# 

Investment Design

*Australia-Indonesia Partnership in Disaster Risk Management*

*DRAFT November 2018*

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## Acronyms

AIFDR: (former) Australia-Indonesia Facility for Disaster Reduction

AHA Centre: ASEAN Coordinating Centre for Humanitarian Assistance

Bappenas: Ministry of National Development Planning

BMKG: Meteorology, Climatology and Geophysics Agency

BNPB: National Disaster Management Authority

BPBD: Provincial/District/Municipal Disaster Management Agencies

CBDRM: Community-based disaster risk management

CSO: Civil Society Organization

DFAT: Australian Department of Foreign Affairs and Trade

DPO: Disabled Peoples Organisation

DRM: Disaster risk management

DRR: Disaster Risk Reduction

EOPOs End of Program Outcomes

EWS: Early warning systems

GESI: Gender Equality and Social Inclusion

GoA: Government of Australia

GoI: Government of Indonesia

HFI: Humanitarian Forum Indonesia

IFRC: The International Federation of Red Cross and Red Crescent Societies

IHA: Indonesia Humanitarian Alliance

IMF: International Monetary Fund Monetary Fund

JICA: Japan International Cooperation Agency

KPLF: Knowledge, Performance and Learning Framework

MC: Managing Contractor

MDMC: Muhammadiyah Disaster Management Centre

MELF: Monitoring, Evaluation and Learning Framework

MoF: Ministry of Finance

MoFA: Ministry of Foreign Affairs

MoHA: Ministry of Home Affairs

MoSA: Ministry of Social Affairs

MoSS: Ministry of State Secretariat

MSS: Minimum Service Standards

NGO: Non-Government Organization

NTB: West Nusa Tenggara province

NTT: East Nusa Tenggara province

NU: Nahdlatul Ulama

MFAT: New Zealand Ministry of Foreign Affairs and Trade

OFDA: USAID’s Office of Foreign Disaster Assistance

OCHA: United Nations Office for the Coordination of Humanitarian Affairs

Pusdalops: Emergency Operation Centre

PMI: Indonesian Red Cross

RIPB: Disaster Management Master Plan 2015-2045

RPJMN: Medium Term National Development Plan

SIDS: Small Islands Developing States

SOP: Standard Operating Procedure

TATTs: Technical Assistance and Training Teams

ToC: Theory of Change

UNDP: United Nations Development Program

UNISDR: The United Nations Office for Disaster Risk Reduction

UNFPA: United Nations Population Fund

USAID: United States Agency for International Development

WFP: World Food Program

WHO: World Health Organisation

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## Glossary of Terms

**Community-based disaster risk management** (CBDRM): an approach that promotes the involvement of potentially affected communities in disaster risk management at the local level. This includes community assessments of hazards, vulnerabilities and capacities, and their involvement in planning, implementation, monitoring and evaluation of local action for disaster risk reduction (UNISDR[[1]](#footnote-1)).

**Disaster risk governance:** The system of institutions, mechanisms, policy and legal frameworks and other arrangements to guide, coordinate and oversee disaster risk reduction and related areas of policy (UNISDR).

**Disaster risk information:** comprehensive information on all dimensions of disaster risk, including hazards, exposure, vulnerability and capacity, related to persons, communities, organisations and countries and their assets. It includes all studies, information and mapping required to understand the disaster risk drivers and underlying risk factors (UNISDR).

**Disaster risk management (DRM):** the application of disaster risk reduction policies and strategies to prevent new disaster risk (e.g. better land-use planning or disaster resistant water supply systems), reduce existing disaster risk (e.g. retrofitting critical infrastructure or relocation of exposed populations or assets) and manage residual risk (strengthen resilience of individuals and societies, including preparedness, response and recovery activities and a range of financing instruments such as contingency funds, insurance and social safety nets) (UNISDR). The goal, or end result of DRM is disaster risk reduction[[2]](#footnote-2).

**Disaster risk management ecosystem:** A framework which promotes DRM as a network of organisms that interact in an ecosystem ranging from local to national levels and across state and non-state actors, rather than a more conventional approach centring on disaster management agencies. The ecosystems approach allows policy makers to view all stakeholders as a connected system where each component interacts with other components. Every organism or organisation in that ecosystem has a role to play in reducing disaster risk. Government organisations and institutions (such as relevant national ministries and disaster management authority) are equally important as other stakeholders including civil society, sub-national governments, the private sector and other parties including international humanitarian communities. Ultimately, grassroots organisations are integral part of a DRM ecosystem.

**Disaster risk reduction (DRR):** is the policy objective or goal of disaster risk management, and its goals and objectives are defined in disaster risk reduction strategies and plans which aim to prevent new and reduce existing disaster risk and managing residual risk, all of which contribute to strengthening resilience and therefore to the achievement of sustainable development (UNISDR).

**Early warning system (EWS):** an integrated system of hazard monitoring, forecasting and prediction, disaster risk assessment, communication and preparedness activities systems and processes that enables individuals, communities, governments, businesses and others to take timely action to reduce disaster risks in advance of hazardous events (UNISDR).

**Hazard:** a process, phenomenon or human activity that may cause loss of life, injury or other health impacts, property damage, social and economic disruption or environmental degradation. Hazards may be natural, anthropogenic or socio-natural in origin. Natural hazards are predominantly associated with natural processes and phenomena (such as earthquakes and cyclones). Anthropogenic hazards, or human-induced hazards, are induced entirely or predominantly by human activities and choices (floods and landslides can be categorised as anthropogenic hazards) (UNISDR).

**Resilience:** The ability of a system, community or society exposed to hazards to resist, absorb, accommodate, adapt to, transform and recover from the effects of a natural hazard (earthquake and/or tsunami) in a timely and efficient manner, including through the preservation and restoration of its essential basic structures and functions through risk management (UNISDR).

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| **Investment Design Title: Australia Indonesia Partnership in Disaster Risk Management** |
| **Start date:** March 2019 **End Date:** March 2024 |
| **Total proposed funding allocation:** $25million |
| **Investment Concept (IC) approved by:** Fleur Davies andJeremy Bruer **IC Endorsed by AIC:** NA |
| **Quality Assurance (QA) Completed:** Independent Appraisal |
| **Delegate approving design at post:** Fleur Davies |
| **Delegate approving design at desk/in Canberra:** Tom Connor |

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| **A: Investment Design Title: Australia Indonesia Partnership in Disaster Risk Management** |
| **Start date: March 2019 End Date: March 2024** |
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| B: Executive Summary |

Preventing, reducing and managing disaster risks can protect economies from unexpected shocks, safeguard assets and infrastructure to help rapid economic and social recovery, and protect human capital from loss of life, injury and long-term vulnerability. Indonesia faces high levels of disaster risk with approximately 90% of the population of 262 million exposed to a range of hazards including earthquakes, flooding, tsunami, volcanoes, forest fire, drought, epidemics and disease outbreaks.

Disaster risk management (DRM) is an Indonesian national development priority, a shared responsibility across all levels of government, civil society organisations (CSOs), universities, media, the private sector and communities. Indonesia has an active DRM “ecosystem” with a large range of state and non-state stakeholders engaged in disaster response as well as preventing and reducing risk. These stakeholders, including the Ministry of Foreign Affairs (MoFA), are also involved in responding to humanitarian crises in other countries.

The national and subnational disaster management agencies, BNPB and BPBDs, are important hubs in the “ecosystem” with responsibility to lead and coordinate disaster risk management, response and recovery in Indonesia. They have a challenging role in leading and coordinating the range of state and non-state stakeholders, as evidenced in recent disaster events in Lombok and Central Sulawesi. These recent experiences serve as another reminder for Indonesia of the importance of building community resilience to prepare for and respond to disasters.

DRM continues to be a critical development issue for Indonesia and over the years Indonesia has invested heavily in improving disaster response preparedness. While Indonesia has made progress in developing its DRM capacity there is still the need to strengthen DRM government structures and coordination between state and non-state actors in particular during the disaster response period.

The **Australia – Indonesia Partnership in Disaster Risk Management (AIP-DRM)** is a five year, $25 million investment and will be delivered from 2019 – 2024, with the option of a two year extension. The goal of the investment is to strengthen Indonesia’s management of disaster risk and engagement between Australia and Indonesia. The investment has both a domestic focus on improving Indonesia’s ability to prevent, prepare for, respond to and recover from rapid and slow onset disasters in Indonesia; and a regional focus to strengthen cooperation between Australia and Indonesia on regional humanitarian issues.

