on Disaster Risk Reduction* 2009.

the environment, and improved preparedness for adverse events[4]. DRR measures can be structural (such as engineering techniques or hazard-resistant construction) or non-structural (such as policy and public awareness). This design focuses primarily on local, community-led disaster mitigation which includes non-structural measures and small-scale, local government supported structural measures that respond to community-advocated need.

Exposure: The number of assets, people and their livelihoods and the economic sectors that may be impacted by one or more natural hazards.

Gender and social inclusion: A value, process and outcome in which notions of equity, empowerment and rights are placed at the core of the DRR paradigm. Inclusion means that marginalised people (i.e. those who are usuallly excluded from decision making) gain access to and control over public spaces, resources and decision making affecting their lives, and government service delivery is cogisant of and responsive to their different and unique needs so that all citizens have equitable opportunities to be well prepared to anticipate, cope with and recover from disasters.

Human exposure: The number of people that may be impacted by one or more natural hazards and therefore may suffer loss.

Impact Assessment: An assessment of the damage or losses that can occur from a specific hazard event (*scenario*). Impacts may be to specific sectors or across sectors. For example, an impact assessment could assess how many schools would be damaged in Bandung due to a magnitude 6.5 earthquake on the *Lembang* Fault, or the total damage across all buildings for the same event.

Mainstreaming: Embedding (CB)DRM into 'institutional homes' and make them functioning by providing sufficient human and financial resources as well as by political support from the local to the national level.

Natural Hazard: A natural phenomena that has the potential to cause damage to assets or injury or death to people.

Partnership: An ongoing working relationship where risks and benefits are shared. A partnership is based on principles of equity, transparency, and mutual accountability. In practical terms this means each partner's involvement in co-creating projects and programs, committing tangible resource contributions and mutual accountability.[5] The Australian Government recognises the emergence of an informed and engaged civil society as an important development outcome in its own right, enabling poor people to claim their rights, and helping to shape development policies and partnerships and oversee their implementation.

Replication: In the context of this design, replication means either: expanding the geographical coverage of (CB)DRM practice from one community to another through the mobilisation of social action and the creation of effective linkages through CSO networks, government–community or government–CSO–community engagement and action; or the adoption of good DRM practices by national and sub-national governments with the requisite budget, planning and policy framework to enable sustainability.

4 UNISDR 2009, *UNISDR Terminology on Disaster Risk Reduction*.

5 AusAID 2010, *Australia Africa Community Engagement Scheme Concept Design*, p. 33.

Risk: The potential to experience damage or loss to assets, life and/or society due to a hazard within a certain time period at a certain place.

Risk Assessment: Any assessment that seeks to understand the potential for impacts to occur due to one or more hazards. Risk assessments consider the hazard(s), the assets and/or people exposed to the hazard(s), their vulnerability to suffer impacts and their capacity to avoid or reduce impacts. May be specific to one type of hazard and/or sector or consider impacts from multiple hazards across multiple sectors. Risk assessments typically consider a range of possible hazard events rather than one specific scenario.

Up-Scaling: Increase in geographical coverage and scope of good DRM practice through changes in government policy and associated practice. An example of up-scaling would be the case where a district government observes good DRM practice in one of its villages and takes steps to institutionalise this in its policies and the practice of other villages. This case could extend to provincial and national policy.

Vulnerable groups: In the context of this design, vulnerable groups refers to people who are more likely to suffer the devastating impacts of natural hazards due to either their gender, age, disability or other cultural or socio-economic factors. The vulnerable often suffer disproportionately high impacts during disasters due to factors such as being excluded from key disaster management preparedness activities, not being able to influence mitigation measures and, in some cases, due to a lack of awareness on what to do if a disaster warning is given. Women, in particular, are often more vulnerable to natural hazards due to their unequal status and lack of influence in key DRM decision making and planning processes.

1.2 Strategic DRM Investment Opportunities for Australia

This annex provides in-depth analysis regarding strategic DRM investments for Australia in Indonesia. The strategic opportunities are based on the work of AIFDR-1, a series of independent analyses and international learning and best practice.

Given that there is a strong rationale for working in the DRM sector in Indonesia, including Indonesia's disaster profile, its emerging DRM architecture and Australia's strong comparative advantage in bringing specialised DRM skills, expertise and broader understanding of the Indonesian decentralisation environment, key strategic opportunities exist for Australian investment. These opportunities leverage the current strong relationship between Australia and Indonesia in the DRM sector. Australia has worked in close partnership with Indonesia since the inception of the national disaster management agency (BNPB), building a high level of trust between the two countries. AIFDR has worked with BNPB on GoI national priorities and has been able to play a considerable role in influencing both DRM policy and practice.

The main criterion for determining engagement includes:

- The potential for the investment to reduce the impact of disasters on the population, particularly the vulnerable – specifically saving lives and reducing economic loss;
- Current policy and implementation priorities of the GoI and GoA;
- The absorptive capacity of key stakeholders;
- Where Australia can add value and build on achievements and lessons learned of AIFDR and the broader DFAT program in Indonesia;

- Where others are working effectively;
- Evidence from international literature on good DRM practice; and
- The resources available to AIFDR-2.

The following outlines the strategic opportunities for Australian investment into DRM. These investment decisions form the basis of a demonstrator model at the sub-national level which will inform improved national DRM policy.

a) Strategic Approaches

i. Investing in disaster preparedness

International evidence shows that actions taken before a disaster are the most effective way to reduce impacts. Policy makers can make a significant difference to ensuring that progress in economic development and poverty reduction is protected through investing in disaster preparedness.[6] Studies show that these sorts of interventions reduce the costs incurred by disaster response and recovery efforts.[7] UNESCO says: "… *for every dollar invested in disaster preparedness and mitigation there is a saving of four to eight dollars in disaster losses*[8]."

Taking action before a disaster occurs is strongly emphasised in the Hyogo Framework for Action (HFA), a global blueprint for DRR which calls for international efforts to reduce disaster risks and build resilience to disasters. The new HFA, due in 2015, is expected to strengthen this through a call for DRR for Resilience including the integration of DRR and Climate Change Adaptation (CCA) and a focus on risk governance at the local level.[9]

Indonesian Presidential priorities are currently focused on preparedness (of response and recovery), where policy windows are opening, champions exist and resources are increasingly available. BNPB and BPBDs' performance is currently judged (by other ministries and agencies) on their ability to deliver services related to preparedness. As such, despite a wider mandate to work on prevention and mitigation, BNPB's current policy and performance priorities lie squarely in preparedness for response. Mitigation remains an emerging issue, and successful mitigation will first require the establishment of credible and capable local disaster management agencies who are in a position to successfully coordinate and advocate for action.[10]

At the institutional level, there are real opportunities for Australia to work on preparedness for both better response and recovery. At the same time, at the community level there are opportunities to engage in the broader aspects of resilience through a disaster preparedness entry point. For these reasons, an investment in DRM in Indonesia will have the greatest impact by focussing on saving lives and building community resilience, where appropriate

6 UNISDR 2013, *Global Assessment Report on Disaster Risk Reduction.*

7 AusAID 2009b, *Investing in a Safer Future: A Disaster Risk Reduction Policy,* p 11; Venton 2004; WMO 2009; IFRC 2002.

8 UNESCO 2007, *Disaster Preparedness and Mitigation*.

9 Chairperson's Summary Statement, GPDRR, Geneva 2013 (scribed)

10 Universalia 2013.

through a focus on preparedness[11], that will position the partnership to progressively work on mitigation as the context develops.

ii. Linking science to GoI preparedness

Different types of disasters require different types of science to inform risk assessment, scenarios, response and contingency plans and early warning systems (EWS). Over the past five years, the AIFDR science program partnered with Indonesian science agencies and BNPB to develop improved hazard information and tools to enable realistic disaster scenarios. The work of AIFDR presents opportunities to leverage existing and emerging hazard data sets and to roll out scenario-based disaster preparedness models to target provinces and districts. The new AIFDR-2 has identified tsunami, earthquake and flood as key entry points for linking science to GoI preparedness.

Preparedness for tsunami is one of BNPB's highest priorities, as demonstrated by the President's *Master Plan for Reducing Tsunami Risk*[12]. Tsunami and earthquake together cause far more deaths than any other natural disaster in Indonesia and have the potential to impact almost every province[13]. There is an opportunity to save lives in tsunami, if people understand early warnings (both natural and technological), and know where to safely evacuate when they think a tsunami is coming.

Earthquakes and tsunamis are explicitly linked, with earthquakes causing 84% of the tsunamis in Indonesia since 1800. AIFDR has made considerable investments into earthquake and tsunami science. These investments include developing new tools and resources and adapting existing technologies for the collection of data to enable hazard analysis, for undertaking hazard and impact assessments and for making these accessible to policy makers and practitioners to inform planning at the local level. AIFDR has created links between scientists, policy makers and DRM practitioners to enable evidence-based disaster planning and decision-making. The new AIFDR-2 will build upon this work.

Floods also significantly impact people's lives, livelihoods and assets and pose an ongoing threat to Indonesia's development gains and development potential. While floods do not cause as many deaths, they affect the most people, cause substantial economic loss and require priority attention. According to BNPB, 89% of the total disasters occurring in Indonesia between 2002 and 2011 related to hydro-meteorological hazards such as floods, flash floods, droughts, landslides etc. Of the 88 disaster events registered by BNPB for the first half of 2013, more than 85% were hydro-meteorological disasters[14]. Participatory mapping technologies can assist local government and communities to better understand and prepare for these impacts.

Climate change has a significant impact upon the frequency and intensity of hydro-meteorological events. Flood-related losses include direct effects such as damage to infrastructure, crops and housing; and indirect economic consequences such as loss of

11 A preparedness entry-point will not be mandated by AIFDR-2 and will be used where contextually appropriate. It is intended that a range of community-based initiatives will be supported and could include resilience entry-points such as livelihoods or local mitigation efforts. This will be determined by the communities themselves with the facilitation of implementing partners. In general, Community-Based Disaster Risk Management (CBDRM) approaches include understanding disaster hazards and risks and preparing accordingly.

12 See section 4.4.c in this document

13 BNPB data (DIBI) shows that over 90% of deaths caused by disasters since 1815 were due to tsunamis, with earthquakes accounting for 5%.

14 BNPB 2013, *Info Bencana*, Juli 2013 edition.

revenues, unemployment and market destabilisation[15]. Impacts are exacerbated where flood is a regular event. Women can face particular impacts by not being able to get to gardens or markets (for household food and income generation), access health posts or water and sanitation facilities, and carry the additional burdens of clean up.[16] See Section 4.3 for greater detail on the gender and social inclusion focus of AIFDR-2.

This focus on earthquake, tsunami and flood is particular to the science program activities and provides scope in the first four years to build capacity development activities around specific tools including the InaSAFE tool and the OpensStreetMap (*OSM*) participatory mapping technology for enhanced GoI preparedness. The three hazard focus brings the AIFDR-2 program in line with BNPB priorities. It is intended that the basic technical skills imparted through the capacity development activities with sub-national BPBD and other local government stakeholders will enable response and contingency planning across a broad range of potential disaster hazards.

At the completion of the first four-year period, AIFDR-2 will review its approach to linking science to GoI preparedness in order to identify opportunities to expand science and capacity development work into other disaster hazards. This will be done in line with GoI priorities.

iii. Investing in strategic locations

The majority of interventions and strategic effort of AIFDR have focused on contributing to Indonesia's national capacity to identify, manage and respond to natural disasters. As this national capacity is enhanced, it is appropriate to increase focus on supporting the sub-national DRM architecture. This will entail working in partnership with BNPB to provide the required foundations for accountable and effective DRM in a decentralised context.

AIFDR has agreed with BNPB that this can be best achieved by focussing on the current AIFDR demonstration provinces of West Sumatra, East Java, South Sulawesi and East Nusa Tenggara using a 'hub' approach. It is intended that each of these provinces will become a 'hub' for best practice in DRM. Within two provinces, AIFDR-2 will focus on 'going deep,' working in up to 20 districts and up to 200 villages. Over the life of the program AIFDR-2 and BNPB will develop an approaches, based on the demonstrator models, to engage and influence other provinces.

An AIFDR-2 Knowledge-to-Policy Strategy will be created to lead the development of evidence-based policy and practice to inform the replication of effective approaches. The Monitoring and Evaluation system will capture progress, with a particular emphasis on the effectiveness of the program in identifying and responding to the DRM needs of the vulnerable and marginalised.

15 CNA and Oxfam America 2011, *An Ounce of Prevention*.

16 Shatifan, N 2013, *Gender and Social Inclusion Analysis*.

b) Investing in Community Resilience

i. Building resilient communities

AIFDR-2 has identified the need for more consolidated approaches to building local community and village resilience. Resilient communities are the foundation of a resilient nation. Resilience combines a range of issues from increased awareness and disaster preparedness, to the understanding of future risks, protection of livelihoods, physical and non-physical mitigation measures and integration of disaster risk reduction into local village planning.

When disasters strike, community members are the first responders and play a fundamental role in reducing the impact of disasters.[17] Given that the greatest loss of life during a disaster occurs in the first 24-48 hours,[18] the immediate community response can have a considerable impact on saving lives. Effective preparedness requires communities, and particularly individuals and groups within each community, having the knowledge and motivation to respond appropriately to natural and government-issued disaster warnings by using locally agreed evacuation routes, shelters and safe areas; ensuring there are adequate supplies in safety zones; having basic disaster management skills and local systems in place; and understanding how to support vulnerable groups and individuals. International evidence indicates that investments into community based preparedness saves lives.[19]

Recent evidence indicates that communities in Indonesia are not yet effectively preparing for and mitigating disaster risks. The April 2012 tsunami alert in Aceh and West Sumatra showed that communities were not yet taking appropriate action to evacuate from a tsunami.[20]

Preparedness is only part of the community resilience equation. At the village level, community members need to understand and own their natural disaster risks and ensure that this understanding is integrated into local village planning. They need to protect their livelihoods from the everyday disasters that impact upon them and advocate, negotiate and demand resources to assist in mitigating these impacts in order to protect local productivity. It is here that the interface between villages and local government becomes important.

Building community resilience in the current Indonesian context necessitates attention to four interlinking spheres of engagement to achieve sustainable and replicable outcomes:

1. **Changing mind-sets** and routine practice of communities, CSOs and government with an emphasis on joint transformational learning and critical reflection;
2. **Making government policies congruent with practice** by improving both CSO and GoI capacity through their critical interaction as opposed to viewing them as two parallel and isolated tracks;

17 Twigg, J 2004, *Disaster Risk Reduction: Mitigation and Preparedness in Development and Emergency Programming*, p. 104.

18 UNISDR 2005, *Hyogo Framework for Action 2005-2015*, p 33.

19 Satterthwaite, D. 2011, p 340; UNISDR, 2010; see also Bangladesh Cyclone Preparedness Program (website) and the Government of Vietnam and the Vietnam Red Cross' Vietnam Mangrove Reforestation Program (website)

20 Republik Indonesia 2012, *Evaluasi Sistem Peringatan Dini Tsunami Pada Kejadian Gempabumi dan Tsunami Aceh (Evaluation of Tsunami & Earthquake Early Warning System in Aceh) 11 April 2012*.

3. **Mobilising social action** by implementing a community-empowerment approach where civil society networks can engage with government and other DRM actors at various levels to foster linkages between communities and governments and ensure both sustainability and replication of DRM initiatives;
4. **Creating interactions and linkages** where different DRM stakeholders meet to negotiate and make decisions on DRM resource allocation. This represents a culmination of the three key change areas listed above and enables lobbying through informal channels (such as networks; knowledge centres and local media) or through more formal channels such as DRR Forums established at the national, provincial and district levels.

ii. Implementing community empowerment approaches

Community resilience (particularly disaster preparedness and local mitigation) can be achieved in part through Community Based Disaster Risk Management (CBDRM), a process of community development which supports communities, including the individuals and groups within them, to understand and assess their risks and vulnerabilities, prepare DRM plans, establish and strengthen community DRM groups that lead the implementation of plans, and conduct simulations to test and review these plans.[21] CBDRM also enables communities to engage with governments on issues of safety and resilience, and incorporating principles of gender equality and social inclusion into CBDRM ensures that not only the vulnerabilities but also the capacities of excluded groups are taken into account.[22]

An AIFDR review of CBDRM activities in 15 communities showed that communities were not properly analysing risks, DRM plans were not adequately resourced and plans were not useful when a disaster occurred.[23] Analytics commissioned for this design also highlighted a number of factors contributing to this including that CBDRM in Indonesia has been largely implemented as a project rather than a process of community empowerment; poor coordination; the adhoc nature of activities; a reliance upon external resources; inadequate knowledge and participation of women, people with disabilities, the elderly and children in DRM planning; and insufficient community knowledge of, and linkages to, local government strategies.[24]

AIFDR-2 will seek to trial innovative approaches to CBDRM that are appropriate for local contexts, nurture champions and include the voice and agency of women and socially marginalised groups. It will be important to link these trials to the continued development of BNPB's National Resilient Villages program. Through a range of partners from international and national NGOs to local CSOs, AIFDR-2 will seek to integrate DRM outcomes with local empowerment programs such as PNPM and will investigate ways to integrate with the new Indonesian Village Law.

Civil society organisations are a key agent of change and can play a range of roles in the DRM space. CSOs can facilitate the CBDRM process and act as an important bridge between community and government. They can effectively build community capacity for disaster preparedness, facilitate linkages between key stakeholders, mobilise technical assistance

21 Twigg, J 2004; see also Abarquez, I. et al 2004, *Community-Based Disaster Risk Management: Field Practitioner's Handbook*

22 A survey by Oxfam on community awareness of exclusion in Indonesia found less than 10% of respondents understood gender issues in disaster. This figure is likely to be lower with respect to other areas of vulnerability such as PWDs and people living with HIV/AIDS in Shatifan, N 2013.

23 AusAID 2011, *CBDRM in Indonesia: Building upon Community Resilience, Strengthening State-Support, and Charting a National Model.*

24 Heijmans et al. 2013, *Community Resilience Analysis*, p 16.

and support different groups within communities to demand DRM services that address their specific needs[25].

International experience indicates that the greatest results can be achieved when communities, CSOs, local governments and other partners such as the private sector work together to reduce disaster risks.[26] CSOs can also act as intermediaries between government and the private sector and universities. In order to achieve transformative change in DRM, communities (with the support of CSOs) need to engage and involve government to support community activities, improve government accountability and allow communities to influence important decisions around funding priorities and public investment.[27] DFAT's Civil Society Engagement Framework highlights the important role that civil society plays in creating demand for government services as well as in delivering services to communities and in particular in reaching marginalised and hard to reach groups[28].

In Indonesia, CSOs can take on a number of roles including advocacy, facilitation between communities and local government, watch dog for accountability of local services and as direct service deliverers in partnership with government. It is important that all of these roles are allowed to flourish. Some larger national level organisations can work as service delivery partners for local government, assisting with disaster preparedness (such as local contingency planning and simulations), while local NGOs, CSOs and community based organisations are more likely to take on a role in empowering citizens, particularly women and other marginalised groups, to identify risks, integrate DRM into village-based planning and advocate for assistance and services from the local government.

CSOs can play a role in helping citizens to identify marginalised or vulnerable groups and can facilitate greater understanding of the particular needs, priorities and perspectives of these groups. However, it should be noted that local CSO facilitators are often poorly prepared for this kind of work and often have their own bias and prejudices. For example, many local NGOs and CSOs are male dominated and do not understand how to increase the agency of women at the village level.

BNPB's National Disaster Management Plan (NDMP) highlights the need for greater government engagement with civil society and other partners to promote preparedness at the community level. However, this has not yet been developed into an integrated policy and implementation strategy resulting in a disconnect between policy and practice. According to the analysis commissioned for the AIFDR-2 design, community-based activities implemented by government agencies tend to be sporadic, poorly coordinated, and are insufficient to achieve adequate coverage for at-risk communities or excluded individuals/groups within communities. External support for community-based activities over the long-term will create demand for DRM services, promote local government accountability, build a base of local technical expertise and resources, and support linkages and interactions between community and government. At the same time, AIFDR-2-funded

25 For example, ASB, Oxfam and CARE have implemented programs on women's empowerment in DRM while Handicapped International has taken the lead on people with disabilities and PLAN has supported child sensitive DRR. Shatifan 2013.

26 See an example from the Philippines in: Satterthwaite, D. 2011, p 340; UNISDR, 2010; see also Bangladesh Cyclone Preparedness Program and the Government of Vietnam and the Vietnam Red Cross' Vietnam Mangrove Reforestation Program

27 UNISDR 2011, GAR 2011, p 145.

28 AusAID 2012b, *AusAID Civil Society Engagement Framework.*

activities will be used to test and update BNPB's resilience policies and the national Resilient Village Program.

The development of local government and civil society partnerships and/or interactions is not new to the DFAT development cooperation program in Indonesia. ACCESS and LOGICA2 have established strong partnerships between local government and civil society.[29] Other programs such as GoI's National Program for Community Empowerment (PNPM Peduli) and Australia's Empowering Indonesian Women for Poverty Reduction (MAMPU) further demonstrate GoI's appetite to work in partnership with CSOs.[30] The ability for government and CSOs to work together in the DRM space has also been demonstrated through AIFDR-supported initiatives where local governments are calling on CSOs to build local capacity in DRM. Consultations held with CSOs[31] provided further evidence of a good enabling environment for building government-CSO-community interactions under AIFDR-2. There is an increasing trend in Indonesia for CSOs and NGOs to hold government accountable for not adequately addressing disaster risks, utilising various strategies such as creating spaces for dialogues, through media exposure and by inviting government to participate in workshops[32].

As the closest level of government service provision to communities, district BPBDs are expected to facilitate and coordinate increased community preparedness[33]. However they do not yet have the necessary human resources or skills and implementation capacity is sometimes weak.

iii. Creating linkages and interactions

Evidence gathered through CBDRM literature, studies commissioned by AIFDR on organisational capacity of BNPB/BPBD and a political economy analysis of DRM as part of this design indicate that saving lives and reducing vulnerability to disaster can be brought about by fostering community resilience and building the capacity of Indonesian DRM agencies. These two tracks need to be brought together through building linkages and interactions, creating dialogue spaces and forging relationships and partnerships between stakeholders. Linking citizens to local governments is a key focus of many GoA programs concerned with improving service delivery in decentralised Indonesia. A stocktake of best practice in public service delivery commissioned by the ACCESS program identified the need for strong local and institutional leadership to mobilise communities, facilitation from CSOs (including NGOs and community based organisations) and community participation including building partnerships with various stakeholders such as CSOs, the media and governments.[34] ACCESS made particular efforts in its programming approach to engage women and address the gender inequality that made women vulnerable. Under AIFDR-2, this approach will also be promoted and it is envisaged that future interactions at local, provincial and national

29 AusAID 2010, *ACCESS Phase 2: IPR;* AusAID 13 June 2012, dialogue with Decentralisation Section Jakarta.

30 AusAID 2012m, *MAMPU Indonesia*, p. 5; part B, p. 25.

31 Meeting Records AIFDR CSO Consultation – 2 May, 2013.

32 Heijmans & Sagala. 2013, p. 5.

33 Republik Indonesia 2007, *Undang-undang Republik Indonesia Nomor 24 tahun 2007 Tentang Penanggulangan Bencana*.

34 ACCESS 2012, *Best Practices in Public Services: Stock Taking Study in 8 Districts in Eastern Indonesia.*

level will encourage mutual understanding and contribute to evidence-based DRM planning and decision-making that is context-specific, relevant and appropriate for communities.

Support for the creation of "dialogue spaces", the formal and informal arenas where different DRM stakeholders (individuals or citizens, CSOs, faith based organisations, local governments, media, private sector and knowledge centres including think tanks and universities) meet, share experiences, coordinate DRM efforts and make decisions about DRM resource allocation, will be a feature of AIFDR-2. The idea of "dialogue spaces" or opportunities for citizens and government to interact on public service delivery issues, is closely linked to the "political arena model"[35] used increasingly in community development including CBDRM. The "political arena model" identifies that there are social locations or situations where DRM actors confront each other, resist ideas, debate issues, resources and values, and try to resolve discrepancies, value interpretations and incompatibilities between actor interests.

The experience of the DFAT-funded ACCESS and LOGICA2 programs has found that this engagement is critical for citizens and CSOs to advocate for changes to policy and practice. Engagement amongst key stakeholders becomes the venue to seek positive responses to citizens' initiatives and complaints, and fosters relationships that respect the importance of citizens' rights as well as government efforts to improve public services. For this reason, multi-stakeholder forums have become a key focus of the ACCESS program. AIFDR-2 will seek to leverage these existing multi-stakeholder forums and will also seek to utilise existing local community complaint centres.

In Indonesia, civil society networks at either the national or sub-national levels that engage directly in DRM advocacy and policy dialogue are limited. Following the 2004 Indian Ocean Tsunami, a number of organisations emerged that had specific influence on the formulation of Law 24/2007 on Disaster Management. However, in recent times the influence of these networks has waned. Since 2009, BNPB has been encouraging the formation of local DRR forums (Forum PRB) as multi-stakeholder platforms responsible for promoting and advocating DRM issues. A national DRR platform called PLANAS (supported by AIFDR) already exists and represents government, non-government, community and the private sector. At the sub-national level, AIFDR partners and other donor-funded programs have facilitated the formation of a number of functional local DRR forum, are supporting CSO networks and advocating for DRM and climate change adaptation (CCA). The new AIFDR-2 will pay particular attention to ensuring the participation of women, people with disabilities and other marginalised groups within these forums.

The GoI acknowledges that it does not currently have the reach or capacity to facilitate local level community-based activities on a wide scale without the engagement of CSOs. With effective, sustainable networks and a long-term funding base for these organisations to support DRM activities, CSOs and government would be more able to work together to achieve effective, coordinated, long-term resilience. There is an ongoing and clear need to strengthen networks that support CSOs to build community capacity and empower communities to effectively advocate for improved DRM policy and practice. Initially, AIFDR-2 will seek to leverage existing networks linked to national and international NGOs and faith

35 Quarles van Ufford, P 1993, *Knowledge and Ignorance in the Practices of Development Policy*.

based organisations. Strategic support for emerging networking opportunities is an important part of the program's sustainability strategy.

AIFDR-2 will continue to support and encourage interaction, linkages, relationships and partnerships to be formed between communities, NGOs, faith-based organisations, local government, media, the private sector and knowledge centres. Where applicable, CSO partners will lead on the creation or facilitation of relevant forum or arenas for dialogue. These fora will enable cross-government sharing (between districts and between provinces), learning between CSOs and partners, and interactions between community members, CSOs and local governments.

c) Investing in Rights-based, Inclusive Approaches

A key theme of the new AIFDR-2 is the need to promote and demonstrate rights-based and inclusive approaches to DRM. Community resilience cannot be strengthed without ensuring that all people are included in DRM planning and action. Particular groups face greater risks, for example those living in hazard-prone locations (often the poorest members of the community); those living and working in poorly constructed buildings; people relying on agriculture-based livelihoods that are vulnerable to natural disasters; and those lacking resources to recover from the effects of a disaster.[36] Women, children, people with disabilities, and the elderly often experience higher rates of mortality, morbidity and post-disaster diminishment of livelihoods or well-being, including exposure to violence, harassment and exploitation[37].

Women (particularly those widowed) and girls also face increased burdens[38] in post disaster environments, including restricted access to education and basic services, and in many cases face socio-cultural norms and challenges that reduce their capacity to recover[39]. Their vulnerability is exacerbated by a lack of means to recoup lost assets, limited livelihood options, poor access to appropriate services and a lack of bargaining power. At the same time, the agency of these so-called vulnerable groups is overlooked. Women, children, people with disabilities and other marginalised groups can be active champions for change. For example, women's roles within family units and as emerging leaders at the village level provide an opportunity for them to embrace and promote positive change in their communities.

Despite, this, reaching different groups of vulnerable people and responding to their specific needs in Indonesia is challenging because of economic, social and political processes that limit the capacity of certain groups to participate in DRM activities. As a simple, practical example, vulnerable and marginalised people often lack a voice in the selection and design of evacuation routes and shelters that meets their different physical capabilities and in expressing their different needs for emergency response (such as provisions for babies, medication for the elderly, sick and those with HIV, accessibilility measures for those with disabilities). In another example, women are often overlooked in discussions around local mitigation measures for flood-affected crops despite the fact they spend a great deal of time working in the very fields that are continually inundated. As part of an Oxfam community DRM program supported by AIFDR, female members of local disaster management teams joined together to successfully lobby the local government in NTB for flood mitigation works.

36 Tearfund 2005; AusAID 2009b, *Investing in a Safer Future*; Yodmani, S 2001, Chapter 13.

37 Shatifan 2013.

38 Including fetching water, finding food, caring for children, those with disabilities and elderly people in difficult circumstances and reduced livelihood opportunities.

39 World Bank 2008, *Policy Note No.24.*

While overarching national government policies exist, the implementation arrangements are not yet in place and provincial and district governments are not yet sufficiently prepared to address issues of social and gender inclusion for DRM. They lack awareness of the different community groups and their varying capacities and vulnerabilities in disasters[40]. AIFDR-2 participatory mapping and disaster scenario tools provide an opportunity for local governments to begin dialogue around gender equality and social inclusion issues. The AIFDR-2 capacity development program at the sub-national level will integrate learning around gender equality and social inclusion, while technical assistance at the national level will seek to promote gender equality and social inclusion in policy formulation.

Focusing on excluded groups alone is insufficient to bring about system and behaviour change to support more inclusive DRM practice. Understanding vulnerability requires analysing both the processes (economic, social and political) and the people that contribute to the exclusion of particular groups from crucial DRM processes. This helps identify who are most at risk, the likely impacts of a disaster for these groups and possible entry points for change[41]. Therefore, local political economy analysis tools that be utilised by partners at the community level and at the sub-national government level will include analysis around knowledge and practice of gender equality and social inclusion.

AIFDR-2 will continue to advocate and help facilitate the participation of the marginalised and give vulnerable groups a voice. When people are not included as active stakeholders with a voice in planning and implementation nor as recipients of support to meet their specific DRM needs, interventions are more likely to treat the needs and preferences of men and/or the elite. This then becomes the standard for service delivery[42].

d) Investing in Improved GoI Service Delivery

Saving lives and lessening the economic impact of disasters in the event of a tsunami, earthquake, flood or other disaster cannot be achieved through the activities of communities alone. Government preparedness is vital to ensuring that life-saving services are delivered immediately after a disaster. These services need to be effective and coordinated to ensure the right services are provided in a timely way to those most in need.

The Law 24/2007 on Disaster Management mandates BNPB and BPBDs to coordinate all line ministries and agencies active in the DRM sector. With many BPBDs still in their infancy, particularly at the district level, they do not yet have the requisite resourcing, knowledge, and importantly, the credibility to provide this level of leadership[43]. BPBDs also face some resistance from within local government, as they are sometimes viewed as creating competition for access to limited local resources[44]. This is typical when new agencies are formed. These agencies also find it difficult to attract technically competent staff and for many agency heads, the position is a stepping stone to a more highly prized job.

There is a need to improve the capacity and build credibility of local BPBDs to fulfil their functions and strengthen their primary coordination role before, during and after a disaster. This requires an

40 Shatifan 2013.

41 Ibid p.8.

42 Ibid p.7.

43 Universalia 2013, p 14-15; and Pellini 2013, p 22-23.

44 Ibid

approach to response and recovery preparedness that addresses the technical as well as the organisational capacity of BPBDs to ensure improved DRM service delivery performance. In the first four years, AIFDR-2 will focus on planning and coordination of response and recovery preparedness. This approach is appropriate for new BPBDs and helps to avoid overlap in service delivery[45].

Preparedness for response and recovery will include planning, building robust rapid assessment and reporting systems and conducting community level disaster simulations. Leading on this culture of preparedness and engaging in coordination and planning with local government agencies such as health, education, social, public works, police and military, will help to increase the credibility of local BPBDs. Tools developed by AIFDR, such as scenario development (*InaSAFE*), will provide the local BPBDs with an entry point for engaging with other agencies. The resulting increase in credibility and minimum standards of technical professionalism, will allow local BPBD to more confidently negotiate with the planning agency and local parliaments for local government budget. It is expected that within the first four years, BPBDs will have obtained local budget for a range of community preparedness activities such as routine disaster simulations, development of local warning systems and community awareness campaigns. These activities will be evaluated for integration of gender equality and social inclusion. It will be important to include community feedback measures into all emerging activities.

Disaster risk management is a key cross-cutting issue for improved service delivery. In order to align AIFDR-2 with the broader Frontline service delivery approach of the DFAT program in Indonesia, particular effort will be focussed on mainstreaming DRM into key local service delivery departments, for example by bringing together local BPBD and health department officials for disaster coordination and planning. A specific delivery focus at the district/city health clinic (*Puskesmas*) would involve *Puskesmas* preparedness, crisis training and contingency planning to avoid blockages in service delivery during emergencies. CBDRM programs adopt school-based approaches as entry points and the local education departments will be expected to engage in contingency planning to ensure that education services can continue in crisis situations.

i. Preparedness, disaster planning and simulations

AIFDR-2 will focus on building the technical capacity of local BPBD to better prepare and plan for disasters based on realistic scenarios. BPBD will interact with communities through disaster simulations, while community feedback mechanisms will be designed to enable community input into the process.

In order to prepare for a disaster, government needs to strengthen coordination through developing a framework and different types of planning documents. This framework, or response plan, defines institutional roles and responsibilities and should be broad enough to cover any type of disaster, while contingency plans are more specific to a particular disaster event. These plans should be well informed by hazards, risks, and vulnerabilities and capacities of different sub-populations to ensure the plan is appropriate and makes use of existing community assets as well as government resources. They should clearly articulate roles and responsibilities, enhance horizontal and vertical coordination and be properly resourced. A wide range of government and non-government agencies and groups should be involved in the development of the plan, to ensure it is comprehensive and coordinated and

45 O'Donnell 2010, *Addressing the Grand Challenges of Disaster Risk*, p. 10-11.

that the needs of all members of the community are reflected. Government should test and review the plan through simulations and update the plan accordingly[46], ensuring that resources are allocated to implement the plan so that local government is prepared to respond when the hazard strikes. BPBD have a mandated role to lead on the development of these plans, which offer opportunities for the new agencies to begin coordinating other local government departments and DRM stakeholders.

Not all provincial and district level BPBDs are currently performing this coordination role effectively. Many BPBDs have not developed contingency plans and when planning has occurred it is often not based on accurate hazard mapping. Simulations, if held, commonly do not adequately involve communities. BPBDs often view CSOs as service providers, and do not sufficiently engage them in policy dialogue[47]. Due to lack of adequate data, there is insufficient knowledge about marginalised and excluded groups (e.g. people with disabilities are often hidden in the home and their needs remain invisible for planning purposes).

BPBDs require support in developing robust and inclusive disaster planning and need to test these plans routinely through simulations. The support of a national response and preparedness framework will be equally important for ensuring strong vertical links between the national and sub-national levels and promoting a strategic Indonesian cluster approach that aligns key ministries and agencies with established roles and responsibilities during a disaster response.

ii. Disaster information management systems and Emergency Operations Centres (EOCs)

EOCs act as the regional centre for command and coordination, decision-making and information management before and during a disaster. An EOC should provide 24-hour monitoring of hazards; an effective information management system; multiple communications systems; and be designed to enable coordination and information sharing among the wide range of DRM stakeholders.[48] EOCs may also monitor and implement regional and local early warning systems (EWS). Immediately after a disaster, EOCs play an important role in coordinating stakeholders that provide rapid life-saving services (e.g. Search and Rescue, specialised medical services and air support). Integrated information management systems utilised by EOCs enables rapid reporting of disaster situations and direct communication with BNPB's central command centre.

Establishing and strengthening EOCs in all provinces is a BNPB priority as it aims to link EOCs across the country to achieve a national disaster management information system and support a national response framework. Therefore, AIFDR-2 will continue to model good practice with particular emphasis on the EOC supported under the first phase of AIFDR. Continued support will focus improved capacity development and the provision of technical support will ensure that Standard Operating Procedures (SOPs) can be institutionalised and exercised, and BPBDs are able to operate EOCs to their full potential. Ongoing support is also required for local data collection to enable EOCs to lead on scenario and risk mapping.

46 Twigg 2004, pp. 289–291.

47 Shatifan 2013, p. 13.

48 United Nations 2008, *Disaster Preparedness for Effective Response*, pp. 32-33.

In line with their role as a coordination and communication centres, EOCs can also monitor and implement national or local natural disaster early warning systems (EWS). EWS can save lives and mitigate economic loss by giving people time to protect their assets and escape from a disaster.[49] An effective people-centred EWS requires understanding disaster risk through science, technology and community driven methods to monitor and forecast hazards; generate accurate and timely warnings; timely dissemination of warnings to communities; and ensure governments and communities are prepared to react appropriately to both natural and government issued warnings.[50]

The GoI has made substantial investments in EWS for nearly all main hazards including flood, tsunami and volcanic eruption. However, the Aceh and Padang tsunami alert in April 2012 demonstrated that tsunami warnings are not being disseminated to the community in a timely manner due to a range of factors, including issues with SOPs and lines of communication, lack of clarity on roles and responsibilities, and infrastructure failures (e.g. electricity outages).[51] Indonesia's *Master Plan for Reducing Tsunami Risk* in Indonesia includes strengthening the early warning chain, building vertical evacuation shelters, strengthening preparedness and mitigation more broadly, and building capacity to manage effective earthquake and tsunami monitoring systems, and manage evacuation processes and evacuation shelters and sites.

There is a need to link EOCs to EWS where applicable and appropriate. Strengthened information management systems linked to EOCs helps strengthen clarity of roles and responsibilities, communication lines, SOPs, evacuation and shelter management.

iii. Balancing technical capacity and organisational performance

While BNPB is mandated to build the technical DRM capacity of sub-national BPBD, analysis conducted as part of the AIFDR-2 design process has identified a need to also strengthen BPBD organisational performance. This requires consideration of the enabling environment: the social, cultural, economic and political environment, and policy and legal framework within which the organisation operates; and the political economy within the organisation itself. Attention needs to expand beyond technical skills training to address significant issues related to strategic leadership; organisational structure; human resources; financial management; infrastructure; systems and processes; and inter-organisational linkages. Finally, organisational motivation is a major factor in performance, and addressing this requires changes in organisational culture and the use of incentives and reward systems.[52] Organisational capacity and performance indicators include:

- **DRM Policy Framework:** Strengthen both the policy process and policy decision-making for operational plans and legislation;
- **Human resources:** BPBDs cannot coordinate preparedness efforts nor support community resilience on an equitable and inclusive basis until they have sufficient human resources, knowledge and skills to fulfil these functions;

49 Rogers, D & Tsirkunov, V 2010, *Costs and Benefits of Early Warning Systems*, pp. 3-4.

50 UNISDR 2006, *International Strategy for Disaster Reduction*; Twigg, J 2004, pp. 299-300.

51 Republik Indonesia 2012a, *Evaluasi Sistem Peringatan Dini Tsunami pada Kejadian Gempabumi & Tsunami Aceh (Evaluation of Earthquake & Tsunami Early Warning System in Aceh) 11April 2011*.

52 Universalia 2013.

- **Budget:** BPBDs cannot fulfil their core functions until they have sufficient budget to operate and implement activities;
- **Credibility:** BPBDs' credibility determines their ability to attract sufficient human resources and budget and coordinate interagency preparedness efforts;
- **Roles and responsibilities:** GoI cannot prepare an effective response if there is a lack of role clarity and accountability between agencies at all levels of government;
- **Increased gender diversity:** Women's recruitment, mentoring and promotion will be encouraged at all levels through the program.

In order to develop organisational performance, AIFDR-2 will utilise organisational assessment tools to understand the specific capacity gaps being experienced by the target provincial and district BPBD. AIFDR-2 will seek to align with the broader DFAT development cooperation program to leverage public financial management and other organisational development opportunities. This includes aligning with future decentralisation and public financial management initiatives.

e) Investing in Evidence-Based DRM Decision Making

The new AIFDR-2 will continue to invest in the development and support of reliable and credible hazard information at the national and sub-national levels. This information forms the basis of understanding where, how often and how big natural hazards are likely to be. AIFDR has worked with Indonesian science agencies to develop national hazard maps and information for earthquake and has assisted with similar work on tsunami. Most importantly, AIFDR through its science interventions has created strong relationships with Indonesian science agencies and has fostered interactions between government and non-government science stakeholders from government agencies and research institutions. The challenge remaining is to facilitate a greater supply and demand environment for science products, with BNPB and Indonesian science agencies working more closely together to define the types of hazard products required for improved DRM outcomes.

AIFDR also pioneered the use of geospatial participatory mapping to assist in understanding the exposure levels of communities and local governments. This technology bridges science and DRM practice and opens a range of empowerment possibilities for local communities who have the ability to map social vulnerabilities. For this reason, AIFDR trialled OpenStreetMap participatory mapping with the DFAT-funded ACCESS program, which used this technology as part of its village-based social mapping processes.

i. Investing in hazard science

Effective DRM requires a credible and realistic understanding of where, how often and how big natural hazards are likely to be. For example, if a local government or community is to effectively prepare for, and mitigate, a potential tsunami, they must first understand where the water is going to go. Without this basic knowledge it is impossible to take the next step of understanding which people are likely to be impacted and which vulnerable groups are at highest risk of being killed or displaced.

There is a significant lack of reliable and credible hazard information available at provincial and district levels that can be used to underpin disaster management decision-making and planning. As the most earthquake prone country in the world, Indonesia has characterised

(how big, how often) less than 30% of its earthquake generating faults[53]. In the case of the 2011 Jakarta floods, there was no systematic data available at the right detail or resolution to enable the local government to understand which areas were most likely to be affected. Similarly, Indonesia's *Master Plan for Reducing Tsunami Risk* identifies 144 districts as having high or very high tsunami hazard[54], however less than 20% of these districts have detailed hazard maps that would be suitable for evacuation planning[55].

The BPBD in Jakarta DKI have demonstrated that there is huge potential for the participatory mapping processes to be used to help communities directly identify which parts of their village are flood prone. Floods occur so frequently in Indonesia that many communities have an inherent understanding of their likely flood hazard. The challenge is providing communities a way to carefully, systematically and consistently communicate this hazard in a fashion that allows their knowledge to be used in disaster preparedness planning.

A key challenge to using participatory flood hazard information is that it reflects the history of a community's experience. Consequently, this data cannot, by itself, capture likely changes in flood hazard due to climate change or changes in the landscape from urbanisation. Nonetheless, this information does provide a starting point for engaging with a community on their experience of flood hazard and a platform for beginning to discuss what impacts climate change could have on future flooding. AIFDR-2 will utilise existing climate change weather forecasting for Indonesia and seek to integrate this as important source data for local government planning.

Hazards such as tsunami and earthquake are far less frequent than flood and hence are not as deeply ingrained in the experience of many Indonesian communities. Consequently, it isn't possible to directly determine earthquake and tsunami hazard from communities in a form that can be used for preparedness planning.

Scientific approaches for providing the required hazard information exist internationally, and there is an embryonic capability within the GoI. In the case of earthquakes this information is becoming available through Australian (AIFDR) support to GoI for its earthquake hazard program. National agencies are increasingly able to understand the threat associated with Indonesia's earthquakes, communicate this to decision makers and coordinate inputs from multiple agencies into a single product[56]. This effort is still in its infancy and there are considerable data gaps to be overcome.

There has been less work done to date to support a systematic national hazard mapping program for tsunami. While agencies such as Badan Geologi, the Agency for the Assessment and Application of Technology (BPPT) and some universities have completed a number of tsunami hazard studies, their efforts have been largely independent of each other. Similarly, while early AIFDR interventions have helped BNPB and GoI science agencies to work together to provide data for a handful of communities, there remains a need for the relevant GoI agencies to establish a coordinated and systematic program of tsunami hazard

53 Irsyam, M et al. 2010.

54 For this design, high or very high tsunami hazard is defined as having a 1 in 500 year tsunami hazard of greater than 1m.

55 Estimate based on data provided to Design Team by BPPT and BG. There are only 20 areas that have hazard maps. Some of these areas are smaller than a district and some are larger. There are 144 districts with high or very high tsunami hazard.

56 AusAID/AIFDR 2012, *Independent Progress Review of the Indonesian Earthquake Hazard Project.*

modelling across Indonesia. AIFDR's success in supporting the GoI develop and implement an equivalent earthquake hazard mapping project means that the Geoscience Australia science team working with the new AIFDR-2 will be well placed to help address this need. AIFDR-2 will ensure that the hazard information developed by the national science agencies is put into the hands of disaster managers. In the example of tsunami, scenarios can be used to identify potential tsunami inundation and participatory mapping can be used to map vulnerable communities and important infrastructure within the inundation zone. A number of practical local government and community preparedness tools for tsunami have been developed in recent years including the TSUNAMI*kit* developed by the German-Indonesian Cooperation for Tsunami Early Warning Systems (PROTECTS) project.

These capacities need to be led by BNPB in partnership with national and international science agencies and experts. There are a number of national science agencies responsible for supporting BNPB in the preparation of contingency plans. BNPB has taken significant steps to connect with universities in recent times, through the signing of a Memoranda of Understanding with nine universities to develop long-term research development strategies in line with the NDMP. However, the Independent Progress Review[57] of AIFDR's earthquake hazard program highlighted that there is not yet a culture of joint planning or sharing of data and expertise between BNPB and other agencies.

Partnership in science was one of the characteristics of AIFDR that enabled the creation of demand for accurate science and opened opportunities to build linkages and dialogue between scientists and policy makers. AIFDR's work on tools such as *InaSAFE* has provided mechanisms to ensure that hazard information can tangibly inform and influence disaster preparedness planning. The new AIFDR-2, therefore, remains well positioned to continue to bridge this divide between scientists, disaster managers and communities.

ii. Understanding disaster impacts - InaSAFE and OSM

A realistic understanding of the potential impacts of a natural hazard, particularly on different groups within the community, is central to planning and preparing for a future disaster. For example, if a BPBD is to effectively prepare for a possible flood they need to understand who will need to be evacuated, who is likely to need assistance to evacuate, and what assistance they may need to provide to the displaced.

One of the barriers to better disaster preparedness, as identified in the 2013 Global Platform for DRR, is the difficulty in linking science to disaster management decision makers. This means providing information regarding disaster hazards and potential impacts in order that disaster managers can make informed decisions and undertake realistic planning. There is also a need to provide disaster managers with a way to interact with this information and to use their own contextual knowledge and experience. Addressing this barrier requires new ways to effectively develop and communicate the likely impacts of natural hazards. In particular, there is a need to better connect and combine the often technical outputs of science agencies with local knowledge and wisdom to create more useful and actionable information on the impact of disasters.

57 Ibid.

BNPB, with the support of AIFDR and the World Bank, have pioneered InaSAFE, an innovative set of software tools and associated training materials that have the potential to address this gap in Indonesia. The initial application of InaSAFE has shown early signs of success and uptake by BNPB. Nonetheless, there is still a need for significant testing, refinement and revision of this tool to ensure that it is able to demonstrably improve disaster planning.

In addition to better communicating the impacts of disasters, the AIFDR mid-term Independent Progress Report (IPR) recommended that AIFDR needed to "… 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." BNPB has further highlighted the need for participatory approaches to be developed and used to assist communities to articulate their vulnerabilities and capacities to manage disasters[58].

In response to this need, technologies such as OpenStreetMap (OSM) are being trialled to provide communities with the tools to quickly, simply and easily produce maps of their vulnerability and capacity. This participatory mapping approach provides detailed, local scale vulnerability data that can be used by governments and communities for developing impact assessments. Helping communities to map their own vulnerabilities has the additional benefit of increasing the ownership communities have over the resulting impact assessments. Low-tech approaches, such as paper maps with digital imagery that can later be uploaded into a database, mean that access and useability issues are minimised. As part of an AIFDR pilot initiative in East Java, the provincial BPBD utilised the local scouting movement to collect spatial data on vital infrastructure using OSM. The BPBD then used this locally collected and contextually specific data in the InaSAFE scenario tool to produce an impact map to assist in contingency planning for the likelihood of flooding in the large Bengawan Solo River catchment.

f) Investing in International and ASEAN Regional DRM Architecture

AIFDR-2 investment into international and regional disaster response architecture will be aimed primarily at ensuring that international and regional response capacity aligns with Indonesian humanitarian systems and structures. Enhancing disaster preparedness and delivering faster and more effective responses to humanitarian crises is one of the strategic goals of Australia's development cooperation program. DFAT's Humanitarian Action Policy outlines an agenda for improving Australia's humanitarian action and influencing international humanitarian action practices[59]. Australian investment in response and recovery capacity in Indonesia is the most direct investment we will make towards these goals and it aligns with Australia's interest as a strong partner to Indonesia to provide bilateral emergency response assistance to the archipelago in the event of a large disaster that overwhelms national capacity.