The investment responds to Government of Indonesia’s (GoI) and Government of Australia’s (GoA) policies and priorities. AIP-DRM supports GoI’s priorities under the Medium Term Development Plan (RPJMN 2015-2019), BNPB Strategy on Disaster Management (2015-2019) and Indonesia’s Disaster Management Master Plan (2015-2045). It will be aligned to future GOI priorities in DRM. The Australian Foreign Policy White Paper commits Australia to boosting resilience to natural disasters through the aid program.[[3]](#footnote-3) The program will support the Comprehensive Strategic Partnership between Australia and Indonesia, including through contributing to the enhanced economic and development partnership; securing our and the region’s shared interest; and contributing to Indo-Pacific stability and prosperity. AIP-DRM also responds directly to the Sendai Framework for Disaster Risk Reduction (Priority 2 and Priority 4). This investment design is the result of an extensive consultation and design process undertaken in partnership with GoI.

AIP-DRMbuilds on previous Australian assistance in DRM with a long-term partnership that will identify and pursue opportunities for organisational reform and implementation of Indonesian DRM policies and plans. Australia has the ability and relationships to work across the DRM ecosystem: at regional, national and sub-national levels. Working in this way enables engagement at the national level with BNPB, while also ensuring the investment delivers meaningful change to communities and deepens GoI-GoA relationships. The investment seeks to support implementation of GoI policies, program and plans rather than deliver a discrete set of program interventions.

**There are three pillars, each with an end-of-program outcome envisaged by 2024**

*Outcome 1: BNPB’s institutional capacity and organisational systems are strengthened resulting in better leadership in DRM (Pillar 1):* BNPB is instrumental in Indonesia’s DRM ecosystem because, by law, it serves as the national institutional hub for DRM. A Management Support Office (MSO), staffed by technical advisors and BNPB staff, will be located within BNPB and sit across all deputies to support senior management in change management, organisational reform and technical matters. BNPB staff capacity development and national policy and planning will also be supported. The capacity building will focus on fundamental issues such as coordination, logistics, reporting and assessment, in particular during the disaster period. It will support the further implementation of the National Disaster Response Framework (NDRF), including the role of BNPB and other national ministries under the NDRF.

*Outcome 2: Target provinces, districts and villages are better able to prevent, prepare for, respond to and recover from disasters (Pillar 2):* The program will reinforce and support Indonesia’s increasing prioritisation of local disaster risk governance and DRM including logistics management. It will target up to six provinces and selected districts and villages in each target province. The focus will be to provide capacity building support to BPBDs and their Emergency Operation Centres (pusdalops); to the community through civil society organisations (CSOs); and also to strengthen DRR platforms. This will include supporting the Minimum Service Standards (MSS) for Disaster and Fire Management and Resilient Village/City models.

*Outcome 3: Strengthened cooperation between Australia and Indonesia on regional humanitarian preparedness and response (Pillar 3):* The program will support Indonesia’s role in responding to international humanitarian crises and Indonesia’s support to regional resilience building and disaster prevention. It will build closer links between Indonesian and Australian humanitarian actors. This will include support to the capacity development of a pool of humanitarian staff surge capacity from relevant Indonesian agencies; and the formulation of the relevant policy and planning tools.

*Cross cutting themes: Strengthened learning, innovation and inclusion for DRM:* The program will support structured learning across BPBD capacity building planning; lessons from after action reviews, evaluations and other research; and documentation of the Resilient Village/Resilient City and other existing models. This may include support to policy and implementation of gender mainstreaming in emergencies and use of cash transfers in emergencies. Innovative ideas and models will also be explored to support DRM and climate change resilience. Gender and disability inclusion will be mainstreamed across all pillars, recognising both the specific experiences of women, people with disabilities and other marginalised people during disasters, as well as the value of including diverse voices in DRM leadership structures.

AIP-DRM will be implemented in accordance with the Australia-Indonesia General Agreement on Development Cooperation. The program will be subject to a single Subsidiary Arrangement with BNPB as the key Indonesian counterpart. The governance structure for the program provides for strategic engagement between GoI, DFAT and program partners. It will include a high-level Steering Committee co-chaired by GOI and GOA, supported by the Managing Contractor; and may include separate Technical Working-level Groups (TWG) for each pillar. The Steering Committee will meet at least annually and approve the annual work plans for each pillar.

A delivery approach will be used which combines a Managing Contractor providing technical assistance as well as direct grants to other partners. This approach allows flexibility in managing the range of government and non-government local partners necessary to achieve the outcomes sought under each program pillar. The Managing Contractor will play a critical role in program planning and implementation, monitoring evaluation and learning, gender and social inclusion technical advisory services across all partners, as well as financial management for advisory support and grants. Financial management of multilateral grant agreements will be managed directly by DFAT.

The Managing Contractor will require the personnel and systems to deliver flexible, adaptive programming that remains focused on the four end-of-program outcomes (three pillars and cross-cutting themes). The Managing Contractor will use a range of methods to test and adapt strategy and action in order to build on what is working and locally embedded, rather than rolling out an externally created blueprint for organisational reform and DRM. A close partnership between GoI, GoA and the Managing Contractor will enable the program to navigate complex dynamics of DRM policy development and public sector reform implementation. If the option to extend is exercised, new end of program outcomes will be agreed by the Steering Committee.

| C: Analysis and Strategic Context |
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### Country/Regional and Sector Issues

#### Disaster Risk Management

Preventing, reducing and managing disaster risks can protect economies from unexpected shocks, safeguards assets and infrastructure to help rapid economic and social recovery, and protects human capital from loss of life, injury and long-term vulnerability. Investing in disaster risk management (DRM) is good economics:

“Even the most conservative estimates suggest that $1 invested in disaster risk reduction activities saves up to $15 in response and recovery in the aftermath of a disaster” *DFAT Humanitarian Strategy 2016 pg. 12*

DRM can be understood as the plans and actions taken to prevent new disaster risk (e.g. better land-use planning or disaster resistant water supply systems), reduce existing disaster risk (e.g. retrofitting critical infrastructure or relocation of exposed populations or assets) and manage residual risk (strengthen resilience of individuals and societies, including preparedness, response and recovery activities and a range of financing instruments such as contingency funds, insurance and social safety nets).

The goal, or end result of DRM, is disaster risk reduction (DRR)[[4]](#footnote-4).

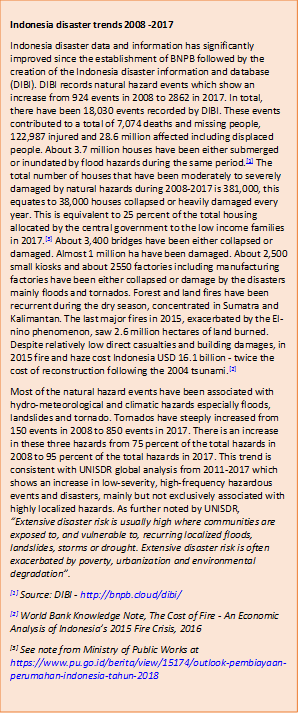
#### Indonesia Disaster Profile

Indonesia is located on the Pacific Ring of Fire and at the meeting points of three tectonic plates. This means Indonesia is one of the most volcano, earthquake and tsunami prone regions in the world. Over 90% of Indonesia’s 262 million people exposed to a range of hazards including earthquakes, flooding, tsunami, volcanoes, forest fire, drought, epidemics and disease outbreaks. As of October 2018, there were 21 active volcanoes listed at caution level or higher and hundreds of earthquake above magnitude 5.0 have been recorded in 2018 alone. Up to mid-September 2018, BNPB had recorded 1,230 natural disaster in 2018 that affected more than 777,000 people (note these figures do not account for Central Sulawesi disaster). The period 2013 – 2017 saw on average almost 3 million people affected by disasters each year.

Managing disaster risks and responding to disasters has been a national priority since the catastrophic 2004 Indian Ocean Tsunami which resulted in approximately 160,000 deaths, over 500,000 people displaced, and economic loss estimated at US4.5billion.[[5]](#footnote-5) Following the Indian Ocean Tsunami experience, Indonesia rapidly developed its own DRM and response capacities and become a global and regional advocate in the Asia Pacific region for better policy and action to reduce disaster risks.

The boxing-day tsunami experience also reshaped the global approach to disasters with a new recognition of the value of DRR, expressed in the first global action plan for DRR in 2005: the Hyogo Framework for Action 2005 – 2015. This has been reinforced and developed further through the second global action plan, the Sendai Framework for DRR 2015 - 2030. The Sendai Framework highlights the significance of effective DRM for a country’s development. Development gains are reversed by disasters – in Aceh post-tsunami the poverty rate increased from 28.4% to 32.6% while in the rest of the country the poverty rate was decreasing[[6]](#footnote-6). By reducing disaster risks and improving preparedness for hazards, countries can protect social and economic development. As a middle-income country and member of the G20, Indonesia is taking an increasingly prominent international role including through providing international humanitarian assistance.

In 2011, the then Indonesian President (Susilo Bambang Yudhoyono) was recognised as the UNISDR Global Champion for DRR[[7]](#footnote-7). In recent years, in the Asia-Pacific region Indonesia has responded to the Rohingya humanitarian crisis, Fiji and Vanuatu cyclones, and engaged in peace negotiations in Afghanistan. Indonesia has also provided assistance to Australia in response to fires and floods. Indonesia hosted the Asian Ministerial Conference for Disaster Risk Reduction (AMCDRR) in 2012 and currently hosts the ASEAN Coordinating Centre for Humanitarian Assistance on Disaster Management (AHA Centre). The AHA Centre facilitates coordinated disaster response and disaster management amongst ASEAN member countries. Indonesia influenced the development of the Hyogo and Sendai Frameworks and leads the Asia Pacific region in domestic implementation and reporting on the Sendai Framework. It was the first country in the region to present its baseline status report on implementation of the Sendai Framework at the Asian Ministerial Conference on Disaster Risk Reduction in 2016[[8]](#footnote-8).

While significant progress has been made since 2004, Indonesia’s ambition to significantly reduce the disaster risk across the country is still to be realised. While the country has grown its economic resources, translating these resources into effective DRM across the archipelago remains a challenge. According to Indonesia’s Disaster Risk Index (IRBI 2013) eighty per cent of the total 513 districts and municipalities have high to medium levels of disaster risk. Within these populations vulnerability to disaster is intensified for some people due to poverty and existing inequalities such as those based on gender, disability, age (elderly and children) and other factors such as sexual orientation. The disaster risk index does not yet account for these specific population vulnerabilities.

Indonesia regularly manages small scale disaster. Up to mid-September BNPB recorded 1,230 natural disasters in 2018 that affected around 777,000 people (note: these figures do not account for the Central Sulawesi disaster).

#### Indonesia’s DRM Architecture

Much effort has been made over the last 14 years to establish the DRM architecture in Indonesia. The Indonesia Disaster Management Law in 2007[[9]](#footnote-9) saw the establishment of the National Disaster Management Authority (Badan Nasional Penanggulangan Bencana - BNPB) in 2008. Preventing, preparing for, responding to and recovering from disasters is articulated as a national priority across government in the National Medium-Term Development Plan *Rencana Pembangunan Jangka Menengah* *Nasional* (RPJMN) 2015 – 2019. The plan recognises the links between DRR and mitigating and adapting to climate change.[[10]](#footnote-10) This plan identifies 136 high disaster risk municipalities and districts with high economic value, with a target of 30% reduction in high risk municipalities between 2015 and 2019. This is to be achieved through improved contingency planning based on accurate risk data, improving public awareness, school and hospital safety and increasing DRR capacity. DRM agencies have now been established in each province (BPBD) and in a majority of districts/municipalities. Achievement of other elements of the RPJMN 2015 – 2019 are to be evaluated, however there is consensus that DRM will need to continue to feature as a priority in the next National Medium-Term Development Plan (RPJMN 2020 – 2024).

A 30-year Master Plan for Indonesian Resilience (2015- 2045) is under development to coincide with the 100th anniversary of the creation of the unitary state of Indonesia in 2045. The focus of current and future efforts is on implementation of the legal and policy DRM framework, with a focus on protecting high economic growth areas from disaster risk. This will mean increased attention on risks associated with urbanisation, including planning, and the large population of urban poor with high levels of vulnerability during natural hazards. Integration of climate related risks into the DRM system is articulated in Indonesian policy, as illustrated by the prioritisation of climate related hazards such as forest fire and drought. Integration of climate *projections* into disaster risk mitigation and planning is envisaged in policy but needs to be translated into practice in many locations.

Indonesia has been successful in creating a culture of disaster awareness and response; Indonesians have some of the highest levels of personal giving in the world for disaster response. Faith based organisations such as NU and Muhammadiyah and those under the Humanitarian Forum Indonesia (HFI) as well as the Indonesian Red Cross (PMI) play a significant role in harnessing public support, delivering responses across the country and also building community resilience to disasters and climate change. These organisations operate both in Indonesia as well as in responding to international crises such as with the Rohingya Crisis or in Syria. Within Indonesia these organisations (and other domestic CSOs) are able to rapidly respond to disasters based on community need, rather than bureaucratic approval or declaration of emergency.[[11]](#footnote-11) They demonstrate good practices for community engagement, such as PMI village information boards that improved accountability during the Pidie Jaya response.[[12]](#footnote-12)

**Climate change and DRR in Indonesia**

A national policy agenda on climate change adaptation is outlined in the National Medium Term Development Plan for 2015-2019 (RPJMN 2015-2019). In 2016 Indonesia ratified the Paris Agreement (The United Nations Framework Convention on Climate Change) through the endorsement of Law 16/2016. In 2017 Indonesia completed its National Action Plan for Climate Change Adaptation (NAP-CCA) in 2017. The NAP-CCA planning process has involved 17 ministries such as Public Works, BNPB, BMKG, Bappenas, MoHA and MoH. The action plan focuses on five priorities: economic resilience (food and energy); sustainable livelihoods system; ecosystem resilience; specific vulnerable places such as cities, small islands and coastal areas; and supporting system. At this stage the proposed interventions have not been prioritised, and pilot projects are underway with local level intervention dominated by international support. There is limited awareness of climate change tasks, or linkages with DRR, amongst many national and local government officials, and NGOs.2 A National Climate Change Council was established in 2008 and reported directly to the Indonesia President. This was dissolved in 2015 and mitigation and adaptation tasks have been migrated to the Ministry of Environment and Forestry.

*1. Nugraha and Lassa 2018. “Towards endogenous disasters and climate adaptation policy making in Indonesia” Disaster Prevention and Management: An International Journal Vol 27 Issue 2 pp 228 – 242.* [*https://doi.org/10.1108/DPM-04-2017-0084*](https://doi.org/10.1108/DPM-04-2017-0084)

*2. Lassa and Nugraha 2015. “From Shared Learning to Shared Action towards sustainability: Experience from Building Urban Resilience in the City of Bandar Lampung, Indonesia”*[***Environment and Urbanisation***](http://eau.sagepub.com/content/27/1/161.full.pdf+html)*27(1):161-180 Sage*

Over the years Indonesia has regularly managed small scale disasters such as the Pidie Jaya earthquake and Mt Agung volcano crisis, where substantial surge capacity was provided through non-state actors including CSOs, the private sector and universities.

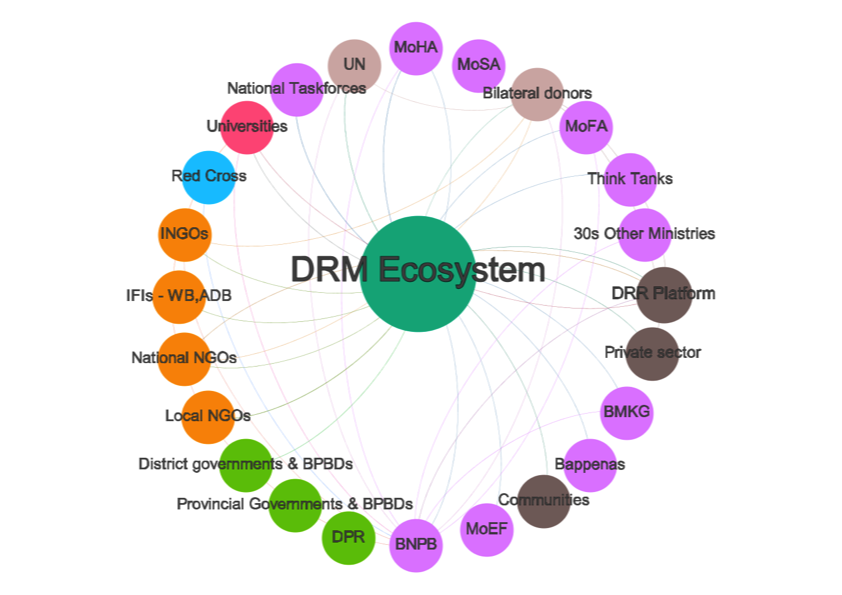
While international funding for humanitarian CSOs in Indonesia has declined in recent years, these domestic organisations are committed to humanitarian response and are an expression of the global humanitarian commitment to “localisation”. These strong local actors were key to the responses to disasters in Lombok and Central Sulawesi in 2018.