Despite Indonesia's rapidly developing national (economic, physical and institutional) capabilities, there will be disasters that overwhelm capacity. During these times, the ability to save lives will

58 BNPB 2012a, *Report from technical session 2 of Asian Ministerial Conference on Disaster Risk Reduction*.

59 Headline results have included: Number (x) of vulnerable women, men, girls and boys provided with life-saving assistance in conflict and crisis situations and Australian disaster responses launched within 48 hours of a request for assistance in (x) number of humanitarian crises.

require timely and appropriate access to internationally (particularly regionally) available resources. Crucially, this involves a frank self-assessment of domestic capacity, and an ability to receive external support in a way that maximises the saving of lives. Similarly, it involves a willingness and capacity of international stakeholders to coordinate resources and effort with domestic governance arrangements for an effective response.

Preparations for an effective response to likely hazards in Indonesia will necessarily involve working through how Indonesia can best access international and regional resources (and how these resources can best support Indonesia) during a disaster, to save more lives, mitigate economic loss and enable early recovery and rehabilitation. It will be equally important that international and regional actors maintain strong relationships with Indonesia and engage in capacity development of national disaster management stakeholders to internationally-accredited levels. These partnerships and interactions should link to BNPB's 10-year road map for the development of an international-standard training facility.

There is currently considerable interaction between the domestic and international disaster management communities in Indonesia. International NGOs and UN agencies are important first responder organisations within Indonesia, providing valuable on-the-ground expertise and considerable resources for disaster management. International NGOs and UN agencies maintain a physical, permanent presence both in Jakarta and across Indonesia and engage in the broader spectrum of disaster risk management activities.

However, this does not mean that response and recovery mechanisms are well coordinated and integrated for effective efforts in saving lives and reducing impact of disasters. In practice, this can lead to significant inefficiencies, duplication and operational ineffectiveness.

AIFDR-2 will continue to invest in the ASEAN Co-ordinating Centre for Humanitarian Assistance on Disaster Management (AHA Centre) and selected UN agencies that will be necessary for an effective response to a large disaster in Indonesia. For the AHA Centre, this support will build off AIFDR's current funding for operational staff. The support will assist the AHA Centre to continue to implement and carry out its mandate as outlined in the AADMER[60], with an emphasis on the ability to effectively support Indonesia in future large disaster responses.

The investment in the AHA Centre will also have benefits to the broader ASEAN region. While this is not the primary focus of AIFDR-2, it is important to note that support to the AHA Centre in particular will help to create a stronger institution that should be better placed to implement its mandated role for the betterment of all ASEAN member nations. This further supports Australia's interests in regional DRM activities and initiatives.

UN agencies will be supported to partner with the GoI in developing a response preparedness system which is able to identify and harness the capabilities of international NGOs and UN agencies for an effective response operation.

Finally, AIFDR-2 in partnership with the New Zealand Government will continue to support the development of a National Response Framework in Indonesia. The outcomes of this initiative are expected to have broader implications for improved preparedness for response at the sub-national

60 ASEAN Agreement on Disaster Management and Emergency Response

level, and therefore represents an important overarching framework that links international actors with sub-national disaster managers.

1.3 Lessons from AIFDR Phase 1

The bilateral delivery model adopted by AIFDR enabled close partnerships to be developed with BNPB, Indonesian science agencies and other key DRM stakeholders. AIFDR staff have a strong understanding of the political economy and drivers of the DRM sector in Indonesia, and their professional judgement has further assisted identifying key emerging areas for support in the sector to best leverage Indonesian DRM policy and improve DRM service delivery.

AIFDR has also benefited from its links with the broader Australian development cooperation program in Indonesia and has been able to forge partnerships with initiatives such as the Australian Community Development and Civil Society Strengthening Scheme (ACCESS) and the Australia-Indonesian Partnership for Decentralisation (AIPD).

Key lessons learned from AIFDR:

- **Disaster preparedness is a priority for Indonesia.** AIFDR was announced only one year after the creation of Indonesia's first national disaster management agency (BNPB). While AIFDR was initially designed to focus on disaster risk reduction, it became clear through implementation that preparedness for better disaster response was a key priority for BNPB. As a result, nearly all programs and initiatives supported or implemented by AIFDR related specifically to disaster preparedness. Analysis conducted as part of the design process has also identified that at the provincial and district levels where BPBD have been recently established, preparedness for response is the main focus and a viable entry point for the new AIFDR-2.

- **Gender equality supports resilience.** Without support and appropriate intervention, disasters tend to entrench inequality and lead to new manifestations of inequality (e.g. early marriage or trafficking in women where this may not have been a concern before the disaster; spikes in domestic and sexual violence which can incapacitate and exclude women and exacerbate inequality). Supporting women to prepare for and recover from disasters is likely to reduce fatalities and increase resilience. BNPB has identified gender equality and social inclusion as both a priority and a challenge. AIFDR has implemented some successful community-based programs that have focused on women's equality and social inclusion issues such as disability. This has resulted in local policy changes. At the national level, AIFDR has been working with various BNPB units to improve the collection of gender disaggregated data and its partner Oxfam has been facilitating the drafting of gender mainstreaming policy. It will be important that the new program continues to build upon emerging policy opportunities at the national level and continues to demonstrate good gender equality and social inclusion practice at the sub-national and community levels.

- **Science needs to be put into the hands of decision-makers.** AIFDR has learned that science for science sake is impractical for improved disaster risk management in Indonesia. Based on learning from the DFAT Knowledge Sector Initiative (KSI), the AIFDR science program realised that in order to produce valuable knowledge for improved DRM policy and practice, there was a need to focus on both demand and supply while involving intermediary organisations and creating an enabling environment for change. The AIFDR science program has worked with key Indonesian science agencies such as *Badan Geologi* to supply the knowledge and data for use by BNPB and sub-national disaster managers in practical planning. The enabling environment for

the constructive use of this data has come through the development of low-tech, high functionality tools such as *InaSAFE* and OpenStreetMap (*OSM*) (see Box 3). These tools are open-source and accessible and do not require high levels of technical skill or training. AIFDR has used its civil society partners as intermediaries to train and advocate for the use of these tools in order to provide realistic scenarios and better disaster planning for safer communities. BNPB is now adopting the *InaSAFE* disaster scenario tool more broadly and has requested technical assistance from AIFDR to enable them to use *InaSAFE* as part of their contingency planning work for coastal communities under the President's *Master Plan for Reducing Tsunami Risk.* An ongoing challenge for the AIFDR-2 science initiatives will be fostering professional linkages between science agencies and BNPB. While AIFDR has been successful in facilitating improved working relationships between Indonesian science agencies there is a pressing need for science agencies to provide services to BNPB, and for BNPB to demand these services for improved national and sub-national disaster risk assessments and scenarios.

- **The selection of the right partners results in maximum leverage at the sub-national level**. AIFDR has learned that partner selection is critical for success. As a bilateral partnership, AIFDR has involved BNPB in all decisions concerning implementing partners. This has helped AIFDR understand the political economy, and the types of government-civil society organisation partnerships or interactions which provide the best possible outcome for a given context. An example of this is the partnership with *Nahdlatul Ulama (NU)*, Indonesia's largest Islamic social organisation, which demonstrated how strategic partners can influence local policy and encourage quicker ownership of disaster management outcomes. AIFDR also partnered with international NGOs, who were responsible for building the capacity of local organisations to implement programs at the community level and to facilitate interactions with local government. DFAT's ACCESS program has learned that utilising NGOs and CSOs who understand their role as facilitators of empowerment processes at the citizens' (community) level is key to successful outcomes. In its development of minimum services standards for public services delivery, the Local Governance Innovations for Communities in Aceh Phase 2 (LOGICA2) program found that frontline service delivery was aided through partnership with CSOs, including direct engagement with regional women's networks. AIFDR has worked either directly or indirectly with around 50 CSOs. AIFDR has directly supported both international and local NGOs and CSOs and a small grants program has demonstrated good organisational and technical capacity with a number of partners. However, analysis indicates that CSO capacity is a challenge on a broader scale. At the national level there is strong capacity driven by national and international organisations and these organisations are often able to partner with experienced local CSOs. However, at the local level capacity can be limited and the level of capacity varies from island to island. This indicates that while partner selection is important, there is a need to phase in direct support options for local CSOs and CBOs and to leverage off other GoA CSO partners where possible.

- **National and sub-national disaster management agencies need Indonesian in-line technical support to assist with policy and practice priorities.** AIFDR trialled a range of technical assistance methods with BNPB and provincial BPBD and found that in-line national technical assistance was the most relevant and useful approach. This was further reinforced by an independent progress assessment conducted for the Capacity Development Support Program (CDSP). National consultants understand local context, quickly gain the trust of their government counterparts, and are better able to identify and trouble-shoot potential tensions. There is a need, however, for strong oversight and management of national technical advisers and to create capacity development opportunities for these people in order that they can provide the most professional and best informed advice and assistance within BNPB and provincial BPBDs.

- **Linking communities and local government results in improved DRM service delivery and better prepared villages.** Support to community-based disaster risk management programs has enabled AIFDR to review and assess ways in which communities are empowered and the fora through which access to local government is provided to enable communities to explain their needs and demand appropriate services. As the sub-national DRM sector evolves, the facilitation of local CSOs is important to bridge the links between community and local government. Programs supported by AIFDR have shown positive and encouraging results at the district level, particularly programs implemented by Oxfam in four provinces of Eastern Indonesia and IOM in West Java. In its delivery strategy AIPD identifies the need for appropriate fora to bring the supply and demand side of policy reform together. AIPD lists a range of multi-stakeholder approaches led by both government and civil society which are proving to be effective at the sub-national level. Equally, ACCESS has supported the successful implementation of community centres which act as a space where the community can access information, share experiences and pass on complaints regarding service delivery.

- **The private sector is an emerging partner in DRM.** The private sector has been identified by BNPB, and more generally at a global level, as a key partner in building the resilience of communities. To date, the private sector has been most active in the disaster response space and is able to quickly and effectively raise money for response, recovery and rehabilitation. AIFDR has worked in partnership with BNPB to develop regulations and pilot public-private partnerships in order to encourage greater private investment into the pre-disaster space. AIFDR-2 will continue to explore public-private partnerships at the sub-national level for sustainable DRM outcomes.

- **The DRM space in Indonesia remains fluid and changeable.** The lessons from AIFDR have shown there is a need for flexibility in programming. As a new sector, BNPB and BPBD are often drawn into new and emerging DRM priorities. AIFDR utilised its strong co-director arrangements to negotiate these changes and to provide support where activities were sensible and reflected the long-term priorities of both Indonesia and Australia.

1.4 Donor Mapping of DRM in Indonesia

A range of bilateral and multilateral donors are engaged in the DRM space in Indonesia. Some of the key donors in the DRM space include:

- **Japan International Cooperation Agency (JICA):** An investment of approximately USD 5 million for technical assistance to BNPB and capacity development support to BPBD *Nusa Tenggara Barat* (NTB) and North Sulawesi and supports hazard mapping, contingency planning and simulations.
- **United States Agency for International Development (USAID)**: An investment of approximately USD 20 million including for BPBD technical training, climate change adaptation and a Volcano Disaster Assistance Program;
- **New Zealand Aid Programme**: Providing support for line agency coordination and for response preparedness in Padang and Palu;
- **Global Facility for Disaster Reduction and Recovery (GFDRR)**: A broad program that includes some hazard mapping for specific pilot areas. Its programs heavily leverage other World Bank programs in Indonesia and support a range of capacity building and risk financing initiatives;

- **Deutsche Gesellschaft fur Internationale Zusammenarbeit (GIZ)**: Provided considerable technical support for tsunami Early Warning System (EWS) and a smaller investment in building the capacity of communities and local governments to effectively plan for tsunami evacuation;
- **United Nations Development Program (UNDP)**: With the Safer Communities through DRR program (funded by AIFDR) has supported institutional strengthening of BNPB.

The table below provides a more detailed overview of key donor DRM investments as of July 2013. This information has been compiled using the best available information as of July 2013 and is not presented as a definitive document of donor programs in the DRM sector in Indonesia

Agency	Program	Budget and Period	Brief Description
Donor Agencies			
DFAT -DFAT	Australia Indonesia Facility for Disaster Reduction (AIFDR)	AUD 67 million; 2008-2013	Training and Outreach – capacity building of BNPB/BPBDs; community resilience through community programs; building of EOCs; etc. Risk and Vulnerability – capacity building of science agencies and their relationship with BNPB/BPBDs; hazard mapping; community risk mapping; scenario building; etc. Partnership – engagement with AHA Centre; engagement with faith-based organizations.
ECHO	DIPECHO 8th Action Plan	EUR 1,569,415; 2012-2013	Oxfam – building and deepening resilience in Eastern Indonesia Handicap International – increasing the resilience of the most vulnerable groups (focusing on people with disability) to natural disasters in Indonesia
GIZ	Project for Training, Education and Consulting for Tsunami Early Warning System (PROTECTS)	2011-2013	Capacity development in local communities with a specific objective that national government institutions, local authorities and civil society actors receive support in providing the necessary services for sustainable tsunami preparedness.
JICA	Comprehensive DRM Measure	About USD 5 million; 2011-2015	Enhancement of disaster management capacity of BNPB and BPBDs in Indonesia
	Floods Measure	More than USD 350 million for 5 projects;	Loan projects with the Ministry of Public Work (PU) on flood control systems; the sixth program under development. Also an integrated water resource

			adviser at PU
	DRM in Jakarta	Until 2014	Comprehensive flood management in Jakarta and the urgent reconstruction of Pluit pump station
New Zealand Aid Programme	National Framework for Response	NZD 1 million+; 2013-2014	Assist BNPB establish a cohesive framework for coordination of roles, accountability and coordination for line agencies, local governments.
	Indonesia Multi Donor Fund Facility for Disaster Recovery	NZD 6.5 million; Since 2011	Strengthen capacity for post disaster recovery in Indonesia; the World Bank and UN agencies as implementing agencies
	Indonesia Multi Donor Fund Facility for Disaster Recovery	NZD 6.5 million; Since 2011	Strengthen capacity for post disaster recovery in Indonesia; the World Bank and UN agencies as implementing agencies
	Local Gov't Capacity Building	NZD 1 million+; Since 2011	Strengthen capacity around risk identification, hazard mapping and planning at district level
	Community Resilience	NZD 2.3 million; Since 2010	Strengthen capacity of remote communities to prepare for and respond to natural disasters
USAID/ OFDA	Regional Programs	Since 1990s	Volcano Disaster Assistance Program (VDAP) Program for the Enhancement of Emergency (PEER)
	Improving Response Management and Coordination	2013-2015	Incident commend system (ICS) training to improve management and coordination of disaster response
	Improving Humanitarian Logistics Capacity	USD 1.25 million 2013-2014	World Food Program (WFP) to work with BNPB to improve the country's humanitarian logistical readiness
	Strengthening GoI Disaster Information Systems	USD 2.2 million; 2013-2015	Pacific Disaster Center (PDC) to provide the GoI with a web-based multi-hazard disaster monitoring, warning, and decision support system
	Reducing Risks from Natural Disasters	USD 1.7 million	International Organization for Migration (IOM) to strengthen the local BPBD capacity; enhance multi-

	and Displacement		sectoral disaster planning and community participation in DRR planning
	Climate Adaptation and Disaster Resilience (CADRE)	USD 2.1 million since 2010 (USD 500,000 in FY2012)	To educate and engage communities and local officials in climate change adaptation measures and improve linkages between national, provincial, and district-level governments, leading to inclusive DRR and climate change planning
	Adapting to Climate Change and Reducing Food Insecurity through Conservation Agriculture	Over USD 2 million	Food and Agriculture Organization (FAO) to improve household food insecurity and enhance resilience for populations vulnerable to climate-related disasters and climate change
	Mitigating Risks for Coastal Communities	Nearly USD 1 million in 2012	Mercy Corps enhancing tsunami warning systems to reduce risks for Indonesian coastal communities
	Coastal Communication and Resilience	USD 800,000 in 2012; 2012-2013	Community radio station and associated training, formation of disaster preparedness committees and other DRR activities to reduce coastal hazards
	Indonesia Liquidity Facility after Disasters (ILFAD)	USD 2.2 million; 2013-2015	Mercy Corps to assist the capacity building of microfinance institutions (MFIs) to help communities recover after a disaster
	Ongoing Support for OCHA	USD 200,000 in 2013	Continued information management and humanitarian coordination activities in Indonesia.
	BPBD Capacity Development Technical Assistance & Training Teams (TATTs)	USD 5 million 2014-2016	Embedded technical training teams in 6 provinces – Central Java, Southeast Sulawesi, Maluku, North Maluku, Papua, & West Papua. Will be tendered in September 2014.
Multilaterals			
IFRC	Long term Planning Framework	CHF 3.1 million in 2013; 2012-2015	To grow Red Cross Red Crescent services for vulnerable people To strengthen the specific Red Cross Red Crescent contribution to development
UN Agencies*	DRM programs * *Note that UNICEF, WHO receive funding from DFAT sectoral programs, but not for DRM*	2013	UNOCHA – funding from DFAT; USAID UNDP – from DFAT; New Zealand Aid Programme through IMDFF WFP – from USAID FAO – from USAID; New Zealand Aid Programme through IMDFF IOM – from DFAT; USAID; New Zealand Aid

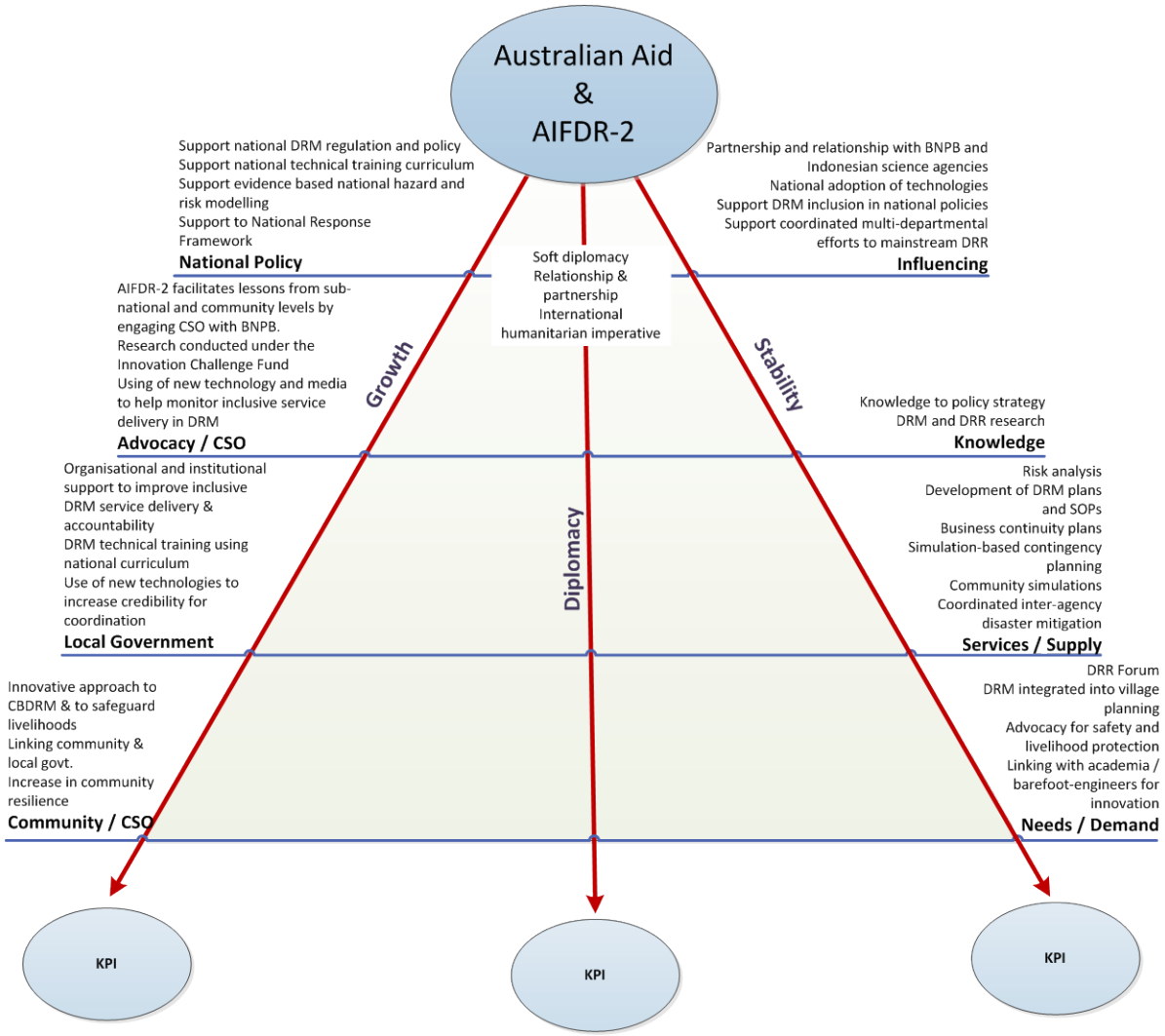
			Programme through IMDFF ILO – from New Zealand Aid Programme through IMDFF
World Bank	GFDRR Phase II	USD 5 million; 2012-2014	Further strengthening of national DRM agencies; Gradually developing and implementing a comprehensive risk financing strategy; Demonstrating the practical link of DRR and climate adaptation measures to build resilience in development projects at the local level.

1.5 AIFDR-2 Growth, Stability, Diplomacy Model

AIFDR-2 is designed to work at all levels to promote growth, stability and diplomacy. Based on a governance model, growth is seen to be supported through improved policy and regulations, and better interactions between a range of key stakeholders and partners at different levels. Concurrently, stability is supported through the trial and direct implementation of improved policy (for e.g. through service delivery). At each level, growth and stability are self-supporting.

The AIFDR-2 activities can be mapped at each level of the growth and stability continuum. The following diagram maps activities according to this model. Policy activities are linked to the ideal of growth, while policy-to-practice (including improved service delivery based a community demand-and-GoI supply) represent improved overall stability. The lines running through the triangle diagram link the policy (growth) with the practice (stability) activities.

An important aim of the Australian aid program is to support diplomacy. In terms of “soft diplomacy”, disaster management is one of the key sectors in the Indo-Pacific region, evidenced particularly in the Southeast Asian region by the important inroads achieved by ASEAN through its disaster management program. The continued strong bilateral relationship and partnership fostered through AIFDR-2 becomes an important diplomatic relationship during times of mega-disasters that overwhelm Indonesia’s domestic capacity to respond.