According to its organisational preamble, the National Platform (Planas) for DRR is a forum established to unite DRR stakeholders. Its functions include DRR campaigns, research, policy and advocacy, information management, and sharing and learning. The members include non-governmental organisations, universities, private sector, mass media, PMI, and other professional associations as well as ministries/agencies including BNPB. Since being formally established in 2009, Planas has facilitated the national action plan (NAP) for DRR. The NAP-DRR document for 2010-2012 was developed jointly by Planas, BNPB and Bappenas. From 2013 onward the NAP for DRR was integrated into RPJMN as a part of mainstreaming of DRR into government planning. This way Indonesia will only have 1 DRR document, instead of 2 separate ones.

While universities are engaged in the platform, there is limited information about Planas research activities and information management or knowledge sharing. Operational funding for Planas is insecure which makes it difficult to deliver fully on its functions. However, as a forum, Planas has been operating with regular regeneration of executive staff. At the provincial and district levels, there is lack of clarity on how local DRR platforms are formed and sustained, with a variety of organisational structures. Research shows that most platforms have been established in high-risk and frequently disaster-affected areas including NTT, Aceh, Padang and Yogyakarta.[[13]](#footnote-13) Individual leadership is often the key to the success of a platform’s program.

As a national development priority DRM has been embedded across government planning. 36 ministries and agencies have roles in DRM. Some of the key ministries, apart from BNPB, are: Bappenas with overall responsibility for national development planning and evaluation, including progress to reduce disaster risk; Ministry of Home Affairs (MoHA) with responsibility for sub-national administration including BPBDs; Ministry of Social Affairs (MoSA) responsible for protection and welfare, and with substantial humanitarian stores and a volunteer workforce; Ministry of Environment and Forestry (MoEF) for fire management, including firefighters around the country; Ministry of Health (MoH) responsible for disease outbreak management with a dedicated emergency health response unit; and MoFA responsible for helping manage international and bilateral offers and requests for assistance. The Indonesian military (TNI), is also a key actor during emergencies. This demonstrates the importance of DRM for GoI, as well as the challenge of coordination across different parts of government.

**Disaster risk management ecosystem:** A framework which promotes DRM as a network of organisms that interact in an ecosystem ranging from local to national levels and across state and non-state actors, rather than a more conventional approach centering on disaster management agencies. The ecosystems approach allows policy makers to view all stakeholders as a connected system where each component interacts with other components. Every organism or organisation in that ecosystem has a role to play in reducing disaster risk. Government organisations and institutions (such as relevant national ministries and disaster management authority) are equally important as other stakeholders including civil society, sub-national governments, the private sector and other parties including international humanitarian communities. Ultimately, grassroots organisations are integral part of a DRM ecosystem.



### Development Problem/Issue Analysis

Given the high levels of disaster risk for Indonesia DRM continues to be a critical development issue. While Indonesia has made progress in developing its DRM capacity there is still the need to strengthen DRM government structures and coordination between state and non-state actors, in particular during the period of disaster response. This becomes a real challenge when the country faces medium-scale disasters such as earthquakes in Lombok and Central Sulawesi in 2018. The Indonesian President and Head of BNPB were reported by the media following the Central Sulawesi and Lombok disasters as saying that further work was required in Indonesia’s disaster response standard operating procedures and agency coordination. Indonesia’s exposure to a wide range of natural hazards coupled with capacity constraints in disaster management mean that the risk of major disasters remains high.

#### Capacity of organisations and key stakeholders

BNPB is a relatively new organisation that has focused on building itself up and developing expertise in disaster response, and disaster data and information systems over the last 10 years. While mandated to coordinate and lead DRM and set policy frameworks, standards and training, in practice disaster response has taken priority. BNPB resources and senior management attention have been regularly drawn into directly responding to medium and small-scale crises at the cost of focussing on longer-term DRM work. This has reinforced perceptions of BNPB as an implementer of disaster response programmes rather than the coordinator and leader of Indonesia’s disaster preparedness and response framework.

The focus on disaster data and information has been an important piece of the DRM system during the current RJPMN and there is now capacity in BNPB to continue such work with the support of Universities and the private sector. There is an opportunity to improve data and logistics management systems in terms of incorporating information on social factors that can drive vulnerability such as gender, age (children and elderly), disability, ethnicity and other factors such as sexual orientation. The future challenge is to build sub-national capacity to use disaster science, data and tools alongside local knowledge of community vulnerabilities and strengths for better planning and disaster management.

The current situation can be viewed through the lens of progressive implementation of decentralisation in Indonesia, shifting power from Jakarta and central agencies to local government closer to the people. Part of this shift includes recognition that women, people with disabilities and other marginalised people are not only victims who require appropriate services. They are also active members of their community and the national society and economy who should have a say in decision making about disaster preparedness and response. Their inclusion improves the effectiveness of DRM and response.

BPBDs are very new organisations with staff drawn from other, more established provincial or kabupaten/kota agencies. While every province now has a BPBD and approximately 400 of 513 districts/municipalities have established BPBDs, staff turnover is high, and staff do not always have specific skills or knowledge in DRM. Training is provided to BPBDs, but this is of variable quality and relevance. Serving time in a BPBD can be seen as a stepping stone into another job and trained individuals move on. BPBDs have base funding for salaries and operations but struggle to secure funds from provincial and/or district budgets for programs. They rely on BNPB to access AU$500 million of on call funds for response and recovery. Another challenge is that fire management is the responsibility of separate agencies. There are a few examples of BPBDs that are building a professional culture and expertise, through good leadership and with the support of the provincial governor, such as East Java and South Sulawesi. These examples can provide valuable learning for other locations.

In 2019, in recognition of the challenges faced by BPBDs, the Ministry of Home Affairs (MOHA) will introduce Minimum Service Standards (MSS) for Disaster and Fire Management. These have the potential to lift the status and expectations of performance of provincial and district BPBDs. The MSS set out the requirements for district and municipal BPBDs and fire agencies to deliver services to citizens with respect to: disaster risk and hazards information; disaster prevention and preparedness; and disaster rescue and evacuation. 12 types of hazards are specified: Earthquake, Tsunami, Flood, Landslide, Volcano Eruption, Extreme Waves and Abrasion, Extreme Weather, Drought, Forest and Land Fires, Building and Settlement Fires, Epidemic and Outbreak of Disease, Technology Failure, and Social Conflict. The service standards require central agencies to support capacity development (this is generally BNPB but for social conflict MoSA coordinates, and for epidemics MoH coordinates). Provincial authorities should support capacity development and report on district performance. Implementation of the MSS will require increased budget allocation from district and municipal budgets, which is reportedly currently around 0.04% or below. While the MSS provides standards, measuring and achieving those standards will require significant capacity development and organisational change.

#### Coordination

There are currently three perceived coordination challenges to improve the development of DRM in Indonesia. First is the vertical challenge within BNPB. Second is the horizontal challenge at national level between BNPB, other Ministries, CSOs and other non-state actors, and development/humanitarian international partners. Third is a vertical challenge between BNPB and provincial and district BPBDs.

*Coordination within BNPB can be strengthened.* Enhanced coordination between the leadership of BNPB and the divisions, as well as within and between divisions can reduce duplication of efforts, improve learning and impact, and increase sharing of information and knowledge. For Indonesia, the management of a major disaster requires strong coordination within BNPB, enhanced cross-government coordination by BNPB, as well as more focused inter-ministerial coordination. This is particularly important considering the structure of various clusters/task forces during the disaster period. It also requires well-considered and effectively coordinated deployment of the full resources of national and sub-national governments, CSOs, private sector and development partners to the disaster zone.