Australian Aid
&
AIFDR-2
Support national DRM regulation and policy
Support national technical training curriculum
Support evidence based national hazard and risk modelling
Support to National Response Framework
National Policy
Partnership and relationship with BNPB and Indonesian science agencies
National adoption of technologies
Support DRM inclusion in national policies
Support coordinated multi-departmental efforts to mainstream DRR
Influencing
Soft diplomacy
Relationship & partnership
International humanitarian imperative
AIFDR-2 facilitates lessons from sub-national and community levels by engaging CSO with BNPB.
Research conducted under the Innovation Challenge Fund
Using of new technology and media to help monitor inclusive service delivery in DRM
Advocacy / CSO
Growth
Stability
Knowledge to policy strategy
DRM and DRR research
Knowledge
Organisational and institutional support to improve inclusive DRM service delivery & accountability
DRM technical training using national curriculum
Use of new technologies to increase credibility for coordination
Local Government
Diplomacy
Risk analysis
Development of DRM plans and SOPs
Business continuity plans
Simulation-based contingency planning
Community simulations
Coordinated inter-agency disaster mitigation
Services / Supply
Innovative approach to CBDRM & to safeguard livelihoods
Linking community & local govt.
Increase in community resilience
Community / CSO
DRR Forum
DRM integrated into village planning
Advocacy for safety and livelihood protection
Linking with academia / barefoot-engineers for innovation
Needs / Demand
KPI
KPI
KPI

1.6 Service Delivery Roles and Functions – BNPB, BPBD and other Line Ministries

These tables highlight the broad roles and responsibilities of the National Disaster Management Agency (BNPB), sub-national disaster management agencies (BPBDs) and the various other GoI DRM agencies in line with Indonesian Law 24/2007 on Disaster Management.

a) National Government - BNPB

Preparedness / Response	Recovery	Mitigation / Disaster Risk Reduction
Alertness (Article 45) • Preparation and try-out for disaster emergency plans; • Organization, installation and testing of early warning system; • Provision and preparation of supplies for fulfilment of basic necessities; • Organization, counselling, training and rehearsal regarding emergency response mechanism; • Preparation of location for evacuation; • Composition of accurate data, information and update on disaster emergency response fixed procedures; and • Provision and preparation of materials, goods and equipment to fully recover facilities and infrastructure. Early Warning (Article 46) • Observation of disaster signs; • Analysis of results from disaster signs observation; • Decision making by the authorities; • Dissemination of disaster warning information; and • Community actions	Rehabilitation (Article 58) • Improvement to disaster area environment; • Repair of public facilities and infrastructure; • Provision of aid for community housing repair; • Socio psychological recovery; • Healthcare; • Reconciliation and conflict resolution; • Socioeconomic and cultural recovery; • Security and order recovery; • Government administration function recovery; and • Public service function recovery Reconstruction (Article 59) • Rebuilding of facilities and infrastructure; • Rebuilding of community's social facilities; • Revival of socio cultural community life; • Use of appropriate design with improved and disaster-resistant equipment; • Participation of social institutions and organizations, business and community; • Improvement to social, economic and cultural conditions • Improvement to public service functions; and	Disaster Management Planning (Article 36) • Recognition and study of disaster threat; • Understanding on community's vulnerability; • Analysis of potential disaster impact; • Options for reducing risk disaster measures; • Selection of mechanism for alertness and for disaster impact management and • Allocation of tasks, authority and available resources. Disaster Risk Reduction (Article 37) • Recognition and monitoring of disaster risk; • Participatory disaster management planning; • Promotion of disaster awareness practices; • Commitment of disaster management team; and • Application of physical and non-physical efforts and instructions on disaster management Prevention (Article 38) • Ensure identification and recognition of sources of disaster danger or threat; • Check on control and management of natural resources with abrupt and/or gradual potential to become a source of disaster;

Needs Assessment (Article 49) • Disaster area coverage; • Number of victims; • Damage to facilities and infrastructure; • Disturbance to the functions of public service and government administration; and • Capacity of natural and artificial resources. Rescue and Evacuation (Article 52) • Search and rescue of victims; • Emergency aid; and • Evacuation of victims Fulfilment of Basic Necessities (Article 53) • Necessities of water supply and sanitation; • Food; • Clothing; • Healthcare; • Psychosocial service; and • Accommodation and dwelling place Protection for Vulnerable Group (Article 55) * BNPB coordinates international organizations (coordination function for the international community)	Improvement to essential services in community.	• Monitoring the use of technology with abrupt and/or gradual potential to become a source of disaster; • Spatial structuring and environmental management; and • Strengthening of community's social resilience. Disaster Risk Analysis Requirements (Article 41) Spatial Structure Planning, Implementation and Enforcement (Article 42) Education and Training; and Technical Standard Requirement for Disaster Management (Article 43) Mitigation (Article 47) • Implementation of spatial structuring; • Regulation of development, infrastructure development, building lay-out; and Conventional and modern education, counselling and training.

b) Local Government - BPBD

Preparedness / Response	Recovery	Mitigation / Disaster Risk Reduction
Allocate and providing sufficient disaster management fund in the APBD (local government budget) at every stage of disaster, which are: pre disaster, emergency respond and post disaster. Protect the community from threat and impact of disaster through : • Provide information and knowledge about hazard and risks in the area; • Educate, train and increase the capacity on Disaster management; • Community protection and creating a sense of security especially among groups prone to disaster; Executing emergency respond with needs assessment, determining disaster level, rescue and evacuation, handling of vulnerable groups, and fulfil the basic rights to the disaster victims community.	Restore and improve social economic life, culture and environment , security and community orderly as well as Infrastructure/damaged community/social facilities	Integrating the disaster management activities into routine development plan e.g. RPJPD (long-term development plan), RPJMD (mid-term development plan) and RKPD (local government annual working plan).

c) Other Line Ministries and Agencies

Agency	Role
Coordinating Ministry for People's Welfare (Menko Kesra)	Coordinate disaster management programs and activities across government line ministries and agencies
Ministry of Home Affairs (MoHA)	• Control development activities related to disaster management conducted by local governments • Establishment of BPBD (Article 2) • Local regulations or decrees of the head of the region to support BPBDs; • Supervision and guidance in the area of technical administrative as well as facilitation in emergency response; • Budget from Regional Budget and other sources that is legitimate and non-binding
Ministry of Foreign Affairs	• International cooperation in improving preparedness and emergency response

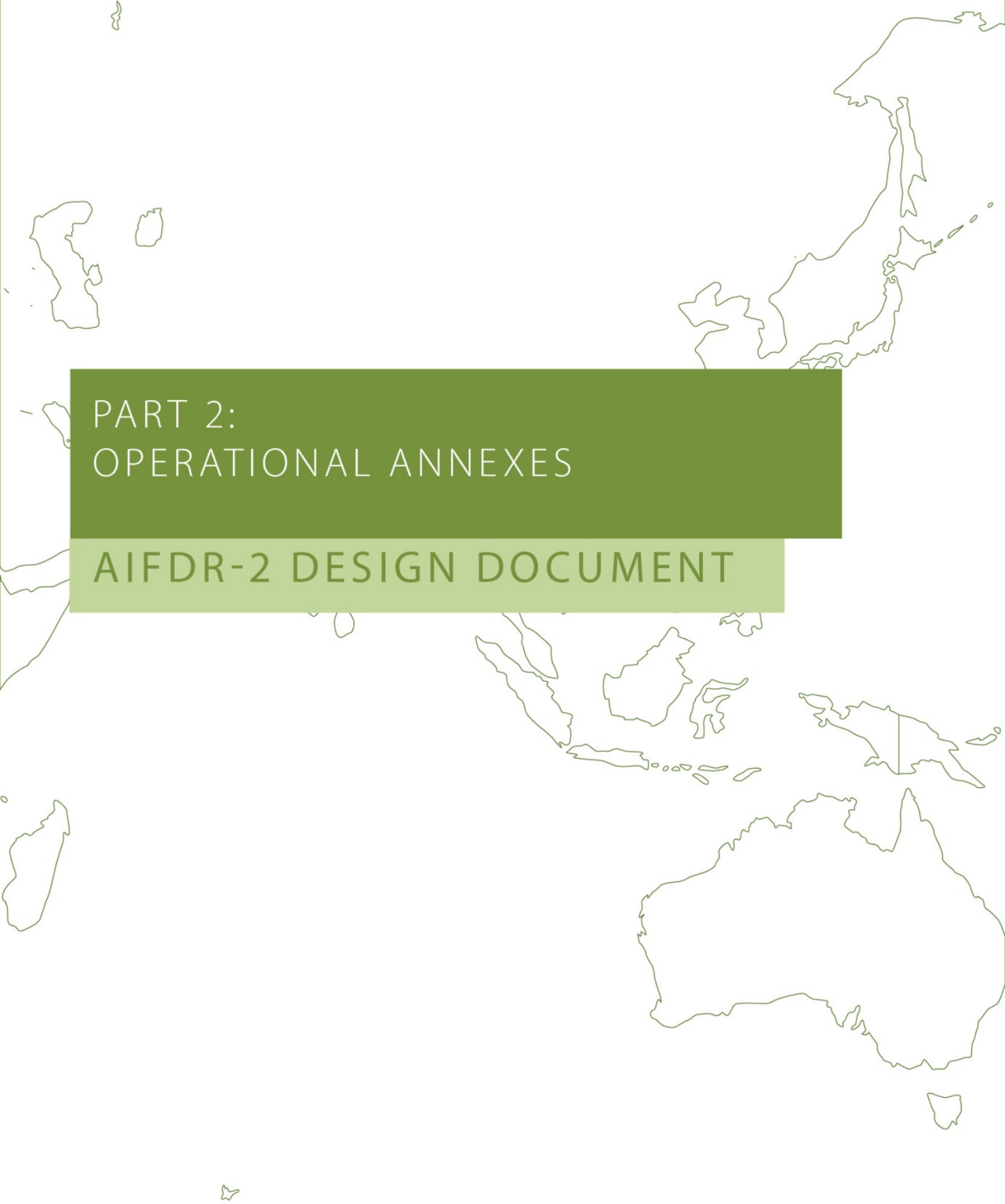
Ministry of Law and Human Rights	• Encourages and supervises the improvement and synchronization of laws and regulations related to disaster management
Ministry of Finance	• Responsible for the preparation of budget for the conduct of disaster management before, during and after disaster.
Ministry of Agriculture	• Mitigation efforts related to drought and other hazards related to agriculture
Ministry of Forestry	• Mitigation efforts in the field of forest and land fires
Ministry of Transportation	• Transportation supports in the event of disaster; • Improvement of accessibility of airports and seaports in hazard prone areas to meet emergency requirement.
Ministry of Public Works (PU)	• Risk sensitive spatial planning and location and evacuation routes ; • Provision of materials for emergency and temporary settlements; • Establishment of flood early warning system; • Assessment and monitoring of erosion hazard • Recovery of public facilities and infrastructure • Risk sensitive spatial planning and land use • Rehabilitation and reconstruction in the wake of an earthquake and tsunami disaster • Structural and non-structural earthquake and tsunami disaster mitigation • Testing technology for building material, earthquake-resistant building designs.
Ministry of Health	• Health and medical services in the event of disaster including medicines and medic/paramedic staff (Crisis Centres); • Epidemics and diseases risk assessment and mapping • Health and psychological condition recovery
Ministry of National Education (MONE)	• Emergency education for disaster affected area • Recovery of education facilities and infrastructure • Disaster awareness education; disaster education
Ministry of Social Affairs	• Food, clothing and other basic needs for people displaced by disasters • Provision and preparation of logistics; • Social conflict risk assessment and mapping
Ministry of Communication and Informatics	• Provision of facilities and infrastructures for emergency communication to support disaster emergency response and post disaster recovery; • Strengthening the role of media in nurturing preparedness culture and encourage community participation
Ministry of Manpower and Transmigration	• Mobilization and migration of disaster survivors to safe areas
Ministry of Research and Technology (RISTEK)	• Study and research as inputs for disaster management planning before and during disaster; • Tsunami early warning system • Study and research as inputs for disaster management planning for rehabilitation and reconstruction stage; • Strengthening the role of R&D institutions and universities in disaster management • Promote and socialize disaster knowledge and disaster mitigation

Ministry of Cooperatives and Micro Businesses	• Micro businesses and other productive economic activities for the poor people in disaster affected areas to accelerate recovery
Ministry of Women Empowerment	• Preparedness programs for women, children and marginalized groups. • Risk reduction programs for women, children and marginalized groups.
Ministry of Environment	• Preventive efforts, advocacy and early warning in environmental disasters
Ministry of Development of Disadvantaged Areas	• Development programs based on disaster risk analysis
Ministry of National Development Planning (BAPPENAS)	• Recovery Planning • Risk sensitive development programming; • Integrated disaster management planning
National Police (POLRI)	• Supports search and rescue; and provides security during emergency situation including guards locations left behind by evacuated citizens.
National Search and Rescue Agency (BASARNAS)	• Search and rescue
National Mapping Agency (BAKOSURTANAL)	• Producing thematic maps • Providing topographic maps and geospatial data • Monitoring the sea surface through tidal gauge stations
Meteorological, Climatology and Geophysical Agency (BMKG)	• Collect, analyse and disseminate seismic data e.g. aftershock monitoring and alert. • Regulating geophysical observation network systems • Collecting, disseminating and analysing geophysical data related to earthquake and tsunamis.
Ministry of Energy and Mineral Resources Geological Agency (ESDM)	• Providing geological survey services and research • Services in the field of geological resources, volcanology and environmental geology • Hazard mapping, disaster risk mapping and monitoring of volcano; • Volcanic activity monitoring and early warning system
Agency for the Development and Application of Technology (BPPT)	• Assessment and implementation of technology that is related to disaster management e.g. early warning systems.
Statistics Indonesia (BPS)	• Provision of statistical data
National Land Agency (BPN)	• Provision of data related to land ownership
Indonesian Science Institute (LIPI)	• Socialization to and preparedness of communities to cope with disasters • Research and disaster risk modelling
National Aviation and Aeronautics Agency (LAPAN)	• Provision of satellite spatial information and data
National Standardization Agency (BSN)	• Standardization of guidelines and procedures related to disaster management

Australian Aid

BNPB

AUSTRALIA–INDONESIA
FACILITY FOR
DISASTER REDUCTION



PART 2:
OPERATIONAL ANNEXES

AIFDR-2 DESIGN DOCUMENT

Part 2: OPERATIONAL ANNEXES

2.1 Year One Deliverables

AIFDR-2 is scheduled to begin operation in 01 July 2014. This will initially represent a seamless change from the existing facility. AIFDR-2 will adopt a strategy of transitioning into the new, programmatic implementation arrangements by 01 July 2015 (marking the start of the tendered DRM-CREATE program).

Under AIFDR-2, the GA-TAP science program will start immediately (in July 2014) with new GA staff posted to Indonesia under the DSSI period offer. A number of key ongoing pilot programs and activities will be managed through to the end of the 2014/15 financial year. These programs and activities have been selected for continued support during the transition year because they either link to the new programmatic approach of the DRM-CREATE program, or provide important knowledge, learning and baseline data that will assist and strengthen the start-up of DRM-CREATE.

DFAT staff will lead on a number of important activities designed to provide baseline analysis and supporting tools for the DRM-CREATE program, while continuing to work with BNPB on a number of strategic start-up activities that will assist in creating solid understanding of the new program, socialise the shift in implementation arrangements, and establish the guidelines for future AIFDR-2 governance arrangements. The DFAT team will work on managing the tender process and will work with BNPB to finalise the Subsidiary Arrangement.

The Table below provides an overview key activities and deliverables for the July-December 2014 transition period and also identifies indicative first year activities for the DRM-CREATE program. This list is not exhaustive and will be updated upon the development of DRM-CREATE Scope of Services and subsequently at contract negotiation.

	DRM-CREATE Implementer / MC	DFAT	BNPB
Transition and Ongoing AIFDR Activities (01 July 2014 – 30 June 2015)			
Completion, Monitoring and evaluation of ongoing AIFDR activities including AIPD-AIFDR-NU partnership, Delsos program, Australian Red Cross District Preparedness Program, ARC disaster film		✓	✓
Continuation of CDSP program including support to the UPT-BNPB in West Sumatra		✓	✓
Management of tender process for the DRM-CREATE program including development of Scope of Services and Basis of Payment in coordination with DFAT Canberra		✓	
Contracting with preferred tenderer		✓	
Finalisation of DFAT AIFDR-2 staffing		✓	

Revise and sign AIFDR-2 Subsidiary Arrangement		✓	✓
Establishment of governance committees – Executive Committee and Steering Committee		✓	✓
Deployment of GA Canberra staff		✓	
Commencement of the GA-TAP program		✓	
Commence baseline analyses		✓	✓
Testing of political economy tool		✓	✓
Development of Knowledge-to-Policy strategy		✓	
Development and testing of organisational assessment tool		✓	✓
Developing an overall AIFDR-2 M&E framework		✓	✓
First five target districts in NTT and East Java identified based on selection criteria		✓	✓
Identifying key CDSP-2 positions at national level and make-up of provincial support teams		✓	✓
AIFDR-1 Completion and closure reporting		✓	✓
DRM-CREATE Program Inception (01 July – 30 Sept 2015)			
Contract signed with MC mid 2015	✓	✓	
Mobilisation of key MC specialists to AIFDR-2 offices	✓		
Establishment of back office administrative support processes	✓		
Development of DRM-CREATE M&E and knowledge management system	✓	✓	
Development of financing guidelines, criteria and funding processes for the Community Resilience and Appropriate Technology Innovation Fund (CREATIF)	✓		
Development of target district technical and institutional support phasing strategy	✓	✓	
Commencement of district baseline data collection process	✓	✓	
First Executive Committee meeting	✓	✓	✓
First Steering Committee meeting	✓	✓	✓

Development of sustainability strategy	✓		
Program integration strategy developed with DFAT officers and Geoscience Australia in-country GA-TAP staff	✓	✓	✓
Development of Knowledge-to-policy strategy based on AIFDR-2 guidelines	✓	✓	
Recruitment for national CDSP-2 consultants and provincial teams	✓		✓
AIFDR-2 01 Oct – 30 December 2015 (GA-TAP, DRM-CREATE, DRU, Multilateral & Regional DRM Grants)			
Annual M&E review and launch of AIFDR-2 Annual Plan			
Second Steering Committee Meeting	✓	✓	✓
Establishment of sub-national offices and mobilisation of sub-national CDSP teams	✓		
Selection of initial CREATIF partners	✓	✓	✓
Submission of first annual review	✓	✓	
Ongoing GA-TAP activities		✓	✓
DFAT Multilateral and Regional grants processed		✓	
Activities underway in DRM-CREATE target districts and communities – teams mobilised and active in demonstration provinces; first grants provided to CSO/NGO partners	✓	✓	✓

2.2 Risk Register

Risk (what will prevent you achieving the objective/s?)	Existing Controls (what's currently in place?)	Consequence	Likelihood	Risk Rating	Is risk rating acceptable?	Proposed Treatments (If no further treatment required or available, please explain why)
BNPB, Local administrations and BPBDs do not invest sufficient resources to allow replication of effective practices in non-program locations.	The Knowledge to Policy strategy guidelines in the design provide a range of considerations to improve the way in which knowledge of what works in the program locations is effectively transferred to other locations. These principles are expected to be reflected in the knowledge to policy strategy and implemented accordingly over the life of the program. The demonstrator model will be important for replication at the community, sub-national and national policy level. The overall M&E framework will track influence on policy and practice deriving from the demonstrator model. GA-TAP and DRM-CREATE will develop comprehensive M&E systems that will feed into the broader AIFDR-2 M&E framework.	Moderate	Possible	High	No	1. Strategies to assist BPBD to access funding from the local parliament, specific to sub-national context and local political economy. 2. Work in partnership with other DFAT programs such as AIPD and AIPEG to ensure that local BPBD have access to financial training to better plan and implement DRM programs. 3. Communications strategies will ensure that non-program areas have knowledge of the DRM services. 4. Local CSO networks and DRR Forum will play the dual role of reaching out to non-program areas and advocating to the local govt. for services. 5. M&E systems will be linked closely to the K2PS.

Risk	Existing Controls	Consequence	Likelihood	Risk Rating	Is risk rating acceptable?	Proposed Treatments
The linkages or functional partnerships required at the local level to ensure the convergence of community resilience entry points – including CBDRM, media, CSO capacity development, research & technology, and livelihoods approaches - cannot be established or sustained.	There is a need to continually test this underlying assumption within the program theory and refine the program in response to monitoring and evaluation learning. The DRM-CREATE program will facilitate the creation and/or maintenance of effective linkages and interaction spaces that reinforce transparency, public participation and gender and social inclusion; create mechanisms and processes for effective communication and information flows to all partners; promote strategies to address the perceived credibility of all parties; and enable sufficient capacity in all parties to engage in effective partnerships. Key capacities include leadership, accountability to each other, and the conduct of simple political economy analyses at the local level to guide these interactions.	Major	Possible	High	No	1. Careful selection of partners including testing, monitoring and evaluating the selection processes for CSO partners. 2. Lead the development of M&E systems and knowledge management for community approaches. 3. Assess the M&E system annually 4. Ensure that Dfat staff have the requisite knowledge to monitor the M&E systems, provide strategic oversight and to work with the MC to develop appropriate treatments as needed.

Risk	Existing Controls	Consequence	Likelihood	Risk Rating	Is risk rating acceptable?	Proposed Treatments
A disaster occurs due to a hazard that is not addressed by the program, or in geographic locations outside of the program, thus drawing away GOI and GOA resources for potentially long periods of time while a disaster response is conducted.	Although this is an important risk it also represents opportunities for GoI and communities to put learning into practice. However, flexibility in the contract with the MC will allow for careful consideration of how best to balance the importance of using a disaster as a catalyst for change with the risk of dilution of effort and outcomes. The DRU will provide the Steering Committee with suitable analyses to consider both the scale of benefits and associated risks of a redirection of resources. It is important that Indonesia can access Australian whole-of-government funding without unnecessarily redirecting AIFDR-2 resources. To achieve this, the program will ensure that all AIFDR-2 funded activities related to a disaster event are in line with the 2key EOPO. Other support will be funded separately AIFDR-2.	Major	Possible	High	No	1. Ensure any new activities are agreed by the AIFDR-2 steering committee and are in line with BNPB broader national priorities and align with AIFDR-2 EOPOs. 2. Maintain a good level of partnership and through practical applications of the K2PS ensure that GoI partners are aware of AIFDR-2 EOPOs. 3. Ensure existing agreements with DFAT Canberra and other key DFAT sectors (education and health) that funding for disaster response and recovery activities will come from outside of the AIFDR-2 budget unless in-line with the AIFDR-2 EOPOs and approved by the AIFDR-2 steering committee.

Risk	Existing Controls	Consequence	Likelihood	Risk Rating	Is risk rating acceptable?	Proposed Treatments
The provision of small grants at the local level present opportunities for fraud or corruption.	All fraud or suspicion of fraud is reported immediately to the Risk and Fraud Unit as part of standard operating procedure. Review lessons and build in mitigating measures to ensure that likelihood of fraud occurring is reduced. Implementing partners are trained and understand DFAT's zero tolerance policy for fraud and implement financial monitoring and audit systems as part of implementation		Possible	High	No	1. DRM-CREATE MC will lead the development of in-depth M&E systems for community approaches, and devise a routine training plan covering financial management and fraud control for CSO partners. 2. Two-stage proposal process which will include coaching for CSO partners. 3. Regular audits to be undertaken (including routine and random audits) to ensure that financial oversight is a key priority of implementing partners. 4. Devise an audit plan.

2.3 AIFDR-2 Position Descriptions

This annex provides broad position descriptions for DFAT staff, Geoscience Australia inputs, BNPB co-director, and indicative MC specialists for the DRM-CREATE program.

a) AIFDR-2 DFAT Staff

Australian Co-Director: DFAT's Director for Disaster Risk Management and Rural Development, Indonesia, will be appointed as the part-time Australian Co-Director for AIFDR-2. The Australian Co-Director will take the strategic lead on the partnership with GoI and hold overall management responsibility for the DRM-CREATE Managing Contractor contract. The Australian Co-Director will be responsible for AIFDR-2 DFAT staff management and will ensure that program outcomes are in line with the program's strategic intent and reflect GoI and GoA priorities. The Co-Director will have responsibility for linking with Canberra-based desk staff and specialists. This position will also be responsible for monitoring achievement of gender equality and social inclusion outcomes, particuly from the DRM-CREATE and GA-TAP programs. The governance and reporting arrangements that will be required between the Australian Co-Director and the DRM-CREATE and GA-TAP Team Leaders will be defined and determined with the implementing partner at program inception.

Unit Managers: DFAT will engage two EL1 level unit managers. The AIFDR-2 Unit Manager will oversee and support the AIFDR-2 program (primarily the DRM-CREATE program); while the DRU Unit Manager will lead the separate Disaster Response Unit (DRU).

The AIFDR-2 Unit Manager reports to the Australian Co-Director and will be responsible for the management of LES staff, monitoring and evaluation including the maintenance of DFAT reporting frameworks, cables, briefings and management of the AIFDR-2 website and public affairs material. The AIFDR-2 Unit Manager will oversight the DRM-CREATE Program and will ensure that the program links with the GA-TAP science initiative. This means the AIFDR-2 Unit Manager will work closely with the DRM-CREATE team Leader and the GA-TAP Team Leader. This position will be responsible for maintaining strong relationships with the GoI, particularly BNPB with a focus on preparedness and mitigation, and training and education.

The DRU Unit Manager reports to the Australian Co-Director and will be responsible for a small LES team focussing primarily on the Australian Embassy's capacity to respond to a large disaster within Indonesia. This will include training of the Embassy Emergency Response Team, the development of manuals and SOPs, and ensuring integration between disaster response and consular services. This position will be responsible for DFAT reporting, briefing and cables and linking Indonesian initiatives to the DFAT Canberra humanitarian team. The DRU Unit Manager will also be responsible for the management of multilateral and regional grants and the management of funding for response and recovery activities including inputs to the National Response Framework. As such, the DRU Unit Manager will be responsible for maintaining strong relationships with the BNPB response and recovery teams. It will be important for the DRU Unit Manager to work in close partnership with the AIFDR-2 Unit Manager to ensure synergies and leveraging of activities for maximum outcome.

Senior Program Managers (SPM): DFAT will engage two experienced SPM to support AIFDR-2. These are high level national positions reflecting the importance of strategic management of outcomes, program monitoring and liaison into BNPB and with other GoI stakeholders, and corporate functions.

The SPM Program position will be responsible for liaising with key BNPB divisions and directorates and will be responsible not only for ensuring effective communications between AIFDR-2 and BNPB, but also facilitating communication about the program and program outcomes across the various divisions and directorates of BNPB. This position holder will need to understand the AIFDR-2 knowledge-to-policy strategy and facilitate learning from the GA-TAP and DRM-CREATE program to be presented to BNPB with clear follow-up actions. The SPM Program will play a role in the collecting data, monitoring and evaluating the DRM-CREATE program and the compiling outcomes at local government and community level for DFAT reporting frameworks. The position will work closely with specialists under the DRM-CREATE program and will report directly to the AIFDR-2 Unit Manager.

The SPM Corporate will be responsible for the management of AIFDR-2 corporate issues and any sub-contracted corporate staff. This position is responsible for managing and maintaining the strong relationship with BNPB by ensuring AIFDR-2 is adhering to GoI financial reporting and planning regulations. This position will also need to play a key liaison role into BNPB and assist with the organisation of executive committee and steering committee meetings, organising and arranging routine co-director meetings, arranging for minutes and agreements to be signed, and lead on the annual planning process to ensure that documentation aligns with GoI systems and planning frameworks. The position oversights AIFDR-2 legal arrangements, such as the Subsidiary Arrangements, with BNPB and will also manage and oversight the DSSI contract for the GA-TAP Australian staff. The SPM Corporate reports directly to the Australian Co-Director.

Program Manager: The DRU Unit will engage a program manager to maintain existing DRU structure. This position reports to the DRU Unit Manager. The PM position assist the DRU Unit Manager in the development of ERT training and materials, manages the alert systems, ERT roster and duty phone and manages the contracts for in-country Australian relief supplies. This position will also play an important liaison role into BNPB particularly the emergency response and recovery and reconstruction divisions.

Program Officers (PO): DFAT will engage three Program Officers. Two POs will support the administrative functions of the AIFDR-2 program including the DRM-CREATE and GA-TAP programs; and one PO will support the administrative functions of the Disaster Response Unit.

Disaster Risk Management Adviser: An international specialist will be engaged as a DRM adviser for AIFDR-2. This role is expected to advise across the AIFDR-2 program, including the DRU, and will also be expected to take a lead on Australia's inputs to the development of Indonesia's National Response Framework. This position will build strong networks with GoI and non-government actors, coordinate with broader stakeholders, including national civil society, international NGOs and other donors. Currently this position is a separately contracted role, but may be included in a managing contractor scope of services into the future.

b) Short-term External Inputs

Any external, short-term requirements, such as independent monitoring and evaluation specialists or discrete technical inputs, will be sourced through Australia's Aid Advisory Services (AAS) where possible.

c) GA-TAP Staff (Geoscience Australia)

In AIFDR-1, four Geoscience Australia specialists were seconded to DFAT for deployment to Indonesia. Under AIFDR-2 arrangements, two technical specialists will be directly representing GA in-country and will be deployed under the existing Deployment Support Services to the Government Partnership Fund of Indonesia (DSSI) period offer to implement the GA-TAP component.

GA-TAP Team Leader: The Team Leader reports directly to the Australian C-Director and will lead on the design, implementation and advocacy for science capacity building programs. The position will be responsible for building and maintaining relationships with national science agencies and to assist in linking science agencies and disaster hazard products to national and sub-national disaster management agencies. The position is also responsible for building and maintaining relationships with Indonesian universities and knowledge centres and supporting the creation of knowledge networks for improved hazard science in Indonesia. The GA-TAP Team Leader will be responsible for anticipating opportunities and developments and provide strategic leadership to enable AIFDR-2 team to respond to emerging Australian and GoI requirements/priorities. A key role will be the promotion and practical implementation of the InaSAFE tool at national and sub-national level. This will require close coordination and cooperation with the AIFDR-2 Unit Manager, DRU Unit Manager and the DRM-CREATE Team Leader. The Team Leader will be responsible for managing a local team of specialists and will also manage inputs from GA in Canberra and identify external inputs including STTA as required. The Team Leader position will responsible for contributing to the DFAT reporting frameworks, managing contracts with service providers and fulfilling reporting requirement for the host agency Geoscience Australia. This role will also manage briefings and inputs to cables as required.

GA-TAP Spatial Analyst: The Spatial Analyst reports directly to the GA-TAP Team Leader and will provide technical advice and assist GoI agencies to build, interrogate, distribute and utilise spatial databases in DRM. The position will support the design and advocacy of spatial data building programs, data management and sharing (spatial and otherwise) between GoI agencies, incorporation of spatial data into disaster planning and response, and overseeing the M&E and reporting of GA's spatial data building programs in Indonesia. This work will contribute to building and strengthening relationship between GoI science and DRM agencies, universities and DFAT's Disaster Response Unit. A key focus of this role will be leading on the InaSAFE and OpenStreetMap program. This position will also play an important role in linking data sets and spatial information utilised by other DFAT programs in Indonesia. The position may be required to manage outsourced national staff.

d) BNPB Staff

Indonesian Co-Director: BNPB will appoint the Indonesian Co-Director for AIFDR-2. The Co-Director position is expected to be at a BNPB Deputy level and will be responsible for providing the strategic management perspective of GoI to ensure that program outcomes reflect GoI priorities. The Indonesian Co-Director will inform the broader BNPB division and senior management of AIFDR-2 outcomes. The Co-Director will also be responsible for nominating key BNPB focal points for specific AIFDR-2 initiatives.

e) DRM-CREATE MC Staff

A Managing Contractor / Implementing Consortium will be selected through a tender process for the management and implementation of the flagship DRM-CREATE program. Staffing profile will link to the MC's technical approach in the bid, however a number of indicative positions are suggested here. All recruitment will be undertaken in line with the Australian Adviser Remuneration Framework (ARF).

Team Leader: Responsible for leading and managing DRM-CREATE program and managing the MC in-country team. The position will work in close partnership with the AIFDR-2 DFAT team and regular reporting and planning meetings will be held with the Australian co-director, GA-TAP Team Leader, AIFDR-2 Unit Manager, and DRU Unit Manager to ensure that demonstrator outcomes at the sub-national level and subsequent policy outcomes at the national level are aligning with Annual Plan results frameworks and BNPB and GoA priorities. The DRM-CREATE Team Leader will need to build strong networks with a range of partners, including national and sub-national disaster management agencies, other national and sub-national GoI stakeholders, non-government and civil society actors. This position will hold ultimate responsibility for the outcomes of the CDSP-2 and CREATIF competitive and targeted grants components of the program. The Team Leader will lead a small team of specialists who will advise and management key components of the program. The position will be responsible for delivering on biannual and annual reports and working closely with the DFAT team and the Knowledge Management and M&E Adviser on the annual review process. This position also holds responsibility for budget and spending outcomes. The DRM-CREATE team leader will work in partnership with the AIFDR-2 Unit Manager, responsible for overall management of the DRM-CREATE contract. At inception of DRM-CREATE governance arrangements between the Team Leader, Australian Co-Director and AIFDR-2 Unit Manager will be confirmed including protocol for engaging with national government counterparts.

Operations and Grants Manager: Responsible for day-to-day management of finance and administration systems and reporting including procurement and logistics, human resource management, finance management, accountability and reporting and grant management.

Capacity Development and Training Systems Manager: Responsible for developing and overseeing human resource development activities within BNPB and BPBDs through the Capacity Development Support Program – Phase Two (CDSP-2), and working with BNPB to develop and institutionalise a national DRM training strategy. This position will lead on the development of basic competencies for the DRM sector, specific to the Indonesian context. The DRM-CREATE program will be used to trial, demonstrate outreach models for the replication of DRM training beyond demonstration provinces and target districts. This position will be responsible for the management of the CDSP-2 including national consultants and provincial capacity development teams.

Community Resilience Manager: Responsible for acting as the technical lead for the civil society and community resilience work including community-based disaster risk management, community development, civil society, partnerships and linkages. This position will maintain strong networks with civil society implementing partners and will be responsible for drawing together best practice from the demonstrator model. This best practice will be feed back into BNPB through the knowledge-to-policy strategy. This position will work in partnership with the Capacity Development and Training Systems Manager to ensure that CDSP-2 consultants at the national level are capturing

learning from the community resilience programs and facilitating the sharing of this new knowledge with key BNPB policy areas.

Knowledge Management and M&E Adviser: This position will be engaged to develop the M&E framework for DRM-CREATE and work in partnership with the DFAT team to ensure linkages to DFAT reporting frameworks. The M&E Adviser will assist BNPB as required, particularly in developing methodology for practical field-based evaluations and evaluating best practice for continuous learning. Knowledge management will be an important component of this position. The adviser will be expected to create Knowledge management systems that capture results at the local government and community interface. This adviser will manage both quantitative and qualitative processes for

Short Term Technical Advisers (STTA): STTA may be required to work on specific issues throughout the life of the program, or be engaged from time to time for specific targeted activities. All STTA will be engaged within program budget and using ARF standards. Any STTA engaged outside of annual planning processes will require the approval of the DFAT AFIDR-2 Unit Manager.

2.4 Area Selection – Processes and Minimum Criteria

The following annex outlines proposed processes and minimum criteria for the selection of geographic locations for AIFDR-2.

a) Two tiered approach

AIFDR-2 has been designed to achieve tangible outcomes for 200 villages in up to 20 districts within 4 provinces, and through a demonstrator model expand benefits to other communities and local governments. As such it has two approaches that reflect these different expectations:

Approach 1: ***Communities and local governments effectively prepare for and mitigate disasters in 200 communities, across up to 20 program districts within 4 provinces***

Approach 2: ***Communities and local governments in non-program locations adopt effective approaches to prepare for and mitigate disasters***

The intent is that the benefits realised in AIFDR-2 districts and provinces are expanded through replication of good policy or programming practices to achieve a wider geographical coverage of benefits.

The four demonstration provinces are the key focal points for AIFDR-2 and have been selected based on the existing relationship with AIFDR, focus for other DFAT Development Cooperation programs, and the overall hazard profile.

Sound and transparent processes for the selection of districts and communities within these districts will be important in determining the success of the AIFDR-2 demonstrator model.

b) Selection of Demonstration Provinces

Demonstration provinces will be the key focus of AIFDR-2 interventions, with the intent that these provinces will develop into large-island or inter-island group regional focal points for DRM[61].

The four demonstration provinces –West Sumatra, East Java, East Nusa Tenggara and South Sulawesi - were selected during AIFDR-1 against a set of criteria that was agreed between AIFDR and BNPB. This criteria reflected vulnerability to disaster risk and alignment with GoI and GoA development priorities in Indonesia. It included:

- High earthquake and tsunami hazard profile and/or;
- High flood hazard profile;
- BNPB priorities;
- Existing relationship/partnership with Australia (political will);
- High disaster ranking from GoI (BNPB);
- Ranking on the Human Development Index;
- Level of poverty.

c) Justification for Selection of Demonstration Provinces

With a combined population of almost 55 million, the selected demonstration provinces represent almost a quarter of Indonesia's total population. In terms of tsunami risk, an estimated 7 million people live within 5km of the coastline. West Sumatra experiences regular major earthquake activity and has a very high risk level for tsunami. As a result, it has been a priority focus of both AIFDR and the GoI for DRM since 2009. In terms of human security, the provinces of NTT, South Sulawesi and East Java are ranked in the bottom half of the Indonesian HDI, with poverty levels estimated between 13% and 23%.

Province	Population	Population below poverty line (2009)	HDI (of 33)	Hazards	Risk Ranking by GoI
West Sumatra	4.8 million	10% (480,000)	0.747 (9th)	Earthquake, tsunami, flood, landslide, volcano	6
East Java	37 million	15% (5.5 million)	0.710 (18th)	Flood, volcano, tsunami, drought, landslide	3
South Sulawesi	8 million	13% (1.04 million)	0.709 (20th)	Drought, flood, landslide, earthquake, strong wind	8

61 The development of regional hubs for DRM is part of the strategic intent of BNPB as the sub-national architecture for DRM evolves.

East Nusa Tenggara (NTT)	5 million	23% (1.15 million)	0.683 (31st)	Drought, flood, landslide, earthquake, tsunami, volcano, strong wind	4

The AIFDR Capacity Development Support Program (CDSP) supported the secondment of national DRM specialists into the NTT, West Sumatra, East Java and South Sulawesi BPBD to assist in linking capacity development efforts to the BNPB national capacity building program. Activities currently supported include:

- Emergency Operations Centres and EOC systems development;
- Regional training and logistics centres;
- Capacity skills development training;
- The AIPD-AIFDR Partnership in East Java;
- Participatory mapping and InaSAFE training (OSM);
- Disaster Risk Assessments and provincial contingency planning;
- CBDRM programs.

AIFDR-2 will expand DRM activities in these provinces by leverage existing relationships and activities. In East Java and NTT, the DRM-CREATE program will provide targeted capacity development support for up to 20 districts and community resilience support for up to 200 communities. This integrated approach will primarily seek to link communities to local government DRM service providers and test the assumption that improved local government credibility through institutional and technical support and improved empowerment of local communities will result in sustainable DRM outcomes.

In West Sumatra, the regional training and logistics centre will provide technical training for BPBD throughout Sumatra Island with a focus on the BPBD and other DRM stakeholders from 10 Sumatran provinces and up to 30 districts within the high tsunami-risk provinces of West Sumatra and Bengkulu. The emergency and response operations work in South Sulawesi will improve information and communication systems between the province and up to 24 districts. Competitive community resilience grants will not be offered in West Sumatra or South Sulawesi, however targeted grants may be available for complimentary activities.

d) District Selection

AIFDR-2 will work in partnership with up to 20 districts in two of the demonstration provinces – East Java and NTT. It is anticipated that there should be some equity in terms of numbers of districts in each province selected with up to 10 districts each.

During the transition phase (01 July – 31 December 2014), the DFAT AIFDR-2 team will work together with BNPB to identify the first five (5) districts in each province. This process will be based on a clear set of criteria, which will be informed by:

1. Risk profile:
    a. High tsunami hazard profile

   b. High earthquake hazard profile
   c. High flood hazard profile;
2. Meets BNPB priorities;
3. Meets BPBD province priorities;
4. Has an existing BPBD structure;
5. Displays willingness to work with AIFDR-2;
6. High disaster ranking from GoI (BNPB);
7. Ranking on the Human Development Index;
8. Level of poverty;
9. Existence of capable civil society organisations to support linkages between community and local government;
10. Political will for collaborative approaches to DRM: government-civil society engagement.

The implementation of this selection process will contribute to the collection of baseline data for monitoring and evaluation. Once selection has been undertaken, approval of target districts will be sought through the AIFDR-2 governance arrangements.

e) Phasing

It is expected that that due to the size and scope of the program, logistics and resource management issues, that a phased approach to district engagement will be required. Over the life of the program it is expected that in both East Java and NTT the number of districts will increase progressively from five to 10 per province for a total of 20 target districts.

f) Village Selection

AIFDR-2 anticipates working in 200 villages in the up to 20 districts over the life of the program. It is expected that there will be some equity in the number of villages per district.

A phasing strategy for the implementation of village level programming will be developed by the DRM-CREATE program and reviewed annually in line with the Annual Work Plan.

2.5 AIFDR-2 Knowledge to Policy Strategy (K2PS)

The following is a set of principles to inform the development and guidance of the AIFDR-2 Knowledge-to-Policy Strategy. The knowledge-to-policy strategy will be developed collaboratively by DFAT, GA-TAP staff and the MC responsible for the implementation of the DRM-CREATE program (key responsibility with the Knowledge Management and M&E Adviser).

a) What is the Knowledge-to-Policy Strategy?

Using a sub-national demonstrator model linked to national policy support, AIFDR-2 aims to achieve changes in DRM policy and/or practice for a range of actors in the DRM space: the community, civil society organisations, government at the local and national levels, and the donor community. Changes are expected to reflect good practice that is feasible and effective in the Indonesian context. It takes more than communicating a good idea to achieve change. A Knowledge-to-Policy

Strategy (K2PS) is required to improve the likelihood that proposed changes will be adopted in partnership locations, and that some replication of these improved approaches will occur across geographical locations to non-partnership areas.

A K2PS allows change to be influenced by:

- The generation, interpretation and use of credible knowledge from a range of sources; and
- In recognition of the political economies and actors that are found across the different contexts in which the program is working.

The K2PS will go beyond establishing mechanisms for actors to become informed about what are effective ways of working. It will utilise a range of dialogue spaces that allows relevant actors to come together to achieve (at best) social learning about complex, multi-stakeholder issues and how they might be progressed in local contexts[62].

Three broad types of knowledge are recognised that will inform policy and practice: international and domestic research, practice-informed knowledge (from well-informed professional judgement to robust evaluations), and indigenous or citizen knowledge[63]. Given the range of actors, types of knowledge, and interactions required to achieve effective generation and use of knowledge, a clear strategy is required to guide implementation and enhance the effectiveness of AIFDR-2 in contributing to knowledge-based policy and practice.

AIFDR-2 is assessing the effectiveness of a range of locally developed approaches to community resilience in order to generate practice-informed knowledge itself. As discussed in the Investment Description, these models bring local government, civil society organisations and the community together to prepare for, respond to and mitigate disasters. Successful approaches are of interest to the Government of Indonesia (GoI), civil society organisations, the private sector and other donors or INGOs working on DRM in Indonesia. There is a need to give careful consideration to how this particular knowledge is framed, generated and used with other forms of knowledge to inform future policy and practice reforms.

Successful replication of effective approaches to improving DRM performance at the local level is at the heart of AIFDR-2 and is one of the important indicators of success. For replication to occur from village to village, district to district, or even province to province we require a well-considered strategy to engage actors outside of the program locations in the generation and use of knowledge.

Finally, AIFDR-2 aims to improve the performance of program participants (government and non-government actors) to perform as effectively as possible during the policy process at the national and local level. This may involve communicating innovative ideas; generating policy questions; commissioning, assessing or interpreting evidence; and analysing the options that are being presented[64]. Other broad skills required are political skills, creating linkages and working with others, and developing and allocating trust with dialogue partners. The strategy will demonstrate how the AIFDR-2 will address performance in these skill areas.

62 Collins & Ison 2006, *Dare we Jump of Arnstein's Ladder: Social Learning as a New Policy Paradigm*.

63 Jones, H et al. 2012, *Knowledge, Policy and Power in International Development: A Practical Guide*.

64 Carden, F 2009, Knowledge to Policy: Making the Most of Development Research.

b) Outcomes of the Knowledge to Policy and Practice Strategy

The overarching outcome of the K2PS is to contribute to the adoption of good DRM policies and practices for government and non-government actors at the national and sub-national levels to stimulate replication of effective approaches to DRM in non-program locations. To achieve this, the K2PS will be integrated across the broader AIFDR-2 program addressing the needs of government and non-government actors participating in interactions and linkages. Meanwhile, the broader AIFDR-2 program aims to make actions easier to adopt by developing capacity to implement proposed approaches. The K2PS will:

- Make proposed new ways of working more compelling to actors by developing a case for particular DRM approaches as both political and technical priorities; and
- Bring about effective knowledge-to-policy interactions.

c) General Principles to Guide Strategy Development

The K2PS will build on good practice in knowledge-to-policy approaches in international development contexts, and developments from the DFAT-funded Knowledge Sector Initiative (KSI) in Indonesia. A number of features[65] should be evident in the development of the strategy, and these are described below.

The strategy will not only address how AIFDR-2 acts as a generator of knowledge and an intermediary in the knowledge-policy interface, but will describe how the program assists other actors to play their roles as either generators, users or intermediaries in the knowledge-policy interface.

Development and Maintenance of an Understanding of the Context and the Political Economy in Relation to the Knowledge-Policy Interface

Continuous mapping of the context, particularly the political economy in the DRM sector will be required. Political economy analyses during the life of the program will focus on national and sub-national levels, will involve program participants, and will:

- Identify policy windows that may include specific individuals, a point in time or a way of framing the issue. Strategies will be required to both identify and respond to opportunities. These should include the ability to provide progress information from the monitoring and evaluations of community resilience approaches being trialled and tested. Information will be available in a suitable format for use as soon as new policy windows begin to open;
- Assess how power dynamics are working and interacting so that it will be possible to address the integration of knowledge rather than simply disseminate information;
- Identify effective entry points for providing and interpreting all types of relevant knowledge;
- Understand the demand for knowledge in policy making. This will involve both the capacity to acquire and interpret knowledge, and the processes of policy making that will affect how knowledge is used;
- Understand the changing receptivity to knowledge, and presenting information that responds to these changes;

65 For a more in-depth treatment of several of these features, see Jones, H et al. 2012.

- Identify all the relevant actors, including the veto points and players that may play a critical role in decision making and building coalitions. Identify any potential losers in proposed changes so that objections are anticipated and suitable interventions can be planned. Understanding actors' interests, values and beliefs, and what they consider as credible information is important for developing strategies that best engage them (see below). This includes the interests, needs and perceptions of women;
- Identify the incentive structures for effective knowledge interactions and use;
- Identify sources of appropriate knowledge available in the DRM sector and how best different actors can draw on these sources throughout the policy processes (including at the sub-national level). The program will not focus only on take-up of research or findings from the program's evaluations, rather it will draw on the full range of suitable sources of knowledge.

Engaging Stakeholders and Stakeholder Networks

An important feature of AIFDR-2 as a whole is the creation of interactions and linkages where different groups come together to discuss and work together on issues of mutual interest. These same spaces will also be purposefully used to improve the knowledge-policy interface and to facilitate effective knowledge interactions where this may be relevant. The K2PS should focus on:

- Creating a range of opportunities for those who generate and present knowledge to deliberate with other important actors. Knowledge must be presented in a way that addresses the interests, values and beliefs, perceived credibility of the knowledge by the actor (and therefore what knowledge they will use), so regular interactions allow this understanding to develop;
- Knowledge will also be sought from a variety of sources so that new policies and practices will be informed from multiple types of knowledge, that are suitable to the range of actors engaged in decision-making;
- Support for dialogue spaces in the NGO or local CSO networks, as well as local government networks participating in the program, will allow for communities of practice that employ collective approaches for social learning, shared practice, joint exploration of their own ideas and the use of knowledge from a range of sources;
- Intermediaries will work to raise the awareness of knowledge users of emerging evidence and the implications of new approaches proposed with a strong focus on service delivery and local uptake of proposed approaches.

Utilisation of Different Types of Knowledge

As discussed, the K2PS will draw on a suitable range of knowledge sources. It will recognise international and domestic research, evidence generated from AIFDR-2 monitoring and evaluation systems, as well as draw on the professional expertise of a range of stakeholders in the sector.

Local citizen knowledge will also play a strong role in AIFDR-2, particularly as it informs traditional responses to disasters and evidence of how local communities actually experience the implementation of DRM policies and service delivery. Citizen knowledge will be integrated into the knowledge stock either directly on specific issues of relevance to the evaluation of the community resilience approaches, community feedback on the quality and outcomes of community resilience activities in their communities, community feedback on local government services (such as local disaster simulations) or through interactions with CSOs representing women or vulnerable groups

whose voices are not always heard. The K2PS will develop strategies that strengthen the links across all of these knowledge types to ensure that they are integrated in the dialogue spaces where they are most useful.