BNPB has leadership of a national cluster/taskforce system (referred to henceforth as taskforces as per the National Disaster Response Framework (NDRF)), which has been developed by Indonesia based on experience with the international cluster system. There are seven taskforces led by various ministries but during the recent disasters (Lombok and Central Sulawesi) not all of those taskforces functioned efficiently or effectively and some were not activated. BNPB heads the logistics taskforce. The regulatory framework for this is under development. There is also a command structure the Government has developed, based on the Incident Command System (ICS).

There is an opportunity to strengthen BNPB’s role in coordinating the taskforces, including around developing SOPs (juklak and juknis) for each of the taskforces and lead agencies; regular meeting and capacity building of relevant stakeholders; and reporting and maintaining an overall view of the DRM sector. This is critical when preparing for, and during crisis response when national taskforces deploy and deliver important services with experienced humanitarian staff and well considered Standard Operating Procedures (SOPs). In addition, while there are regulations about how sub-national disaster response should be coordinated and draw on resources from multiple sources, there is still a gap between regulations and practice.

The Indonesia government is making significant effort towards bureaucratic reform, including in BNPB. International support to BNPB has tended to focus on technical and IT aspects such as disaster risk information and mapping, and training and there is now a recognition within BNPB and amongst development partners of the urgency to achieve organisational reform as the agency passes its tenth anniversary. New Zealand MFAT has assisted BNPB to develop a national disaster response framework (NDRF), which clarifies who should act and when. This document was formally handed over to BNPB in May 2018 after two years of gestation and consultation. The framework provides BNPB an opportunity to promote clarity of roles with BPBDs. The plan is for the framework to be translated into a Presidential or Government regulation. The drafting of these regulations may be delayed until after the general election in April 2019.

Organisational and professional development has been articulated as a priority challenge by the head of BNPB[[14]](#footnote-14). The organisation has many committed and energetic staff, including those with substantial experience working in Aceh and other disasters. To maximise the impact of these staff and BNPB, there is an opportunity to improve the internal systems, including business processes, performance management, professional development, information sharing; and gender equality. There are no women in senior management roles and no strategy for promoting gender equality in the workplace, despite formal commitments. The pool of dedicated junior female and male staff may, in time, achieve seniority and bring shifts to the organisational culture. This will need to be accompanied by changing practices with respect to training and promotion, and accountability.

The Disaster Management Steering Committee (chapter II, part 3, BNPB Laws) is tasked to organise the following functions: formulating the concept of policy on national disaster management; monitoring; and evaluating the implementation of disaster management. The members of the committee include 10 Echelon 1 of the Government Officials (nominated by the head of the government institution) and 9 professional community members (this could be representation from CSOs, think tank or academics). There may be some opportunities to assist the committee to better articulate and organise itself so in turn they can provide valuable inputs and recommendations to the head of BNPB, to whom they are accountable for. Other pressures for reform also come from other Ministries, and a recognition in some parts of BNPB leadership of the need to change.

There is now an array of responders to disasters in Indonesia – most recently demonstrated in the Mt Agung, Pidie Jaya, Lombok and Central Sulawesi responses – where all levels of government, national CSOs, the Red Cross, private sector, volunteers and locally based international NGOs all deployed human and other resources (including emergency response teams from international in the case of Central Sulawesi). ASEAN’s engagement has also increased with deployment of Emergency Response Assistance Team (ERAT) members in a learning capacity. The role of the international humanitarian system, including the UN, is adapting to provision of technical and standards support and advice to government counterparts rather than on-site implementation of humanitarian response activities.

As the lead for DRM in Indonesia, BNPB faces a major challenge of coordinating a range of government and non-government actors to work effectively together and supporting sub-national governments to do this for disasters that can be managed at district or provincial level. This requires different systems, skills and mind-sets as compared with delivering disaster response. The situation is similar with respect to building disaster resilience with many models of “Resilient Village” and CBDRM being promoted by different Ministries and NGOs. Another example is the using of different methods and tools to tracking logistics supplies during the emergency response period. There is a need to learn from the variety of approaches about what is effective and sustainable in addressing DRM and climate resilience, and then promote systematic application of flexible and locally-relevant models to all villages in each district.

#### Science, technology and innovation

Indonesia has developed its own disaster risk index – the IRBI - with data available to district level in 2013. The index measures hazards, vulnerability and capacity for response, though the vulnerability data does not take into account specific population groups. The index is likely to be revised for the new RPJMN (2020-2024), which provides an opportunity to better integrate data about gender, disability, age and other vulnerabilities.

Over the last five years Indonesia has developed a range of new technologies for early warning, risk assessment (e.g. InAWARE), disaster impact mapping (e.g. InaSAFE), tsunami early warning system (InaTEWS) and disaster management decision making, including through using open source platforms (Humanitarian Open Street Map team).[[15]](#footnote-15) These tools have substantial potential but are currently limited to use in urban areas mostly in Java. There is a need to expand their use as part of DRR and planning at provincial and district levels, most obviously to better integrate DRM into planning and infrastructure decision making. Also it is important to further apply those available tools such as InaSAFE by strengthening the links with the hazard information systems and participative mapping. While there is policy recognition of the value of DRM for promoting fair and equitable growth, translating this into practice beyond Java and major cities is a challenge, including because of low levels of computer and internet usage in district BPDBs.

#### Regional Ambition

Indonesia, as a disaster-prone country, has used humanitarian response along with other south-south cooperation initiatives as a means to leverage international cooperation. At present the Ministry of Foreign Affairs (MoFA) takes a responsive, ad hoc approach when requested to respond to a humanitarian crisis, though since 2010 a National Coordination Team for international assistance has existed, consisting of MoFA, the Ministry of Finance, Bappenas and the Ministry of State Secretariat. A priority for the Indonesian government is to get the process right among the related ministries.[[16]](#footnote-16) MoFA is in the process of establishing a single agency within the bureaucracy to coordinate and manage Indonesia’s foreign aid as a part of the country’s contribution to the achievements of SDGs.

CSOs (such as HFI and Indonesia Humanitarian Alliance) and PMI raise funding from the Indonesian public and deploy international humanitarian assistance with support of MoFA, for example assisting the Rohingya crisis in Bangladesh. There is interest amongst MoFA, CSOs and PMI in developing a more coherent approach. This could form part of the development of Indonesia’s aid program. A humanitarian strategy and operating system would enable MoFA to coordinate with other Ministries including BNPB to analyse humanitarian situations, identify needs and identify how Indonesia should respond. Alongside this strategic process would be a mechanism for deployment of assistance – like that currently being provided by HFI/IHA– based on international best practice including supporting localisation and coordination. This could also be done alongside the work of the AHA Centre, so that Indonesia may have both a bilateral response as well as a response with ASEAN.

### Evidence-base/Lessons Learned

*Previous programs*

From 2008 to 2015, Australia partnered with the Indonesian Government in a joint initiative (The Australia-Indonesia Facility for Disaster Reduction/AIFDR) totalled AUD67 million aimed to encourage the use of science and research to better identify areas most at risk of natural disaster. The Facility helped to reduce the impact of disasters by equipping the Indonesian Government with real-time data to inform decision making in a disaster, and included development of the InaSAFE online tool for disaster impact assessment. The Facility also provided support to Indonesia’s stand-by Rapid Response Team, by providing training, equipment and logistics. While the program has now completed, the Rapid Response Team is still in operation, and Indonesia continue to use the tools, including InaSAFE, developed with the Australian Government.

Following the closure of AIFDR, Australia’s aid contribution towards DRM continued with the following DRM commitments (2015 – 2018) totalled AUD17 million (this excludes emergency response supports to Central Sulawesi of AUD 10.25 million):

* Australian readiness, managed by the Embassy directly, to deliver appropriate and effective Australian humanitarian assistance to Indonesia. The Embassy maintained several response options to rapidly assist Indonesia following a humanitarian emergency.
* DMCreate (Disaster Management Capacity Development and Community Resilience) project, in partnership with BNPB and BPBDs in NTT and South Sulawesi, faith based organisations NU and Muhammadiyah, WFP and OCHA - supported GoI and community preparedness through DRM technical and institutional support and promoted an innovative approach to preparedness and partnerships.
* DMInnovation (Disaster Management Innovation) project, in partnership with Geoscience Australia, NGOs, universities and private sector, supported GoI to be better able to make informed DRM decisions by improving hazard information (earthquake, tsunami, flood and volcano), exposure mapping (buildings and key infrastructure) and disaster impact analysis using innovative tools and technology (e.g. InaSAFE).