Facilitating the Knowledge Interaction

The K2PS will clearly describe how producers of knowledge (within the scope of AIFDR-2) will interact with intermediaries or target actors to reform policy and practice (government and non-government actors). To what extent will they simply produce and communicate knowledge, or aim to play an active role in its interpretation and use, participating in interactions across multiple actors in a complex DRM sector? Some key approaches will include:

- Relevant decision makers will be encouraged to be highly involved in the design and implementation of the CBDRM evaluations. This will include linking the evaluations to the relevant networks who have a stake in the testing of the approaches;
- Develop communication strategies that result in: a deepening of trust and confidence; delivering information in a timely way; presenting information to users in a suitable and accessible format; presenting information that clearly answers decision-maker concerns;
- Preparation of participants in dialogue spaces for effective dialogue. Building on DFAT's evaluation of policy dialogue performance across the Indonesia aid program[66], AIFDR-2 will work with target actors to improve partners' negotiating capital whereby power and knowledge imbalances are removed as far as possible; develop clarity of intent for what policy dialogue is expected to achieve; consider geo-political factors; consider organisational factors such as the values and interests of partner organisations, and the credibility, responsiveness and flexibility of partners; personal factors such as the experience, skill, relationships and networks of those engaged in dialogue; develop effective fora for dialogue at multiple levels in the organisations involved and the inclusion of informal opportunities to dialogue; and finally use the right kind of knowledge. AIFDR-2 will reflect these principles in readying partners for dialogue.

Replication of Effective Approaches: Diffusion of the Innovations Across Geographical Boundaries

Diffusion theory is a field of work dedicated to understanding how innovations are diffused across locations and integrated into policy or practice. Although much of this literature is generated from developed countries, there are still a number of lessons that are intuitive and likely to have relevance for AIFDR-2[67].

- The program implementation team and local partners who are innovating in community resilience approaches at the local level invest time in engaging networks of support. In this case engaging actors across villages, districts and provinces, other civil society players, and donors working in relevant locations;
- Recognition that decision makers in one location are more likely to adopt innovations adopted by their neighbours, especially when there has been very regular communication – therefore the program will ensure that there is regular exposure across provinces to what is happening in AIFDR-2 provinces (this links particularly to the UPT-BNPB training centre in West Sumatra which will become a hub for Sumatra Island);

66 AusAID 2011, Theory of Policy Dialogue Success: Canberra.

67 Grinstein-Weiss et al. 2005, Diffusion of Policy Innovation: The Case of IDAs as an Asset Building Policy.

- Choosing village locations to test innovative approaches through the CREATIF grants mechanism based on what is known to increase the likelihood of adoption – the financial viability of the location to test new approaches, the base level capacity of actors in that location, and the readiness or interest to try innovations;
- Ensuring that new options, while innovative, are kept as simple as possible as the more complex the idea, the less likely it will be adopted. This also involves consideration of the extent of new skills and knowledge that will be required to adopt effectively, and the cost implications for local governments;
- Ensuring that national level stakeholders are closely engaged in the process of innovation as vertical influences can be important, especially where adoption is attached to funding, incentives and central mandates.

Resourcing the Knowledge-to-Policy Strategy

Policy engagement is resource intensive for both Australian and GoI partners, as well as for civil society organisations and other donors, but is justified in terms of its contribution to sustained development outcomes. It requires well informed practitioners from Australia and Indonesia that possess good knowledge and skills with respect to: the political economy and policy processes; knowledge about Indonesian development needs and priorities; technical expertise on what works both locally and internationally for DRM; ready access to the knowledge that supports arguments for policy positions or change; and a well developed understanding of effective engagement strategies. It is expected that the advisers put forward by the MC as part of the DRM-CREATE program tender collectively process these important skills in order to drive the KSPS process. It is most important to understand how to position for effective dialogue and how to prepare for and conduct meetings (both formal and informal). Australian and Indonesian partners will ensure these skills are available to AIFDR-2 by ensuring that recruitment and selection processes highlight these skills in addition to technical skills.

DFAT staff and technical advisers both have roles in policy engagement which will be clearly articulated. DFAT personnel will focus on areas where high level engagement is required on both sides, and where issues may be relevant across a range of DFAT programs such as decentralisation, rural development, health and education, the Knowledge Sector Initiative, or climate change adaptation as well as the Frontline service delivery approach. High level policy dialogue is often best managed as a government-to-government exercise rather than within the remit of the MC. The K2PS will be developed in recognition of the time available to Indonesian decision-makers as well as to DFAT personnel.

2.6 Sustainability Factors

AIFDR-2 has been designed to deliver outcomes at three levels: national, sub-national and community. The overarching goal of the program is to *save lives and reduce the economic impact of natural disasters on communities.* This implies the notion of increasing resilience of Indonesia's most at-risk communities, and more importantly, ensuring that those who are vulnerable, marginalised or least visible, actively participate in activities and dialogue that aims to raise the level of resilience to natural disasters. It also implies that local governments are able to effectively deliver the types of

DRM services that contribute to community resilience, saving lives and minimising economic losses in the event of a disaster.

Sustainability factors need to be considered at each level and also within the interactions between the national, sub-national and community levels. Therefore, in order that AIFDR-2 makes inroads toward the overarching goal, key issues underpinning ownership, financial capacity and institutional integration need to be identified.

At the government level, responsibility for DRM policy and the accountable implementation of this policy will contribute to sustainability, while at the community level an understanding of rights and of basic knowledge and skills for self-reliance and will lead to greater community resilience and the integration of women's equality and social inclusion.

In line with the program theory, the linkages between the three program levels will be important for sustained impact. The creation of interactions, forums and information and knowledge sharing platforms is expected to provide a two-way conduit through which policy and practice, and demand for service and support, can be more effectively addressed, with particular emphasis on the marginalised and least visible.

The following sections provide a summary of design considerations for improving the likelihood of achieving sustained outcomes.

a) Ownership: Taking responsibility for implementation

Ownership by government and civil society is an essential factor contributing to the likelihood of sustainable outcomes. It means that they share responsibility for program delivery and on-going implementation of new ways of working, not simply participating in discussions about program direction. The design has a number of features which enable shared responsibility of AIFDR-2 outcomes.

Willingness to take responsibility: Incentives and motivations. BNPB already demonstrates a high degree of willingness to engage with and take responsibility for program implementation. There are significant incentives for BNPB to take on increasing levels of responsibility as the focus of AIFDR-2 is in line with GoI priority investments as reflected in the National Disaster Management Plan (NDMP), and the increasing commitment of funding to DRM. The incentive to take an increasing role in decision-making is evident by the creation of a design team within BNPB to contribute equally to final decision-making for AIFDR-2.

There is strong support and incentives to engage from the provincial BPBDs in which AIFDR currently operates as demonstrated by existing partnerships, frequency of requests for support and resources, and a high level of interest from civil society organisations as demonstrated by frequent engagement in multi-stakeholder fora, advocacy efforts and direct programming intervention.

Accountability. Being accountable to others is another factor required to enhance responsibility. There are different levels of accountability for AIFDR-2. BNPB is accountable to the Indonesian parliament at a macro level, but at the program level it is accountable for maintaining its end of the partnership with Australia. In terms of the DRM sector, BNPB is accountable to the citizens of Indonesia which include public and private interests. This is enshrined in Law 24/2007 on Disaster Management in which the rights of citizens to protection from the impacts of disasters are identified.

Under the same law, BNPB is mandated to ensure the technical performance of government at the sub-national level. As the closest government institution to the community, BPBD need to be accountable for disaster preparedness, response and recovery (before, during and after a disaster). Through criteria outlined in the CREATIF CSO/NGO grants mechanism, the DRM-CREATE program will adopt a community engagement strategy that seeks to empower citizens to hold local government accountable for standards of DRM service. Initially, this will focus on levels of preparedness. However, disaster is identified as "everybody's business" and citizens also need to held accountable for building and maintaining resilience in their own families and communities, and equally accountable to enabling access for the invisible and vulnerable groups within their community.

As described, AIFDR-2 will support linkages and interactions at the various levels. It is through these interactions that the levels of accountability of the different actors can be carried out and monitored. The support of DRM forums and encouragement of CSO networks will be utilised to demand accountability for service delivery to communities and enable a channel for risk communication and advocacy for improved risk governance – holding local government accountable for the protection of citizens from the impact of disasters as identified in Law 24/2007. Equally, these forums can be used by local government to socialise the need for communities to actively participate in local disaster preparedness. It is the intention of this program that local government is monitoring levels of disaster preparedness and resilience and consequently making evidence-based decisions on DRM operational programming.

Capacity to take on further responsibility. Through AIFDR, all actors have improved their capacity to take on increasing levels of responsibility. There is a clear mandate for government to provide DRM services to the community. Increasing technical capacity of sub-national BPBDs enable local government to know what basic DRM services need to be delivered for greater levels of safety.

The governance and oversight of AIFDR-2 has also been designed to improve BNPBs ability to take on more responsibility during implementation. The monitoring and evaluation activities of the program will be designed to allow joint review to the level that is within the resource capacity of BNPB.

CSO partners will empower participating communities to confidently demand preparedness and mitigation services from the government or to access locally available development funding (for eg. by integrating DRM into local village planning under the new Village Law). Forums and other networks will provide the space for debate and negotiation between the different stakeholders and these dialogue spaces will provide important opportunities for information sharing, advocacy and influencing local DRM policy and practice.

b) Financial Capacity

BNPB is relatively well resourced and has had an increase in funding over the past five years amounting to more than 1000%. However, a large amount of this funding is dedicated to response and recovery/rehabilitation activities. The advent of large, single-hazard funding programs (such as the *Master Plan for Reducing Tsunami Risk*) has provided extra funding. BNPB is keen to leverage the technical assistance of AIFDR-2 to enable it to more effectively invest its funding. An example is the potential commitment of funds for the use of the scenario building tool (InaSAFE) in all tsunami risk districts in Indonesia. AIFDR-2 funding will be used strategically to find the most sustainable leverage points which will include the institutionalisation of tools and practice, the support for new evidence-

based policy and the creation of networks to support future funding initiatives for safer communities.

AIFDR-2 will carry out a joint costing of proposed new ways of working to ensure that these can be sustained. This will include cost information in all formal evaluations of community resilience approaches at the local level. Where AIFDR-2 will take on costs on a temporary basis, a clear transition strategy will be developed to ensure that by the end of the program costs are fully transferred to GoI.

Funding for ongoing community programs is a major challenge to sustainability. Local networks will be used to link stakeholders and enable lobbying and advocacy for funding from local government, the private sector, other donors or other alternative funding sources.

c) Institutional Integration

All AIFDR-2 activities will be integrated into existing government and community structures and systems as well as other DFAT programs that are working on developing relevant GoI systems, processes and practices and utilise existing community institutional structures.

As mentioned, the broader program is aligned with the NDMP and the National Action Plan for DRR (NAP-DRR), and all activities will be jointly agreed through the AIFDR's governance arrangements and will meet the expectations of national and local DRM priorities. The key integration outcomes at the end of program will include:

- Support of strategic policy that improves the framework for more effective DRM practice;
- National training and curriculum is developed and designed by multi-stakeholder working groups within BNPB and the delivery of curricula is integrated into the BNPB training and education centre (Pusdiklat) and delivered nationally through the Sentul Disaster Management Training Ground (InaDRTG), through regional training hubs by other Indonesian stakeholders who will provide training services over the long-term;
- A demonstrator model approach will be adopted at the sub-national level ensuring that national technical trainings materials and DRM policies are promoted, put into practice, and the learning fed back into the national policy framework;
- Practical DRM programs, such as the development of province-wide emergency and response systems in South Sulwesi, will be integrated into national systems with high levels of national and sub-national ownership and interlinked through technical solutions underpinned by standardised operating procedures and guidelines;
- Regional pools of facilitators will be managed by BNPB and supported by training and capacity building systems that will be integrated into the national and sub-national training and education units;
- National and sub-national consultants and support teams will play a mentoring and advisory role. In line with the assessments conducted under AIFDR, phased exit strategies will be put into place to ensure graduation from substitution to capacity development.

AIFDR-2 will investigate ways to incentivise GoI, civil society and communities through a range of methods including national accreditation of institutions who may deliver training on behalf of the government, linking participation in specific training to promotion opportunities, and encouraging government to incentivise communities through funding, awards and other forms of recognition for

reaching resilience levels. This has worked effectively in the interactions between BNPB and BPBD. Each year, BNPB presents awards to the best BPBD based on effort of DRM activities.

d) Absorptive Capacity

The ability to take on new work along with other work demands is an important feature for sustainability. This will be a challenge at the sub-national level as many BPBDs are new and have not developed sufficient core capacities on which to build more complex performance expectations. Operational budgets are currently low, and in some districts the level of understanding about the technical aspects of DRM is quite low. A phased approach to working with local BPBDs is critical to the success of the program. As each district begins to participate in the new program, a formal capacity assessment will inform the development of realistic outcomes and suitable interventions, so as not to overwhelm nascent BPBDs and in order to suit the context of the local agency's development path.

It is also important to consider the ability of BPBDs to spend the funds that are available through good planning, budgeting and prompt expenditure. The program will work on both the organisational performance aspects of planning and budgeting as well as the technical ability to enable forward budgeting for appropriate DRM activities. It will be important to start with modest activities that are achievable with the particular resourcing context of each individual BPBD. This will avoid any reliance on external funding. Where possible, AIFDR-2 will link with other organisational development programs implemented by DFAT in Indonesia including planning and budgeting capacity through AIPD or its successor program.

Absorptive capacity is also important at the community level. Monitoring of community programs will need to ensure that community members are not being overwhelmed by activities. For example, it is important that CSOs utilise existing village institutions rather than create new parallel systems (such as separate Disaster Management teams). Where new activities are being considered, the effect on their overall workload will be assessed.

e) Appropriate technology

All technical training will be developed and trialled in the program with BNPB and sub-national BPBDs to ensure that it is suitable for the context. This will ensure that the training can be accredited under local policy.

Technical tools will be specifically designed to be user-friendly for disaster managers at the provincial and district level.

Available technology will be utilised over imported or difficult to maintain technology. The Open Street Map (OSM) and InaSAFE tools developed by AIFDR in partnership with BNPB will be utilised and further developed during AIFDR-2. These are simple tools designed to be used with minimum training input. InaSAFE has been specifically designed with simplicity in mind to put science into the hands of disaster managers.

Technological inputs are all low-cost and utilise open source platforms which are free to use and adaptable. InaSAFE software can be downloaded free from the internet and OSM has its own free user platform complete with on-line Indonesian language training guides to trouble shoot.

Hardware resources are required for these technological inputs - but are increasingly available in even the most remote parts of Indonesia – for example laptop computers and internet connections (3G). Internet is required for downloading and uploading of data, however practical paper-based options have been designed to enable users – local governments and communities – to upload data at a later stage.

Social inclusion and women's equality principles are integrated into all program activities and decisions and are also designed to ensure that the introduction of any new technologies are appropriate for different groups in the community both socially and culturally. The InaSAFE and OSM tools have been designed to improve the capture of gender and social inclusion data and the program will monitor how these tools are being utilised to capture the invisible sub-populations and utilised as an advocacy tool.

f) Time Horizons

AIFDR-2 is a 5-year program. It is expected that this timeframe is sufficient to build on existing successes, trial new and emerging methods and allow government and non-government beneficiaries to practice first under supervision, and then independently. This includes local government providing services that are in line with the needs of communities, and communities ensuring that the voices of all vulnerable and marginalised groups are included in the processes.

In terms of capacity development activities, the program will carefully consider the necessary exposure a beneficiary will need to the program to sustain the desired behaviour changes. For example, there will be limited one-off trainings unless it is clear that there are sufficient foundations in place on which to build a modest new skill set. On-the-job coaching by CDSP consultants will be used to assist government to practice their skills under guidance, while partnership principles and guidelines will ensure that civil society organisations have clear sustainability strategies included in their capacity development work plans with communities.

g) Sustainability Strategy

Within the first 6 months of implementation, the Managing Contractor will work in partnership with the DFAT team to develop a sustainability strategy. This will undergo a review before being included as part of the annual planning and review process. The strategy will be a living document that will be reviewed and updated to reflect the changing context.

2.7 Gender and Social Inclusion

a) Definitions

Gender and Social Inclusion

Gender refers to the socially constructed roles of women, men and transgender people while social relates to other constructed identities which serve to determine and reaffirm access to and control over public spaces, resources and decision making affecting their lives.

(Gender & Social Inclusion Analysis for DRM in Indonesia)

Social Inclusion

Social inclusion is a process which ensures that those at risk of being left out gain opportunities and resources necessary to participate fully in economic, social, political and cultural life and enjoy a standard of well-being that is considered normal in the society in which they live. It ensures that they have a voice in decisions which affect their lives and access to markets, public services and their fundamental rights

(EU and World Bank Working Definition of Social Inclusion)

AIFDR-2 values and will uphold the rights of access and participation of all citizens and with its partners will actively engage in ensuring that these rights are upheld at all levels of policy and practice.

AIFDR-2's work on women's equality and social protection will be governed by relevant DFAT and GoI policy and informed by internationally recognised principles and standards of good practice.

b) Policy Framework

Australia's DRR policy *Investing in a Safer Future* (2009) establishes a gender sensitive approach as an operational principle and highlights specific attention for people with disabilities (PWD).

Other DFAT cross cutting policies including *Promoting opportunities for all: Gender equality and women's empowerment* (2011); *Gender equality in Australia's aid program: why and how* (2007); *Development for All: Towards a disability-inclusive DFAT program* (2009); *Child Protection Policy* (2009) and *Intensifying the response: Halting the spread of HIV* (2009). provide for active participation of men, women, girls and boys including those with disabilities and living with HIV in all DFAT supported activities.

These policies require use of sex and age disaggregated data to inform planning and and social protection measures to alleviate short-term suffering and prevent victims falling into deeper poverty, all of which have implications for inclusive DRM.

Indonesia provides for the rights of citizens to be free from discrimination on any grounds and obliges every person to respect the rights of others. These rights are protected in the Constitution and other ratified international agreements including Biwako Millennium Framework for Action for an Inclusive, Barrier Free and Rights based Society for Persons with Disabilities in Asia and the Pacific 2003-2012.

The institutional framework for gender equality in Indonesia is well established, although implementation is weaker, with the Ministry of Women's Empowerment and Child Protection (MOWE) having a policy oversight role at the national level. There are gender focal points in twenty Ministries including Bappenas, MOHA, Health and Education and equivalent women's empowerment offices at district level. Bappenas is now preparing the National Plan of Action for Social Inclusion 2014-202 that focuses on people with disabilities.

c) Principles

The following key principles will guide the work of AIFDR-2:

- Social and gender inclusion is regarded as a value, process and outcome for AIFDR-2;

- Social and gender inclusion concerns all those who are rendered vulnerable to disasters because of their lack of access to information, capacity development, responsive DRM services, resources and opportunities to participate in decision making and preparedness/mitigation activities;
- Mechanisms for inclusion are explicit, visible, systematic and consistent in all the activities of AIFDR-2;
- All activities are directed towards learning about inclusion and sharing of new knowledge for policy development;
- All activities will promote women's empowerment and equality;
- Participatory inclusive monitoring and evaluation including use of disaggregated data is integral to all aspects of AIFDR-2.

d) Practice Guidance

- **Value**: Places notions of equity, empowerment and rights at the core of the DRR paradigm, not only to reduce vulnerability but to promote universal human rights and capabilities;
- **Process**: Encourages specific analysis of exclusionary practices to identify and implement interventions that bring about behaviour and system changes and increased opportunities. Marginalised men and women, groups and communities effectively engage with government to address their specific needs, capacities and vulnerabilities;
- **Outcome**: Social inclusion means that women and marginalised groups are well prepared to anticipate, cope with and recover from disasters and that government service delivery is cogisant of and responsive to their needs;
- In the DRM context, gender and social inclusion specifically focuses on ensuring that all citizens have equitable access and opportunities for preparedness and to build resilience. CBDRM programs must include all individuals or groups as active stakeholders. This helps to promote participation, self reliance and empowerment;
- Behaviour and system change requires genuine engagement and partnership which generates shared understanding and priorities, better identification and use of local assets, stronger relationships of trust and collaboration and better governance;
- A gender and social inclusion lens will be applied to all AIFDR-2 activities including approaches to GoI preparedness, CSO practice and community preparedness and resilience programs;
- Gender and social inclusion requires attention at the level of the policy environment as well as inclusive community based programs;
- A gender and social inclusion mainstreaming approach involves examining and addressing the processes that create barriers and limit opportunities for vulnerable people to become actors in DRM;
- A mainstreaming approach integrates the concerns of vulnerable groups by analysing the implications of program interventions on different groups and integrating the perspectives, preferences and needs of different social groups;
- A mainstreaming approach does not mean treating everyone in the same way. This can lead to different vulnerabilities and capacities being underestimated or ignored. A mainstreaming approach recognises the diversity of needs that arise in different contexts;
- Adopt specific targeted strategies to convince vulnerable people to engage and take on roles for community preparedness through the promotion of rights, by engendering a sense of

personal responsibility and ownership and through gaining acceptance for their involvement from those in power;

- Champions who provide leadership and advocacy both among government and non-government sectors should be identified and nurtured;
- Incentives and rewards (external and internal) at community, CSO and government levels for good practice in social and gender inclusion (such as public recognition, other learning opportunities) should be tested to encourage good practice models;
- Opportunities to learn, practice, reflect and analyse with others on inclusive behaviour change should be integrated explicitly into local government and community activities;
- Vulnerability goes beyond poverty. Use tools and methods that promote participation in order to understand vulnerability in the local context. For example, women's rights to participate in DRM decision making or have access to information, training or DRM services relate to their position and status as female, regardless of economic status.

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FACILITY FOR
DISASTER REDUCTION

PART 3:
PRINCIPLES & PRACTICE GUIDANCE

AIFDR-2 DESIGN DOCUMENT

Part 3: AIFDR-2 PRACTICE GUIDANCE

3.1 Community Resilience & CBDRM

AIFDR-2 will support innovative approaches to community resilience under the DRM-CREATE program. This program will manage a specific competitive and targeted grants mechanism known as CREATIF (Community Resilience and Appropriate Technology Innovation Fund). The fund will seek to trial and test a range of community resilience approaches including community-based disaster risk management (CBDRM), CSO capacity development, media and DRM, research and technology, and livelihoods. Importantly, these approaches need to trial convergence, where communities interact and link with local government DRM service providers. This annex provides a definition of community resilience and establishes a set of guiding principles for effective CBDRM practice in the Indonesian context. This information should serve to assist in the design of criteria and process for the CREATIF grants mechanism of the DRM-CREATE program.

a) Community Resilience

Community resilience refers to "the ability of communities to effectively anticipate, respond and adapt to disasters and transform interactions with government into functioning institutions and good DRM governance."[68] Community resilience emphasises that multiple actors, including communities themselves, have a role and responsibility in providing security and safety before, during and after disasters strike. Forming partnerships between local governments, civil society, private sector and communities is therefore fundamental to building community resilience and supporting community preparedness and local mitigation efforts.

Communities play a fundamental role in reducing the impact of disasters.[69] Given that the greatest loss of life during a disaster occurs in the first 24-48 hours,[70] the immediate community response can have a significant impact on saving lives. Effective community preparedness requires communities having the knowledge and motivation to respond appropriately to natural and government-issued disaster warnings by using locally agreed evacuation routes, shelters and safe areas; ensuring there are adequate supplies in safety zones; and having adequate basic disaster management skills and local systems in place, especially an understanding of how to protect the most vulnerable. There is sufficient international evidence to prove that investments into community-based preparedness saves lives.

Communities also play an active role in identifying and undertaking local disaster mitigation measures. Empowered communities can advocate for risk reduction measures, both non-structural and structural, to assist in life safety and the protection of livelihoods. Climate change is becoming an increasingly important issue for communities in Indonesia and coastal and flood prone villages and towns are having to adapt to changing conditions. Coupled with complex land use and urbanisation issues, communities are finding their livelihoods increasingly challenged. Communities need to understand and adapt to these changing circumstances. This includes informing government of increasing risk and decreasing livelihoods, and advocating for local risk protection measures.

68 Heijmans, et al. 2013.

69 Twigg, J 2004, p.104

70 United Nations 2005, *Hyogo Framework for Action 2005-2015: Building the Resilience of Nations and Communities to Disasters*, (Extract from the final report of the World Conference on Disaster Reduction - A/CONF.206/6).

Participatory mapping processes are one tool for identifying losses from hydro-meteorological disasters (such as flood, coastal abrasion and other hazards exacerbated by climate change), that allow changes to be geospatially recorded over time.

Achieving sustainable and replicable community resilience in the current Indonesian context necessitates attention to four interlinking spheres of engagement:

- **Changing mind-sets** and routine practice of communities, CSOs and government with an emphasis on joint transformational learning and critical reflection;
- **Making government policies congruent with practice** by improving both CSO and GoI capacity through their critical interaction as opposed to viewing them as two parallel and isolated tracks;
- **Mobilising social action** by implementing a community-empowerment approach where civil society networks can engage with government and other DRM actors at various levels to foster linkages between communities and governments and ensure both sustainability and replication of DRM initiatives;
- **Creating dialogue spaces or interactions** where different DRM actors meet, negotiate and decide on DRM resource allocation. This represents a culmination of the three key change areas listed above and enables lobbying through informal channels (such as networks and knowledge centres) or through more formal DRR Forum established at district and provincial level.

b) What is CBDRM?

CBDRM is one of the key entry points in the Community Resilience and Appropriate Technology Innovation Fund (CREATIF) pillar of the DRM-CREATE program.

The ultimate goal of CBDRM is to reduce people's vulnerability and to achieve community resilience. In practice this means that different community members (including women, men, children, elderly and those with disabillities) are able to access and optimise internal and external resources to reduce disaster risks.

Increasing community resilience can be achieved by strengthening people's existing social and organisational capacities, such as their innate social networks, traditional and religious networks, but also by expanding their resources and contacts outside these social networks by seeking connections with power holders as a way to obtain protection. By mobilising social capital, communities can attempt to reduce their 'political vulnerability'; this means that CBDRM efforts can enable people, particularly those who are marginalised, to have a political voice, to gain access to political resources, spaces and positions and increase their power to achieve safety and security from the local to the national level. Practical preparedness activities need to address the specific needs of vulnerable groups, for example, in school-based programs ensuring girls are taught the physical skills needed to survive a disaster.

CBDRM programs should not be limited to village level interventions and disaster preparedness. While some risk problems can be solved at the local level, underlying risk factors (such as land use planning, building codes, climate change and environmental concerns, public services and infrastructure) need to be escalated and tackled beyond the community level.

c) CBDRM in Indonesia

Targeted approaches are required in order to mobilise social action and to change mindsets. As a process of community development, CBDRM supports communities to understand and assess their risks and vulnerabilities, prepare DRM plans, establish and strengthen community DRM groups that lead the implementation of plans, and conduct simulations to test and review these plans.[71] CBDRM also enables communities to engage with governments on issues of safety and resilience, and incorporating principles of gender and social inclusion into CBDRM ensures that not only the vulnerabilities but also the capacities of excluded groups are taken into account.[72]

Recent evidence indicates that communities in Indonesia are not yet effectively preparing for and mitigating disaster risks. The April 2012 tsunami scare in Aceh and West Sumatra showed that communities are not yet taking appropriate action to evacuate from a tsunami.[73] An AIFDR review of CBDRM activities in 15 communities showed that communities were not properly analysing risks, DRM plans were not properly resourced and plans were not useful when a disaster occurred.[74] Analytics commissioned for this design highlight a number of factors contributing to this including the use of linear and projectised approaches to CBDRM practice; poor coordination; the adhoc nature of activities; a reliance upon external donor resources which undermines sustainability; inadequate knowledge and participation of women, people with disabilities, the elderly and children in DRM planning; and insufficient community knowledge of and linkages to local government strategy.[75]

d) AIFDR-2 CBDRM Investments

In recognition of the vital role that communities themselves play in disaster risk reduction, AIFDR-2 will invest into building community resilience through competitive and targeted grants to CSOs and NGOs to assist communities to access appropriate tools and resources to better understand and manage risk and vulnerability and plan for response; and fostering the development of strong partnerships between government service providers, communities themselves and local civil society.

Following are a number of common CBDRM approaches or entry points. CBDRM programs often combine these approaches:

- School-based CBDRM approach;
- CSO-facilitated community disaster preparedness with linkage building between communities and local government;
- Gender and socially inclusive livelihood recovery as an entry-point for comprehensive CBDRM addressing the root causes of people's vulnerability; and
- Inter-sectoral partnership approach to CBDRM, such as combining DRR with CCA, health and social protection, in turn contributing to institutional development.

71 Twigg, J 2004; Abarquez, I and Murshed, Z 2004.

72 A survey by Oxfam on community awareness of exclusion in Indonesia found less than 10% of respondents understood gender issues in disaster. This figure is likely to be lower with respect to other areas of vulnerability such as PWDs and people living with HIV/AIDS in Shatifan 2013.

73 Evaluasi Sistem Peringatan Dini Tsunami Pada Kejadian Gempabumi dan Tsunami Aceh 11 April 2012 (Republik Indonesia 2012a).

74 AusAID/AIFDR 2011, *CBDRM in Indonesia: Building upon Community Resilience, Strengthening State-Support and Charting a National Model*.

75 Heijmans & Sagala 2013.

These gender and socially inclusive approaches provide a broad scope of implementation models for different community contexts. Further description of the approach to CBDRM work can be found in the Volume 3: Analytics.

The following key principles will inform CBDRM interventions used by AIFDR-2 partners.

e) Key Principles of CBDRM

1. Effective CBDRM involves a change in mind-sets;
2. Effective CBDRM seeks inclusiveness during the process;
3. Effective CBDRM recognises local people's perspectives, priorities and their knowledge to deal with adversity with a focus on livelihood resilience;
4. Mobilisation of social action and civil society-led advocacy for DRM is effective for making government accountable and a responsible actor in DRM;
5. Effective CBDRM builds on different bodies of knowledge;
6. Effective CBDRM is linked to, seeks cooperation with, and involves different actors, including government departments, towards establishing GoI-CSO coordination bodies;
7. Institutionalising CBDRM in national and local development planning;
8. CBDRM approaches remain effective and relevant through continuous real-time learning and systematising knowledge;
9. Effective CBDRM seeks creative and innovative funding and support strategies.

f) CBDRM Practice Guidance

The following key practice guidance has been developed for CBDRM partners:

1. Use effective approaches to enter villages and build trust with communities;
2. Develop CBDRM activities that build on people's real-life disaster experiences and risk priorities;
3. Use CBDRM activities as an entry point for engagement with local government authorities (district and sub-district);
4. Support the development of formal or informal dialogue spaces such as the District DRR Forum and facilitate community engagement in these spaces;
5. Engage with local media on information campaigns and to increase broader community understanding of disaster risk;
6. Develop partnerships to create and expand CBO networks and replicate the CBDRM process;
7. Identify and reach the most vulnerable at the community level. This should include promotion of equity between men and women and the active participation of women in local decision making;
8. Identify and leverage off local capacities;
9. Engage with a wide variety of stakeholders at community and government level using the principles of social inclusion (*see below*);
10. Use the Hazard, Capacity and Vulnerability Assessment (HCVA) instrument as an analytical tool;
11. Use the OSM participatory mapping tool to inform the local HCVA and community risk assessment process and to supply critical data to the local government for improved local DRM planning;
12. Provide technical training and skills to local BPBDs partners;
13. National CSO partners will provide specific capacity building to CBOs in order to improve their effectiveness in changing the institutional performance of local government and to accompany communities to effectively engage with government on DRM issues;

14. National CSO partners will adopt a mentoring approach for local networks to build leadership roles like facilitation, mediation, negotiation, etc.

While tsunami, earthquake and flood preparedness are identified as hazard entry points for capacity development with local governments in AIFDR-2, it is worth noting that the CBDRM approach is not hazard-specific and that the participatory process adopted ensures that communities identify their own priority risks.

3.2 Dealing with Diversity

This annex provides background on dealing with diversity and impartiality. These will be important principles to be adopted by CSO and NGO partners in dealing with communities and local government. The following principles and guidance should feed into CSO selection criteria and should help form the basis of specific community facilitation skills training required for optimum outcomes.

AIFDR-2 has been purposefully designed, through the DRM-CREATE program, to encourage interactions between communities, CSOs and local governments. In a decentralised government environment these interactions are vital to improving the match between service delivery and demand. Therefore the creation of dialogue spaces, linkages between DRM stakeholders and long-term partnerships will be fundamental to the success of the program. The following is a set of principles to inform implementers and facilitators about how to deal with multi-stakeholder processes and to facilitate dialogues among different social groups while applying the principle of 'impartiality'. These principles and guidance discuss the importance of programming on the basis of differences – but of doing so in ways that bring people's interests together and that advocate shared societal progress.[76]

a) Dealing with Diversity

Local people, civil society organisations, government agencies, media, private sector, and knowledge institutes play a role in DRM. These actors interpret and explain disaster events and risks differently: men and women, farmers, fisher folk, landless migrants, local business people, youth and elderly have differing needs and interests in DRM[77]. Likewise, community authorities, civil society organisations and government also have distinct explanations of why disasters happen and set risk priorities differently: national government prioritises low intensity but large impact hazards like earthquake and tsunami risks, while local communities prioritize recurrent small-scale disasters that undermine their livelihoods like floods and coastal erosion. Consequently, these actors have various and possibly opposing views on what should be immediately done to reduce risk. Divergent views are embedded in a broader institutional context of state-civil society relationships which constrain or enable local actors to advance their risk solutions.

Some actors are in a better position to negotiate their risk solution than others such as marginalised groups. The recognition of differences and the understanding how exclusion of some groups occurs allows implementers and facilitators to develop more accurate strategies for overcoming disadvantage and marginalisation. Implementers and facilitators can support marginalised groups to

76 Anderson, MB 1999, *Development and Social Diversity*.

77 See Shatifan 2013.

find, create or enlarge space for dialogue and interaction with decision-makers while being aware of constraints and mechanisms that exclude them. On the other hand, implementers and facilitators need to maintain good relationships with all actors, hence the principle of 'impartiality' in dealing with diversity. People and social groups differ, but they also have much in common. It is the challenge to initiate interactions and dialogue that encourage recognition of common interests and shared values as well.

b) Defining Impartiality

'Impartiality' has various meanings in different disciplines. In the field of humanitarian aid in complex emergencies, 'impartiality' means that aid responses should be guided by human *needs* alone, rather than political or any other criteria[78]. This implies that aid providers do not interfere in a conflict but provide assistance to those people most in need. In the field of peace building 'impartiality' refers to the performance of a mediator in order to build trust and to settle conflicts. It is found crucial that all parties feel fully respected as equal human beings, and that one group does not receive more attention than another.

In the context of AIFDR-2, 'impartiality' refers to the ability of facilitators to bring different stakeholders – who do not necessarily share the same views, values and interests - together without having personal prejudices or preconceptions of the actors. It is the facilitator's task to reach a comprehensive understanding of the actors' needs and interests within their full social and political context, and seeing the connections and power relationships between them[79]. 'Impartiality' means that facilitators distinguish the needs and interests of one group from another, while being aware of power differentials, exclusionary mechanisms and oppositional relationships. Facilitators also focus on connections and (shared) interests of the various actors, and carefully manage to bring opposing groups on speaking terms, without explicitly taking a preconceived position. This is an immensely demanding task requiring constant self-questioning, good communication and relentless analysis.

Acknowledging competing risk perspectives, seeing connections and understanding power relations between social groups within a community, between villages, and between citizens and government matter to effectively facilitate dialogues, discussions and negotiations aimed to reduce risk and people's vulnerability. By following the principle of 'impartiality', facilitators gain credibility of everybody and are likely to sustain dialogues and interactions. The latter is crucial to transform civil society-government relationships towards good DRM performance.

c) Informal and formal dialogue spaces

AIFDR-2's success ultimately depends on the ability of local governments to deliver services which communities at risk demand from them. Communities will need to see their efforts being translated into tangible results that directly improve their wellbeing. The program aims on one hand to develop sub-national disaster management agencies into technically competent and credible actors who are equipped to provide relevant and appropriate DRM services to communities and ensure effective, timely and coordinated disaster risk reduction activities. On the other hand, the program aims to develop the ability of communities to analyse their risk problems, to formulate Local Action Plans and to advocate for quality DRM service delivery in line with local priority needs and interests. These

78 Leader, N 2000, The Politics of Principle: the Principles of Humanitarian Action in Practice.

79 Vaux, T 2001, *The Selfish Altruist, Relief Work in Famine and War*.

two focus areas are captured under the demonstrator model explained in the program logic. This demonstrator model will seek replication (EOPO 1) through links to local and national policy. Key to achieving these changes is linking communities, local government, civil society organisations and other actors such as the private sector, through practice and dialogue spaces at different levels.

There are two kinds of interactions or dialogue spaces that require extra attention from community facilitators: (1) *village dialogues* around risk assessment, risk analysis and village development action planning, and (2) *dialogues between communities and local government* to deliver relevant and appropriate disaster risk reduction measures.

The quality of facilitation in these two dialogue spaces is crucial for the program's success. Facilitators in these dialogue spaces will interact with a diversity of stakeholders. Relationships between these stakeholders vary from harmonious, cooperative to oppositional and intimidating, or there may be no relationship at all. Facilitators need to navigate between the different groups, understand the differences and reasons behind, and in doing so they need to look for common ground and advocate a shared agenda. Through tactical and strategic approaches to community organising, exclusionary mechanisms and oppositional relationships among villagers, between authorities and villagers, between civil-society groups and government, and between men and women, can change and improve. Instead of targeting, searching and working with the most vulnerable groups – as often espoused in CBDRR literature – facilitators need to engage with the vulnerable groups, *and* with village elite, *and* with village authorities practicing the principle of 'impartiality'.

Village dialogues – Instead of conducting one overall community risk assessment, community facilitators will first have to navigate through the village to explore and engage with different social groups. Evidence from CBDRM practice reveals the importance to look into the history of why disasters happen and into the underlying risk factors that may explain why different groups view disaster events differently – or deny that disasters happen in their locality - and why certain groups are excluded from DRM decision-making.

Facilitators need to engage with the most vulnerable sectors, *and* with the village authorities *and* with village elite without taking a preconceived position. A Gender and Social Inclusion Analysis will identify exclusionary practices and specific community organising strategies to include views, needs and interests of marginalised groups in risk assessment and risk dialogues. Facilitators act as bridge-builders to facilitate a risk dialogue to arrive at shared risk priorities and to improve relationships between different groups. Risk dialogues are instrumental for changing mind-sets of village authorities, CBOs and marginalised groups when they are facilitated as a conscientization process. After priority setting, village dialogues continue about *who* decides *whose* risk will be prioritized and *which* risk reduction measures will be implemented.

Community - local government dialogues – Communities, supported by CSOs, will participate in interactions and dialogue with local government beyond the village level to influence key local government stakeholders including parliamentarians and BPBD staff for better DRM services. This kind of engagement will be contextual depending on the issues at stake and on the relationships between communities, CSOs and local government actors. Policies, government programs, and resource allocation are often disconnected from local realities. Government agencies operate through line departments each concerned with a specific issue like social welfare, public works, or natural resource management. CSOs/NGOs are likewise organised in separate departments and have

a particular mandate or serve a specific target group. These disconnects limit a smooth cooperation between local communities and government, and hamper integrated DRM policy, action and interventions to achieve community resilience. Implementers and facilitators have the challenging task to support the multiple stakeholders to find the gaps and disconnects between the risks experienced at the local level and the extent to which these risks are dealt with or not, and to identify the obstacles and opportunities for effective collaboration between the relevant actors. This analysis will inform actors about their room for manoeuvre and for designing strategies for action and programming.

d) Principles that will guide the work of AIFDR-2

The key principles that guide 'Dealing with Diversity' are closely linked to the Gender and Social Inclusion principles, to key strategies for effective CBDRM practice, and to the principles of the Knowledge-to-Policy Strategy:

1. Public participation and promoting partnerships is primarily about building trust, entering into dialogues to foster mutual understanding and constructive relationships among multiple DRM actors across administrative levels and sectors;
2. At community level, differing risk perspectives beyond the immediate hazard risks are recognised, and facilitators act as impartial bridge-builders to find commonalities in risk problems and solutions. Their role is further to encourage interaction and building relationships;
3. Assess how power dynamics work to understand mechanisms that include or exclude social groups in negotiation and decision-making processes to find risk solutions. This understanding is further crucial for designing appropriate community organising strategies that allow excluded marginalised groups to participate in dialogues and for facilitating processes that integrate different sources of knowledge without silencing or supressing particular views. People's traditional institutions and knowledge are considered during negotiation processes and not undermined by new proposed risk solutions;
4. Find gaps and disconnects between the risks experienced at local level on one hand, and the existing DRM policies, laws and regulations, and trends in spatial planning on the other; this helps facilitators and implementers to identify obstacles that should be addressed and opportunities to be seized;
5. A sound analysis of all stakeholders' interests, values, position, accountability and capacity, as well as an understanding of the 'governance spaces and room for manoeuvre' among stakeholders, will assist facilitators to increase opportunities to design strategies and programs that effectively address disconnects and barriers and leverage the opportunities to promote cooperation to foster community resilience;
6. Impartial facilitation in varying dialogue spaces will ultimately lead to changing people's mind-set and improved DRR performance.

e) Practice guidance

1. Facilitators should create a conducive environment to ensure that marginalised groups have theirs views expressed and heard, and that these are reflected in the risk assessments and in the solutions implemented;
2. Facilitators and implementers should consciously look beyond the usual existing institutions around which people organise themselves like institutions of village authorities and CSO/CBOs; not all social groups in need are members or represented through a formal CSO/CBO;
3. It is essential that implementers and facilitators allow local people to tell their life stories, listen to their concerns, understand their difficulties and complexities in order to ensure more relevant assistance;
4. Risk assessments, risk maps and analysis can be conducted by different groups separately, and used as an instrument for creating understanding for different risk positions, to raise awareness about the interconnectedness of risk problems within the village or between villages (upstream and downstream) and for entering dialogues and negotiations between marginalised groups, village elite and village authorities. The facilitator assists each group to present their risk assessment to the other groups to enhance discussion and dialogue;
5. Evidence from the field reveals the importance to look into the history of localities to understand why disasters happen and into the underlying risk factors that may explain why various social groups view risk and disaster events differently. It is further important to understand people's coping and survival strategies. Their priorities for action may be remote from the immediate experience of floods or earthquakes;
6. Understand how exclusion of some groups occurs and develop more intelligent, creative and effective strategies for overcoming disadvantage and marginalisation through the program. This implies strategies for altering and reconstructing systems to end marginalisation;
7. In the dialogue spaces it is important to bring differences in values and views to the open and be honest about it as an essential element of respect. To remain silent about areas where there are differences of values is actually showing disrespect for the others' efforts to join in debate and for the mutual search for common ground;
8. Reframing risk problems can help finding a shared interest and overcoming differences between social groups and for designing collective action;
9. Implementers and facilitators support local people in exploring and mapping the DRM governance context: how do relevant stakeholders explain the occurrence of the particular risks prioritised by local people, and what are in their view the underlying causes of these risks? The different explanations will illustrate that the actors define risk problems at different scales; it is the facilitator's challenge to analyse if there is consensus or mutual understanding of the risks faced; which actors share risk perspectives, and which ones deviate; is there room for dialogue by getting them to speak together? What are existing DRM policies, institutions, laws and regulations and trends; How are risks managed at different levels? Why is it so difficult to implement or enforce regulations that will reduce risks locally? What are most acute obstacles for effective DRM, and what are opportunities to be seized? Ensure that mapping of the

governance context is done by community representatives who will develop skills and knowledge to engage with relevant stakeholders and build relationships[80];

10. Based on this mapping, strategies for action and programming can be designed, exploring what to do (areas of work), at what level (local to national), with whom (partners to work with) and how to engage?

11. For any given issue or action, there is no single strategy or entry point. Much depends on navigating the intersection of relationships which in turn can either contribute to creating new spaces and possibilities for strategic action, or contribute to distorted relations or misalignments. Continuous reflection on how relationships evolve is required to know whether they proceed as desired or not. Entering dialogue spaces and negotiation are not without problems and do not necessarily offer *the* solution. Negotiation involves conflict, unproductive consensus or fruitful competition[81];

12. To facilitate negotiations, facilitators could organise 'joint exploration, fact-finding and situational analysis': relevant stakeholders beyond community level come together to develop new (often wider) problem definitions on the basis of a creative collective learning process, resulting in so-called win-win solutions. Stakeholders will exchange perspectives, interests and goals; they analyse problems and interrelations from different perspectives; integrate different visions into a new problem definition; identify alternative solutions and gaps in knowledge and insights. Parties may agree on a third partner who will provide the lacking information such as universities, knowledge institutes or a lawyer;

13. Be aware that risk solutions do not necessarily benefit all people in the same way;

14. AIFDR-2 supports the principle that all actors bring with them their specific knowledge, whether they are scientists, practitioners, policy-makers or local (indigenous) people. Through negotiations different sources of knowledge interact, are combined or blended to address risk problems that can't be solved by a single actor or discipline. Examples are bridging the gap between scientific, high-tech early warning systems at global and national level with local early warning systems; bridging the gap between global climate change models and predictions, and how local populations observe, interpret and make sense of local climate change; and bridging the gap between traditional local knowledge, for instance, ways to arrange land rights (e.g. *adat*) and formal land policies, including clarifying ambiguous and contradicting land policies;

15. All actors involved in negotiation processes and dialogue spaces are considered competent in articulating their views and opinions, while projecting and accepting critical remarks during discussions. However, we cannot assume that all will adopt or have an open attitude, and are equal partners in the debates. Sharing experiences, open communication, admitting weaknesses, and building trust should be regarded as goals in negotiation processes considering power dynamics at play that shape the nature of dialogue spaces;

16. Capacity building in leadership roles like facilitation, mediation, speaking in public, negotiation, going beyond comfort zones is actually a pre-requisite for building linkages and partnerships and is part of AIFDR-2 training program.

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80 A non-exhaustive set of questions can be asked to map stakeholder relationships, policies, and kind of dialogue spaces. See Reaching Resilience: Handbook Resilience 2.0 for aid practitioners and policymakers, 2013, www.reachingresilience.org

81 Leeuwis, C 2000, Reconceptualization Participation for Sustainable Rural development, Towards a Negotiation Approach, in *Development and Change No.* 31, pp. 931-959.

3.3 BNPB and BPBD Organisational Performance

This annex outlines the key principles for improved BNPB and BPBD organisational performance and summarises the rapid organisational assessment conducted as part of the analysis for this design. During the inception phase of AIFDR-2, an in-depth organisational assessment will be conducted and tools developed for use by the DRM-CREATE program.

a) Definitions

Organisational Performance is: The actual output or results of an organisation as measured against its intended outputs (or goals and objectives).

Capacity Development is: The process by which individuals, groups, organisations, institutions and societies increase their ability to identify and analyse development challenges, and to conceive, conduct, manage and communicate research that addresses these challenges over time and in a sustainable manner.

b) Key Principles of Organisational Performance

An organisation's performance is guided by the principles of:

1. **Effectiveness:** The extent to which an organisation's objectives or planned results have been achieved;
2. **Efficiency:** The relationship between the cost of inputs and the resulting outputs;
3. **Relevance:** The ability of an organisation to meet the needs and gain the support of its priority stakeholders;
4. **Financial Viability/Sustainability:** The organisation's ability to maintain the inflow of financial resources greater than the outflow over a period of time.

c) Organisational Performance Practice Guidance

Innovating within the culture of the organisations (BNPB/BPBD)

One of the challenges facing BNPB and BPBD is that, generally, the institutional culture does not stimulate innovation and there is a tendency to follow guidelines and job descriptions. There is a need to:

- Understand the limits and boundaries of existing regulations, standard operating procedures and job descriptions of BNPB/BPBD staff;
- Innovate within existing policy to stimulate new approaches, find new practical ways of working and interpret regulations to accommodate new ideas;
- Develop locally specific Standard Operating Procedures, based on national guidelines;
- Develop a culture of ownership and pride in policy implementation;
- Facilitate, mentor and partner. Follow all technical trainings and capacity building activities with mentoring strategies to enhance new skills.