These continued investments, following the drawdown of the substantial AIFDR program, were made in order to complete some of the critical work under AIFDR, as well as to maintain relationships with Indonesia’s disaster management organisations – both government and non-government.

*Lessons in DRM*

Australian and other donor investments in DRM in Indonesia have generated a range of insights and lessons. Recent Indonesian disaster responses, including the ones in Lombok and Central Sulawesi, have also benefitted from after action reviews. The lessons are presented below:

| **DRM Issue** | **Lesson** |
| --- | --- |
| DRM as a sector, or an ecosystem | Reducing and managing disaster risks required multi-disciplinary and multi-stakeholder efforts.[[17]](#footnote-17) No single agency can address all DRM challenges. Having a focused approach to solve a particular DRM challenge at local and/or national levels is important. However, too much focus on a particular agency while excluding other agencies can be counter-productive. There is a benefit to view DRM as an ecosystem because it allows a whole of government and civil society approach to DRM. Thus DRM should be seen as an ecosystem where all components are systematically connected and where every organisation/stakeholder in that ecosystem has a role to play in reducing disaster risk by interacting with one another. This include educating the community, as a crucial element of the ecosystem, so they will have some basic understanding or awareness on disasters risks reduction (i.e. how to react when tsunami hits their area). |
| BNPB accountability | Significant development efforts have been made to establish BNPB infrastructure and equipment, with a new central premises, and staff of approximately 500 people. Coordination, capacity building and community preparedness have received less attention from BNPB and there is a need to foster a culture of accountability for collective results and commitment to public service.[[18]](#footnote-18) A need for accountability is even more significant when a disaster happened.  BNPB has a crucial capacity building role with respect to BPBDs. For example, BPBDs require technical support on DRM planning and implementation, which should be aligned with the regional development plan. However, there is no regulated relationship between BNPB and BPBDs. Support provided by BNPB could be strengthened, including strengthening BNPB’s accountability for BPBD capacity development. |
| BPBDs capacity | Despite the fact that Indonesia is a disaster prone country, DRM is actually a new sector/portfolio for Indonesian government. It becomes a significant sector/portfolio since the boxing day tsunami in 2004. Before that, DRM is not even considered as cross cutting issue, such as gender for example. BNPB, the national agency for disaster management, was established in 2008 while most of the BPBDs (at provincial and kabupaten/kota levels) were established after 2009.  As other new agencies, the first generation of BNPB/BPBD staff were actually recruited without any background or experience in disaster and therefore have limited capacities and understanding on disaster management. Those staff are not sufficiently trained in disaster preparedness and response or familiar with the relevant regulations. When a disaster is declared at provincial or kabupaten/kota level, both district and provincial level have responded without adequate capacity. This results in poor use of resources, duplication of effort and instruction and consequent confusion during a response. |
| Role of Operations Centre Control for Disaster Response (Pusdalops - PB) | Pusdalops - PB is an element of BNPB/BPBD with a main role to lead the information and communication system in disaster response. This includes providing information on early warning, emerging risks, resource mobilisation and emergency response planning at provincial and kabupaten/kota level. Pusdalops – PB are the ‘backbone’ of disaster response and have a pivotal role with reliable communication links to national and district level authorities.  BNPB, with support from donors including Australia, developed Pusdalops in several provinces and districts. BNPB’s Data and Information Centre, with Australian assistance, has developed ICT systems that can support all Pusdalops. Guidelines and SOPs, as well as development of curricula and training programmes for further development of Pusdalops personnel, need to be enhanced and/or maintained to enable Pusdalops to fulfil their crucial role.[[19]](#footnote-19) |
| Coordination | Disaster is a multi-disciplinary event and therefore it needs many stakeholders to respond. In dealing with these stakeholders, coordination becomes a necessity. The division of functions and tasks between national, provincial and district agencies needs to be regulated clearly. Lack of clarity and coordination have resulted in multiple command posts at national, provincial and district level being created during disasters and support not being coordinated through a single response mechanism. There needs to be more clarity on the role of the Provincial BPBD in coordinating resources in the event that a disaster is declared at provincial level, and so forth. Knowledge/ information sharing and collaboration amongst stakeholders are crucially important in order to avoid duplication and to leverage impact of the response. |
| Planning and Budgeting | The National Government has shown its commitment to DRM through budget allocations. Government funding for DRM allocated through BNPB increased on average by 124 per cent per year between 2007 to 2012, from IDR 91.1 billion in 2008 to IDR 1.1 trillion**[[20]](#footnote-20)**. The portion of BNPB budget compared to the total of Ministries/Agencies allocation increased from 0.02% in 2008 to 0.2% in 2012.  Funding at district and provincial levels is hindered by local fiscal capacity and lack of technical inputs into planning and budgeting processes. Regional budgets are required to allocate 20% for education and 10% for health. The remaining budget is used to fund all sectors including DRM, with allocations estimated to be less than 0.04% for DRM.  A sizeable portion of sub-national budgets is allocated to administration and salaries. The current budget situation means that BPBDs have budget for personnel and operating costs, but insufficient budget to implement DRM programs. As a consequence, they rely on BNPB to implement national programs and activities, which do not always have local ownership.  Stronger technical inputs from BPBDs can result in better budget allocations. After a disaster, in the case of Lombok and Central Sulawesi for example, the affected local government will need to re-formulate their budget to focus on Rehabilitation and Reconstruction. Technical capacity strengthening for BPBDs and policy makers (including Bappeda, the Department of Finance and key parliament members) is critical to develop high quality and context specific plans and budgets. The MSS on DRM provides an opportunity to develop local capacity to influence budget allocations. |
| Data, science and tools | While high quality data tools, IT and science have been developed to enable risk and impact mapping, the uptake at sub-national levels has been variable and is dependent on the skills, capacity and resourcing in BPBDs. Also, it is important for BNPB, BPBDs, BMKG, BPPT and other related agencies to allocate sufficient budget for maintaining those tools and to provide some capacity to the staff to enable them to interpret the data provided by the tools.  On the other hand, it is also crucial to develop logistic management capacity of BPBD, PMI, local NGOs and other relevant agencies. A use of standardized tools to input the data into an integrated logistics management system using mobile phone for example will help the decision makers in understanding the kinds of logistics (food or NFIs) required, how much and by when. NGOs have taken up risk assessment and contingency planning for DRM. [[21]](#footnote-21) |

*Lessons in Public Sector Reform*

Public sector reform has been one of GoI’s top priorities since the start of the *Reformasi* era in 1998. Successive governments have recognised that an efficient and effective bureaucracy is necessary to improve service delivery, accountability and good governance. Indonesia has been incrementally reforming its public sector from the central to local level governmental institutions. Pilot projects for bureaucratic reform have been rolled out in central government institutions including the Ministry of Finance (MOF), the Supreme Audit Board (BPK), and the Supreme Court (MA). After partial reforms within several units under the Ministry of Finance, a fuller reform at the Ministry of Finance was officially launched in late 2006.[[22]](#footnote-22)

GoI has called for international development partners such as Australia, US, European Commission, IMF, and UNDP to support public sector reform in the last 10-15 years. Such calls have been well documented in the last ten years.[[23]](#footnote-23) As part of the public sector reform, improving accountability and service delivery in DRM is now essential to make progress. However, it should be noted that resistance to reform can be strong and progress is likely to be difficult and unpredictable.[[24]](#footnote-24)

Lessons from public sector reform programs in Indonesia provide insight into how changes can be supported in BNPB:

| **Public Sector Reform Issue** | **Lesson** |
| --- | --- |
| Program design | Working with reform-minded leaders through a flexible funding arrangement is more likely to succeed than delivering a range of predetermined capacity support programs.  A strong rationale for the program, clarity of objectives and a partnership approach is recommended to support flexible delivery to achieve results.  A clear governance structure can ensure a good match between resource allocation and program objectives, and also provide clarity over management arrangements.  Clear monitoring and evaluation arrangements can help improve the quality of the intervention.[[25]](#footnote-25)  Having a strong buy in from partner governments is a critical element for developing and implementing a development program. |
| Timing of support | International support prior to national elections can be a challenge as there is a limited window of opportunity for cooperation.  Trying to engage GOI officials in any design related activities (even for one meeting) during and/or after a disaster (no matter the scale of the event) could be a challenge. It is prudent not to have a tight time schedule when designing a program. |
| Multi-Partnership | Working with more than one GOI agency could be challenging but will ensure stronger support, leverage impact and provide bigger chance for sustainability.  Create some space to work with a specific agenda proposed by the relevant Ministries/Agency.  When working with sub-national governments work through MoHA as well as other ministries such as Bappenas.[[26]](#footnote-26) |
| Capacity development not substitution | Capacity development can be transformed into capacity substitution and dependency on external experts. This has been well observed in the case of UNISDR’s secondment to BNPB[[27]](#footnote-27), the AIFDR program[[28]](#footnote-28) and a recent experiment in BPBD capacity development supported by the USAID TATTs project[[29]](#footnote-29).  External technical assistance should be stationed at different levels from national and sub-national levels. Capacity substitution is a risk that should be managed, particularly in the early stages of the intervention.  Developing a staging approach for capacity development is recommended. For example, during the first three years one can focus on providing capacity building of local agencies while during the fourth and fifth years the focus could shift to coaching and mentoring plus refresher training, with an aim that by the end of the fifth year the local agencies could perform their roles independently. |
| Institutional instead of individual capacity building | A demand driven capacity development agenda can provide better outcomes. [[30]](#footnote-30) Lessons from previous DFAT support (e.g. AIFDR) suggest that despite clear benefits of new sophisticated science and IT technologies for DRM innovation, adequate adoption of such technology to actual daily DRM policy making and practice can only be sustained if there is genuine demand from policy makers. Other component needed is sufficient capacity of the staff to analyse the information provided by the technologies so that they can provide valuable inputs to the decision makers.  While sending staff for training abroad could, amongst others, boast their confidence the impact of conducting in-country training with more participants involved, followed by one-on-one coaching and mentoring, has proven to be more successful in increasing the capacity of the institution. This approach will sustain some capacity within the agency in the case of staff rotation. The legitimacy of institutional capacity building is crucial for sustainability of DRM reform. |

### Current Other Development Partners’ DRM programs

**StIRRD (NZAID) 2014 -2019**

The Government of New Zealand provides funding to Gajah Mada University and GNS Science to implement the Strengthened Indonesian Resilience Reducing Risk from Disasters (StIRRD) program in the provinces of West Sumatra (Padang City, Agam, and Pesisir Selatan), Bengkulu (Bengkulu City and Seluma), Central Sulawesi (Palu City, Donggala, and Morowali) and West Nusa Tenggara (Mataram City, and Sumbawa).

The program assists eight local governments to manage their own risks and improve communications at all levels of the community. In each district a BPBD-led action plan was developed, which describes the program targets for DRM institutions, budget, program, and human resources. Commitment and support from political leaders is crucial to ensure district policies and planning incorporate DRR action. Program activities include DRR training and visits for local government officials, parliament members and community leaders to comparable government structures in New Zealand. The program aims to benefit a total population of 3.75 million people through its engagement with related government agencies, universities, and private sector organisations.

**TATT (USAID) 2014 – 2018**

Working in eight provinces of West Sumatra, Central Java, East Java, Southeast Sulawesi, North Maluku, Maluku, West Papua and Papua, a consortium of actors consisting of Mercy Corps, Arbeiter-Samariter-Bund, Lingkar Association, Cardno, and University Forum for DRR implements the USAID-funded Technical Assistance and Training Team (TATT) program.

With provincial BPBDs as the main counterpart, the TATT program aims to increase disaster management capacity by strengthening the BPBD coordination role and inclusive DRM services, as well as institutionalising a training program.

The program is likely to be extended and scaled up to cover slow onset disasters and recurrent land fires, strengthening linkages to the US Forest Service-managed Incident Command System program.

**APIK (USAID) 2015 – 2020**

Partnering with the Ministry of Environment and Forestry and BAPPENAS at the national level as well as related offices at sub-national level including BPBDs, the USAID-funded APIK program (*Adaptasi Perubahan Iklim dan Ketangguhan* or Climate Change Adaptation and Resilience) focuses its work on:

* integration and coordination of Climate Change Adaptation and DRR into policy
* enhancing sub-national government and community resilience to climate change and weather-related disasters
* strengthening climate and weather information services
* awareness and capacity development for private sector organisations
* sharing lessons learned and successful CCA and DRR implementation models with wider stakeholders.

APIK assisted provinces are East Java, Southeast Sulawesi and Maluku.

**JICA** support to Indonesia is largely channeled through the Ministry of Public Works and BNPB. At the sub-national level, it assists the capacity building of targeted district or municipality BPBDs in collecting disaster information, the preparation of disaster risk mapping, and the development of local Disaster Management Plans. The simulation of disaster management is also supported in pilot provinces and districts. JICA is currently renewing its capacity building project in BNPB and is considering focusing on information management and support to early warning systems.

**WFP** supports BNPB to develop the National Logistics System on Disaster Management by building on its global humanitarian logistics practices and engaging the private sector and relevant GoI institutions. WFP also supports the improvement of GoI food security early warning and monitoring systems and nutrition-sensitive social protection programs.

**OCHA** supports the GoI to enhance its coordination structure, including on civil-military coordination. It convenes the Indonesia Humanitarian Country Team agenda, which aims to maintain preparedness to assist disaster affected people and support the GoI during a major humanitarian crisis triggered by a large-scale disaster. OCHA also supports country and regional disaster response exercises. Together with WFP, IFRC and some other actors, OCHA facilitates government work on cash transfer programming, that is co-led by MoSA and BNPB.

**UNFPA** has a humanitarian focus in its programs on gender-based violence, reproductive health, youth and adolescents and population and data utilization. UNFPA assists the GoI to have timely and accurate demographic data and information on disaster management, particularly for disaster preparedness and response. It advocates for the availability and use of disaggregated data (sex, age and vulnerable groups) for good quality needs analysis and response planning. UNFPA promotes robust cooperation between BNPB and BPS (Central Agency on Statistics) on disaster-related data. UNFPA is active in the Gender and Protection and Health Taskforces, including policy and SOP development and training at national and sub-national levels, and supporting implementation of SOPs during disaster responses[[31]](#footnote-31).

### Strategic Setting and Rationale for Australian/DFAT Engagement

The Australian Foreign Policy White Paper (the White Paper) identifies partnerships with Indo-Pacific democracies including Indonesia as of “first order importance to Australia, as major bilateral partners in their own right and as countries that will influence the shape of the regional order”.[[32]](#footnote-32) The White Paper acknowledges that Indonesia is a leader in the region, including through ASEAN, as a G20 member, and is the world’s largest Muslim majority country. Australia works with Indonesia to support and protect a rules‑based regional order. The White Paper also highlights Australia’s commitment to boosting resilience to natural disasters through the aid program.[[33]](#footnote-33)

Indonesia’s economic prosperity and stability is important to Australia, and through development assistance Australia is committed to Indonesia’s efforts to tackle inequality and maintain stability. The Indonesian Government has acknowledged the risk to economic independence and stability created by natural hazards, and accordingly prioritised and mainstreamed DRM into national planning.

Strengthening DRR and supporting preparedness and response are two of the four priorities articulated in the Australian Government Humanitarian Strategy (2016). The strategy also emphasises the importance of addressing gender equality, disability inclusion and protection, which have been neglected in the global humanitarian system and require greater efforts in Indonesia.

Improvements in Indonesia’s preparedness and response capability for disasters promotes Australia’s national interest through helping to safeguard Indonesia’s economic growth and stability, and protecting Australia’s other economic, social and development investments. Under the Comprehensive Strategic Partnership between Australia and Indonesia (2018), Australia and Indonesia have committed to increase readiness to assist following a natural disaster; and to strengthen collaboration in responding to humanitarian crises in our region.

Australia continues to be a trusted partner during humanitarian crises, able in recent times to provide assistance through local CSOs and the Indonesian Red Cross, as well as through provision of direct support coordinated by the Australian Embassy in Jakarta as occurred during Central Sulawesi earthquake and tsunami. Australia and Indonesia have a history of providing support to each other when it is most needed. Australia’s DRM program provides the knowledge and relationships that enable Australia to respond effectively in times of need.

This investment also proposes a partnership with Indonesia for joint humanitarian cooperation in the region, a relationship which recognises the value and skills of each of the partners and maps out an approach to working together to build regional humanitarian capacity. This represents a distinct shift in Australia’s relationship with Indonesia, with clear recognition of Indonesia’s growing influence and leadership in the region. Valuable relationships can be created, deepened and strengthened through this regional humanitarian work.