Results-oriented and realistic planning and budgeting

BNPB and BPBD face challenges in strategic and operational planning and budgeting, particularly in using "results" or "evidence" as basis for prioritising activities. There is a need to:

- Adopt a mentoring approach at the sub-national level to achieve realistic planning and budgeting through:
    - Use of "evidence" collected through partners working at the community to advocate for budget to provide DRM services that fulfil community needs.
    - Integrate local DM Plans and DRR Action Plans into the Provincial and District Mid-Term Development Plan (RPJMD).
    - Advocate for DRM budget based on its position as a national priority.
- Leverage technical capacity – such as EOCs, OSM data collection and InaSAFE scenarios - to develop the credibility of the local BPBD.
- Engage with local DRR Forum, other dialogue spaces and local networks to influence local parliaments (DPRD) for equitable budget decisions.
- Engage in awareness campaigns to improve understanding of DRM with broader actors.

Engaging citizens and using feedback to improve performance

BNPB and BPBD have few mechanisms in place to gather stakeholder feedback. There is a limited culture of seeking evidence to make decisions or engaging citizens in all stages of an initiative. The ability of the local BPBD to react to requests from the community is a key indicator of performance. There is a need to:

- Link BPBD to communities through DRR Forum, informal forum, meetings, workshops and through engagement with partner CSOs and CBOs;
- Support BPBD to visit villages to see CBDRM programs in action and engage in community dialogue;
- Assist communities to engage with local government through formal processes such as *Musrembangdes* (village development plans), local planning process for the new Village Law, and DRR Forum, as well as informal networks and dialogue spaces, that allow community voice to be heard by local BPBD;
- Create linkages between local BPBD and BNPB policy makers;
- Use the media as a tool for capturing both government and community voice;
- Develop monitoring and evaluation systems and tools that help BPBD capture activities at the community level based on national community resilience indicators.

Communicating quickly the data that matters

Gaps in data and communications systems at community, district, province and national level represent a particular challenge given the importance of such systems in disaster situations. There is a need to:

- Target technical capacity support to help build the credibility of BPBD to understand and undertake coordination during an emergency response. The EOC systems and basic emergency management skills training (including rapid assessment, incident command and post-disaster needs assessment) will help build capacity and credibility;
- Coordination of disaster contingency planning will help to collect valuable data sources from local government departments and non-state actors. Scenario tools developed through InaSAFE will assist in building the credibility of the BPBD;

- The EOC program will create standardised and integrated information management systems that link national to provinces and provinces to districts. EOC will act as a local data warehouse for storing exposure data collected by communities and partners.

Managing human resources to improve performance

As BPBD are new agencies and staff often do not yet have the knowledge and skills required for their positions. This problem is compounded by a fragmented human resource management system, where different pieces of the system are the responsibility of different agencies and levels of government. There is a need to:

- Consider strategies that seek to reduce the issue of staff rotation between departments and agencies. This is particularly important for technical staff;
- All technical training is developed by BNPB's Training and Education Unit. Use strategies to integrate technical training into provincial and district civil servant training courses;
- Technical training is standardised by BNPB;
- Establish pools of contract facilitators in the regions;
- Identify non-technical management training needs as part of the capacity development program.

Developing socially inclusive outcomes and approaches

The BNPB and BPBD do not yet see the need for more socially inclusive approaches, nor do they have strategies or approaches for involving vulnerable groups. There is a need to ensure:

- Work with civil society partners demonstrates to BPBD the differences between equality and equity in disaster management "services" and why it is important to seek equity in order to be effective as a disaster management agency;
- All capacity development activities integrate gender and social inclusion;
- The Knowledge to Policy strategy and dialogue spaces utilise tools to engage on issues of social inclusion and gender in disaster management;
- Media is utilised to create a broader dialogue around these issues.

Mobilising resources at the local level

Local resource mobilisation is critical to amend the imbalance in the current flow of funding that creates a dependence on BNPB. If the district is to be the driver of community-based disaster risk management, local governments must provide the resources. There is a need to:

- Develop the credibility of local BPBD through technical training and activities such as contingency planning;
- Create dialogue spaces to ensure that community demand is being raised with local BPBD;
- Create opportunities for multi-stakeholder forums and engage local DPRD on disaster management issues;
- Consider realistic entry points for budget advocacy – such as preparedness activities, local mitigation projects in partnership with other local government departments or stakeholders such as the private sector;
- At the national level work with BNPB on strategies for encouraging local DRM funding;
- At the national level engage in policy debate with Ministry of Home Affairs on regulated local DRM budget allocations;

- Use the media for advocacy and reporting of local budgeting successes.

Strengthening partnerships with NGOs and other CSOs

BPBDs at the district level have closer relations with CSOs than BNPB has at the national level. NGOs and CSOs have capacity to understand and make use of social capital and community knowledge and are key partners for innovation in disaster management. There is a need to:

- Link district and provincial capacity building activities and training needs with other civil society actors;
- Utilise the knowledge-to-policy strategy to foster and highlight good partnership in DRM;
- Create specific monitoring and evaluation systems to capture lessons in the partnership space.
- Use capacity development opportunities at the district level to encourage linkages with communities;
- Use community programs to encourage linkages with government.

Strengthening the province's role as the "link" between local and national

Provincial BPBDs should play a critical role in harmonising national government priorities with district government priorities. They can provide a link from the national to the local level and play a much stronger role in developing the capacities of district BPBDs. There is a need to:

- Ensure the province plays a strategic and practical role in preparedness and response activities through the EOC system. Provinces assume command and coordination of events that affect more than one district or overwhelm the capacity of one district.
- Build provincial capacity to position the provincial BPBD as a technical and policy guide for districts.

d) Organisational Performance Indicators for Improved Community Resilience and Preparedness

Rapid organisational performance research undertaken as part of the analytics for the AIFDR-2 design[82] identified a number of the key organisational performance factors which affect GoI's ability to build community resilience and GoI preparedness for response and recovery. These are:

- **DRM Policy Framework:** This is still new in Indonesia, particularly in relation to CBDRM. GoI requires policy assistance to strengthen both the policy process and content of DRM policy decision-making as it develops operational plans and legislation into the future. This includes specific attention to ensure that these policies, plans and guidance reflect the stated values vis-à-vis social inclusion.
- **Human resources**: BPBDs cannot coordinate preparedness efforts nor support community resilience on an equitable and inclusive basis, including imbalances in gender equity, until they have sufficient human resources, knowledge and skills to fulfil these functions. BNPB is mandated to build the technical capacity of BPBDs and are currently developing a National Training Roadmap which AIFDR supports by assisting BNPB to develop training modules and a pool of master trainers and facilitators. However, BNPB requires skills and expertise to implement and institutionalise this training system and there is evidence within AIFDR that

82 Universalia 2013.

show that CSOs can also play a role in building BPBD capacity or may become facilitators that deliver national training to BPBDs.

- **Budget**: BPBDs cannot fulfil their core functions until they have sufficient budgets to operate and implement activities. Attracting budget allocations for BPBDs requires engagement at the national level (MoHA for operational costs and BNPB for activity costs) and with local government leaders and parliamentarians.
- **Credibility**: BPBDs' credibility determines its ability to attract sufficient human resources and budget and coordinate interagency preparedness efforts. BPBDs need to enhance their reputation across government and particularly amongst the agencies that they are required to coordinate by actively demonstrating effectiveness.
- **Roles and responsibilities**: GoI cannot prepare an effective response if there is a lack of role clarity and accountability between agencies at all levels of government. These roles can be clarified through effective local response and contingency planning.

3.4 Capacity Development Support Program - Phase 2 (CDSP-2)

As part of AIFDR-2, the second phase of the Capacity Development Support Program (CDSP) will be the key, driving program for government capacity development at the national (BNPB) and sub-national (BPBD) levels.

The program involves the secondment of national consultants into key divisions and directorates of BNPB and capacity development support teams situated in the AIFDR-2 demonstration provinces to provide technical assistance, management and oversight of capacity development activities for the 4 program demonstration province BPBDs and up to 20 targeted district BPBDs.

The program builds upon the concept developed during AIFDR to provide strategic and targeted technical support to assist BNPB to develop its capacity in key strategic areas identified by the agency. These areas were identified by BNPB's senior management as linking to the agency's strategic vision and planning. A key principle of the CDSP, developed through AIFDR, was the need to develop ownership of the initiative by BNPB. BNPB staff were involved in all phases of the initiative including the drafting of Terms of Reference, selection of candidates in the recruitment process, and joint development of the consultants' annual capacity development workplans. In four provinces – West Sumatra, East Java, South Sulawesi and NTT – the BPBD worked together with the seconded national technical adviser to identify key gaps and develop strategic workplans.

In the new AIFDR-2, the CDSP-2 will be actively managed and implemented by the MC under the DRM-CREATE program with strategic oversight by the AIFDR-2 DFAT team. The CDSP will be designed, developed and implemented using the following broad principles.

a) CDSP Principles

1. GoI ownership both at national level (BNPB) and sub-national level (BPBD) is paramount to success and sustainability;
2. Coordination with AIFDR-2 and BNPB is important for governing key strategy and relationship issues. Major changes to CDSP-2 will require appropriate approval through the AIFDR-2 governance arrangements;

3. In line with the AIFDR-2 program logic, CDSP-2 implementers must ensure the initiatives are integrated with other AIFDR-supported activities, with particular emphasis on linkages between local government and community for improved DRM service delivery, and linkages with the AIFDR-2 science program (GA-TAP);
4. CDSP-2's leadership and program governance ensures the effective achievements of the program and program synergy, while maintaining flexibility to work within a dynamic environment;
5. Management of the CDSP-2 must be in line with the agreed and contracted management, partnership and performance arrangements developed between DFAT and the MC.

b) Indicative CDSP-2 Selection Process

CDSP will be continued during the AIFDR-2 transition period (01 July – 31 December 2014) and a number of positions will be added at the sub-national level, particularly support to the BNPB training and logistics centre (UPT-BNPB) in West Sumatra. During the transition, the DFAT team will manage a range of key baseline activities with BNPB and BPBD. These activities will include organisational assessments of demonstration province BPBD and selected model districts in East Java and NTT and identification of consultant positions. The incoming managing contractor of the DRM-CREATE program will build on these baseline activities to mobilise CDSP-2 staff and manage the capacity development initiatives as national and sub-national level.

1. **Organisational assessments**: These will be required within BNPB and BPBD in the demonstration provinces. The organisational assessment tool has been developed by AIFDR in partnership with BNPB and BPBDs.
2. **Identification of key consultant positions:** Following the organisational assessment, the key positions aligning with the strategic vision and planning of BNPB and sub-national agencies will be mutually identified and agreed.
3. **Development of Terms of Reference**: ToR will be developed and agreed to by all parties.
4. **Recruitment process**: An open recruitment process will be run ensuring alignment with best practice in accountability and transparency (reflected in DFAT policy). BNPB and BPBD representatives from the appropriate divisions and directorates will take part in the interview and selection panels.
5. **Capacity development program strategy and workplan documentation**: This will be developed by the consultant and the division/directorate in which the consultant is placed. The workplan must refer to the organisational assessment, BNPB/BPBD capacity development priorities and internal discussion. Flexibility will need to be built into the workplans to enable assistance with emerging priorities (this is often inevitable in a DRM environment). However, major changes will require coordinated approval from AIFDR-2 and BNPB. Exit strategies need to be designed into all capacity development program strategies and reflected in annual workplans. Monitoring and evaluation of capacity development activities will refer to the exit strategies.

The following tables represent indicative positions within the new CDSP-2. These are a guideline only in order to provide a sense of scope. Final positions will be identified utilising the process illustrated above.

Up to 20 consultant positions are expected at the national level, while provincial teams consist of approximately 6 positions each.

c) Indicative Technical Assistance for BNPB (National)

Consultants at the national level (BNPB) will fall into three key units:

1) Policy Support Unit
2) Training Support Unit
3) DRR Support Unit

A national CDSP-2 Team Leader/Coordinator will be recruited. This position will play a critical coordination role and will come under the supervision of the DRM-CREATE Capacity Development & Training Systems Adviser.

CDSP-2	Advisers	No	BNPB divisions / units
CDSP-2 Management	Team Leader / Coordinator	1	
Policy Support Unit	Legal Adviser	1	Prime Secretary
	Governance Adviser	1	Prime Secretary
	International Cooperation Specialist	1	Prime Secretary
	Monitoring & Evaluation Specialist	1	Deputy 1 – Prevention & Preparedness
	Community Empowerment / Gender & Social Inclusion Specialist	1	Deputy 1 – Prevention & Preparedness
	Humanitarian adviser	1	Deputy 2 – Emergency Management
	Policy Paper Drafter	1	Prime Secretary
Training Support Unit	Curriculum Specialist	1	Training & Education Unit
	Module Developer	1	Training & Education Unit
	Master Trainer	1	Training & Education Unit
	Data & Information Management Specialist	1	Data, Information & Public Affairs Unit
	Public Affairs Specialist	1	Data, Information & Public Affairs Unit
	Logistics Specialist	1	Deputy 4 - Logistics & Equipment

DRR Support Unit	DRR and Preparedness Specialist	1	Deputy 1 – Prevention & Preparedness
	DRR Mainstreaming and Support	3	Deputy 2; Deputy 3; Deputy 4
Total Positions		**18**	

d) Indicative Technical Teams – DRM-CREATE Provincial Support Teams

Demonstration Province	Team Positions	No. Advisers	TA Role
East Java & NTT	Team leader / DRM specialist	1	Management; liaison; technical advice; mentoring; promoting social inclusion.
	Capacity Development Officers	2	Training; mentoring; liaison (District BPBD and broader DFAT programs); relationship; partnership; promoting inclusive practices.
	Community Resilience Officer	1	Training; mentoring; liaison (District BPBD and broader DFAT programs); relationship; partnership; promoting inclusive practices.
	M&E and Communication officer	1	Monitoring; evaluation; training; mentoring; communication.
	Administration / finance officer	1	Team support
	Total	**6**	
West Sumatra	Training Operations / Training Management Support	1	In-line support; mentoring; specialist advice; liaison; relationship; partnership; promoting inclusion; developing training systems; outreach, scheduling, budgeting etc.
	Master Trainer	1	Training; mentoring; liaison (District BPBD and broader DFAT programs); relationship; partnership; linking with CDSP-2 national team in Pusdiklat and Sentul national training centres.
	Logistics officer	1	In-line support; mentoring; specialist advice; liaison; relationship;

			partnership; logistics systems; training support etc.
	Provincial DRM Specialist	1	Management; liaison; technical advice; mentoring; promoting social inclusion; facilitating support for broader provincial DRM and DRR priorities.
	Total	**4**	
South Sulawesi	Emergency operations / DRM specialist	1	Management; liaison; technical advice; mentoring; promoting social inclusion; developing and facilitating inter-linked and inter-operable emergency response and preparedness systems, protocol and standard operating procedures.
	Communications & technology specialist	1	Liaison; technical advice and input; mentoring; developing and facilitating inter-linked and inter-operable technical emergency response and preparedness systems and solutions.
	Total	**2**	
Total Consultants Overall Sub-national CDSP-2		**12**	

3.5 National Training Strategy

Technical training is a key part of the AIFDR-2 approach to institutional strengthening and capacity building of BPBD in the demonstration provinces and model districts. In addition to complementing the in-line advisory and mentoring approaches of CDSP-2, the AIFDR-2 training strategy provides capacity development opportunities to other government agencies (e.g. line ministries, defence and emergency services, science agencies) as well as civil society organisations, private sector organisations, media, universities and think tanks.

a) Training Principles

The function of AIFDR-2 support for training, udner the DRM-CREATE program and though partnership, collaboration and integration with the GA-TAP science component, is to work with the BNPB Training and Education Unit (*Pusdiklat*) to develop a suite of national competency-based

training curricula and support its efforts to develop and institutionalise a national training system for DRM in Indonesia. It is expected that by Year 5 of AIFDR-2, *Pusdiklat* will be updating curricula independently and will be leading on the development and implementation of new training opportunities through the Sentul National disaster management training centre (Ina-DRTG). This is in line with the Ina-DRTG development roadmap supported by AIFDR-1. Under this roadmap, the Ina-DRTG centre will seek to be an internationally recognised DRM training facility within a decade. The key principles which drive the AIFDR-2 training strategy are:

1. GoI ownership both at national level (BNPB) and sub-national level (BPBD) is paramount to success and sustainability;
2. Training will be competency based and delivery will use adult learning principles;
3. The focus on training will be on the development of quality training resources and a professional cadre of trainers from a wide range of stakeholder groups – e.g. government, civil society etc.;
4. Gender and social inclusion will be mainstreamed within curricula, training delivery and assessment;
5. Coordination with AIFDR-2, BNPB and the DRM-CREATE Capacity Development & Training Systems Adviser is important for governing key strategy and relationships and ensuring that AIFDR-2 support contributes in the most effective way;
6. In line with the AIFDR-2 program logic, training will be integrated with other AIFDR-2 and Australian government supported activities, with particular emphasis on linkages between local government and community for improved DRM service delivery;
7. The development of the national training program is strongly linked to the CDSP-2, with some short and long term advisers providing support for training and capacity development including curriculum development;
8. Effective training is best delivered locally, using local specialists who can act as key focal points and draw on local content;
9. Management of the training program must be in line with the agreed and contracted management, partnership and performance arrangements developed between DFAT, MC and BNPB.

b) How the Training System is Expected to Operate

Pusdiklat will design disaster preparedness technical training program curricula in line with basic competencies for DRM in Indonesia. Curricula will include modules in:

- Basic disaster risk management;
- Disaster management planning (including response and contingency planning);
- Simulation exercise planning;
- Specific technical training in disaster scenario tools and participatory mapping;
- EOC technical packages; and
- Gender and social inclusion.

Pusdiklat will (with support from AIFDR-2) conduct regular training needs assessments to ensure that available modules are relevant, current and aligned with GoI and industry priorities and standards. It is anticipated new modules/curricula may be developed over time and in line with agreed and emerging priorities of BNPB, its sub-national agencies and other GoI counterparts.

The participants who will benefit from this training will be BNPB staff, provincial and district BPBD staff, local facilitators and CSOs, and other key local government agency staff and non-government stakeholders in DRM in order to encourage replication. After the training has been trialled in the AIFDR-2 demonstration provinces and model districts, and approved by BNPB senior management, the modules and training courses will be offered at the Sentul national DRM training centre (Ina-DRTG). This will result is broader dissemination and replication of training.

AIFDR-2 will assist with the establishment and operation of a simple monitoring and evaluation system of training programs so that credible information will be used to inform decisions about program improvement and future training needs.

With AIFDR-2 assistance at the national and sub-national level, *Pusdiklat* will also run a program of accreditation for Master Trainers and Facilitators, based on the development of basic competencies in DRM. They will also manage a database of facilitators at the national through to local levels.

Master Trainers will train local facilitators (at provincial and district levels), who will be identified in a local register as future contract trainers. The intent is not to create a large pool of trainers through Train the Trainer Strategies, but rather, the focus will be on quality as opposed to quantity, and ensuring the mobilisation of sound local technical resources. Specific attention will be given to ensuring a balance of men and women facilitators.

Unlike a traditional train-the-trainer program, these facilitators will be integrated into the BNPB system through the *Pusdiklat* who will provide routine refresher courses. In addition, CDSP support teams established in the demonstration provinces will include appropriately-skilled staff responsible for quality control of facilitator training and ongoing mentoring of local pools of facilitators. BNPB will use these facilitators to replicate training in other priority provinces and districts. In West Sumatra, training will be conducted through the regional UPT-BNPB (the Sumatra Island training and logistics centre). This will ensure a level of professionalisation of DRM trainers as local facilitators develop greater skills and absorb numerous core-training packages. Committed and skilled facilitators will be able to access the Master Training program through the same training system.

c) Replication

While the pool of trainers and facilitators will initially be utilised in AIFDR-2 demonstration provinces and model districts, BNPB will use these facilitators to replicate training in other priority provinces and districts e.g. making them available to other donor or national programs.

Specialists seconded into the national *Pusdiklat* will work with BNPB on designing and implementing a disaster preparedness training replication strategy through which the local pools of DRM facilitators will be utilised. The National DRM Training Program will also be institutionalised into BNPB's national training centre. Training will be conducted through this national centre and the regional UPT-BNPB, modelling approaches for future regional centres planned by BNPB. Demand through these centres may open up opportunities for potential full-time employment of facilitators.

d) Indicative Training Deliverables for AIFDR-2

The tables below are based upon existing AIFDR training priorities, and highlight the intended minimum training deliverables anticipated. These tables should be cross-referenced with the relevant text within the Program Design Document.

Indicative National Level Training Programs

Topic Description	Target Participants	Frequency Offered	Delivery Organisation
Conducting Political Economy Assessments at the local level Understand the operating environment, identify linkages and networking opportunities at the local govt level, and identify govt and non-govt funding sources for future DRM and DRR activities. Tool developed jointly with BNPB during transition phase.	National/int NGOs Local CSO/CBOs Local BPBD	Regularly + review	AIFDR-2 BNPB Community Empowerment Directorate Capacity will built for I/NGOs to deliver this to local CSO partners.
Conducting hazard, capacity and vulnerability assessments (HCVA) These assessments will inform local action plans and can be used to empower communities to advocate for inclusive local DRM services and mitigation measures. Assessments will integrate how climate change will affect vulnerability for both women and men.	National/int NGOs Local CSO/CBOs Communities	Regularly + review	National/int NGOs BNPB Community Empowerment Directorate and Training & Education Unit
How to use the *OpenStreetMap* (OSM) Tool This participatory mapping tool will help to link communities to local government through the provision of data for disaster impact scenarios and can also be used as a tool for advocacy by communities.	BPBD staff / EOC staff National/int NGOs Local CSO/CBOs Local volunteers such as PMI, scouts etc.	Regularly + review	Humanitarian OSM Team (HOT) Universities Capacity will built for I/NGOs to deliver this to local CSO partners.
Delivering National Disaster Preparedness Training Program CSOs may be used to deliver basic training to local BPBD and other stakeholders. This will enable relationship building and linkages with the local government actors because the organisation will be viewed as a trusted technical partner for the local government.	National/int NGOs Local CSO/CBOs Local BPBD and other govt stakeholders	Regularly + review	BNPB Training and Education Unit Capacity will be built for I/NGOs to deliver. Regional pools of training facilitators (see training strategy)
Social inclusion While social inclusion will be integrated into all of the above training packages, it will also be valuable to develop a more detailed inclusion program which focuses on enhancing the skills and	CBOs Local BPBD and other govt stakeholders	Biannually	BNPB Training and Education Unit Capacity will be built for I/NGOs to deliver.

capacities of community leaders and DRM trainers.			Regional pools of training facilitators (see training strategy)

Indicative Sub National Training Programs

Topic Description	Target Participants	Frequency Offered	Delivery Organisation
Disaster Preparedness Technical Training Package 5 basic trainings: Basic DRM; *InaSAFE*; *OpenStreetMap*; Contingency Planning; Table-top and field simulations.	BPBD and associated government agencies and DRM stakeholders National/int NGOs Local CSO/CBOs	5 trainings per province / district per year	Local facilitators with CDSP support and mentoring National/int NGOs Local CSO/CBOs BNPB
DRM Planning and Budgeting SOP Development	BPBD and associated government agencies and DRM stakeholders	3 trainings p/y per province / district	CDSP; external trainers; link with AIPD / DFAT programs National/int NGOs Local CSO/CBOs
EOC Training Package 4 basic trainings: Data collection & management; Information dissemination and EWS; ICT; Equipment training.	BPBD's EOC staff and associated GoI agencies as required ; Volunteers such as PMI	4 trainings per year per province (specialist BPBD staff and volunteers)	Local facilitators, BNPB Master Trainers and CDSP support and mentoring National/int NGOs Local CSO/CBOs
Social Inclusion – while social inclusion will be integrated as a cross cutting issue in all above trainings, specific materials on Gender and Social inclusion will be developed.	BPBD's EOC staff and associated GoI agencies as required for broad sessions	4 trainings per year per province (specialist BPBD staff)	Local facilitators, BNPB Master Trainers and CDSP support and mentoring National/int NGOs Local CSO/CBOs

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PART 4:
RESOURCES

AIFDR-2 DESIGN DOCUMENT

Part 4: RESOURCES

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