The Australia – Indonesia Partnership in Disaster Risk Management(AIP-DRM)is focused on bringing about development outcomes which improve Indonesia’s DRM capacity, by working across the DRM ecosystem. Australia has the ability and relationships to work across the DRM ecosystem: at regional, national and sub-national levels and with government, civil society, think tanks, media and other non-state actors. Working in this way can also manage risks at national level, while ensuring the investment delivers meaningful change to communities and builds GoI-GoA relationships.

A program of long-term assistance has the opportunity to identify and pursue opportunities for reform. This investment builds on the strong and long-term partnership with BNPB and will build on past achievements by strengthening the implementation of policies and regulations, the use of DRM tools and by addressing constraints to effective DRM planning and response in Indonesia. Australia will support Indonesia’s increased capacity, with an effective DRM system engaging all levels of government and civil society. It will support strong collaboration between BNPB and other government Ministries and civil society organisations, think tanks, the private sector and other donors.

Alongside this, the program builds on Indonesia’s growing capacity and recognition as a regional leader, by developing an active partnership to share knowledge and operational experience to respond to regional humanitarian crises. The burden of regional humanitarian response can also be shared.

The logic of this program has been built around supporting the DRM ecosystem where GoI, CSOs, private sector and international partners coordinate to deliver on their DRM priorities. This logic facilitates Australia-Indonesia links, knowledge sharing and exchange at the operational level for regional humanitarian action. Through the program it is expected Australia will be well positioned to support Indonesia during a medium or large scale disaster. The investment will provide the knowledge and relationships that enables Australia to respond effectively in times of need.

### Innovation and Private Sector Engagement

#### Innovation

The investment presents an innovative approach to partnership, one of equal partners working together on regional humanitarian issues. This engagement (pillar 3 refers) is directly with Indonesia’s MoFA, in consultation with BNPB, and will assist them to systematically draw on expertise and resources amongst Indonesian CSOs, PMI and government disaster authorities.

In its domestic focus the investment adopts multiple modalities, in recognition of the range of institutions that have to be engaged to support the further steps required for development of an effective DRM ecosystem. This approach also provides flexibility to scale up or scale back assistance, based on commitment and progress in a particular organisation. The multiple partnerships will allow Australia to engage at all levels of the DRM eco system and recognises that institutional reform is not just about agency internal operations but can influence and be influenced by other parts of the ecosystem.

The investment is designed to support adaptive programming, with close political attention to opportunities for reform, building on good practice and sharing experiences across organisations silos.

#### Private Sector

There is increasing global recognition of the important role the private sector is playing in responding to disasters, supporting recovery and also reducing risk and preparing for disasters. Indonesia has a growing private sector fuelling economic development, and the role of private sector is clearly stipulated in the Disaster Management Law No. 24 / 2007. The private sector has been an important responder to disasters, providing supplies, equipment, volunteers and logistics support. This has been largely done in a voluntary capacity as shown during Lombok and Central Sulawesi crises in 2018. There are also examples of businesses engaging in specific programs, including through agreements with NGOs. The private sector is a long-standing contractor providing logistics, goods and supplies to GoI, UN and other responders during a disaster[[34]](#footnote-34). Some new forms of engagement are being explored by GoI and other stakeholders including disaster risk management and financing, as discussed during IMF – WB Annual Meeting in Bali this year, and cash transfer mechanisms[[35]](#footnote-35). In the case of forest fire, BNPB has benefitted from private sector services through long-term agreements.

Through AIFDR, BNPB piloted some private sector engagement through Public, Private & People Partnership (P4). These focused on the inclusion of private sector organisations into local DRR platforms, for example in South Sulawesi local media company engagement with the DRR platform was particularly high. In Jakarta, the DRR forum attracts the private sector to engage in disaster related campaigns, such as disaster education and clean water. AIFDR also contributed to BNPB’s development of policy that promotes private sector engagement and development of a private sector directory. BNPB has increased cooperation with private sector organisations at national level through signing of MoUs with these organisations. BNPB also has a dedicated desk responsible for private sector engagement. Despite BNPB efforts, coordination of the private sector during a response remains a challenge, as noted recently in Pidie Jaya, Bali, Lombok and Central Sulawesi.

There are two other areas that require strengthening. First, there is lack of information on private sector’s real contribution to DRR beyond philanthropy support after disasters. Second, there is also lack of documented cases on private sector contribution to DRR beyond the utilisation of assets after disasters at local level.

The investment includes support for DRR platforms at sub-national and national levels, which provide opportunities for cross fertilisation and learning between CSOs, the private sector, government and development partners. There is potential for the private sector to play a greater role in DRR for example through infrastructure and planning processes.

| D: Investment Description |
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This section describes the AIP-DRM and covers the following:

* Program goal and outcomes (pillars)
* Program logic, scope and change pathways for achieving the outcomes
* Key assumptions underpinning the program logic
* Delivery approach for the program
* Resources required for the program

### Program goal and outcomes

The overarching goal that the investment will contribute to is:

To strengthen Indonesia’s management of disaster risk and engagement between Australia and Indonesia.

The investment has a:

1. domestic focus on improving Indonesia’s ability to prevent, prepare for, respond to and recover from rapid and slow onset disasters in Indonesia; and
2. regional focus to strengthen cooperation between Australia and Indonesia on regional humanitarian issues.

The investment supports Australia and Indonesia’s Comprehensive Strategic Partnership and responds directly to Sendai Framework Priority 2 (strengthening disaster risk governance to manage disaster risk) and Priority 4 (Enhancing disaster preparedness for effective response). After five years successful change would include the following end of program outcomes (EOPOs):

1. BNPB’s organisational systems are strengthened resulting in better domestic leadership of DRM.
2. Target provinces, districts and villages are better able to prepare for, prevent, respond to and recover from disasters.
3. Strengthened cooperation between Australia and Indonesia on regional humanitarian preparedness and response.
4. Strengthened learning, innovation, cooperation and inclusion for DRM.

In order to achieve the goal, the ongoing commitment and engagement of GoI is necessary and this will be maintained and strengthened through continued discussion and engagement with all relevant stakeholders, both government and non-government players. The investment provides catalytic support for implementing the GoI’s DRM and regional humanitarian policies. A partnership approach to delivery and the recruited team to deliver the set approach will be critical to ensure the program continues to get the buy in from both GOA and GOI and to address GOA and GOI priorities.

This design has been developed in collaboration with participating government ministries (BNPB, Bappenas, MoFA and MoHA) through a program logic workshop and consultations before, during and after the design mission. Additional focus on partnership development will be carried out in the first 12 months of implementation to ensure investment activities are formulated alongside the specific GoI ministries priorities, implementation plans and timeframes. Similar method and approach will be used at provincial and district levels.

Figure 2 below presents the overarching goal that the investment will contribute to, end-of-program outcomes along with examples of the changes expected in these outcome areas at national and sub-national levels. Outcome 4 is an enabling outcome that underpins and supports the other three outcomes.

**Figure 2: AIP-DRM Goal and End of Program Outcomes**



### Program logic and scope

The program will be implemented at the national and sub-national levels with a mix of government and other partners including national NGOs and follows on from previous phases of Australia’s aid investment in DRM in Indonesia.

At the national level the program will principally engage BNPB, supporting organisational reform (pillar 1 refers). It will also engage other government Ministries that play leading roles in strengthening DRM at national and sub-national levels including Bappenas and MoHA (pillar 1 and 2 refers). CSOs will be supported and donor coordination will feature. Strengthening cooperation between Australia and Indonesia on regional humanitarian responses is a new area of work which seeks to build on and formalise recent collaborations between the GoI and GoA. The program will principally work with MoFA and BNPB in this area (pillar 3 refers).

At a sub-national level, the program will be implemented in six provinces engaging local government and CSOs at provincial, district and village / community levels (pillar 2 refers). It will largely support development of provincial and district BPBDs, including the pusdalops, and CSO programs to build community-based DRM, including the expansion of Resilient Village programs into additional communities.

This scope presents particular challenges for developing a cohesive program logic, due to the varying levels of interest in and ability of government actors to lead reform, and the differences in levels of capacity and operating contexts within and amongst provinces. Strengthening BNPB’s institutional capacity may take more time if the government’s appetite for, and resource commitment towards reform is low, or less time if these factors are high. Similarly, program activities will not be undertaken uniformly across targeted provinces and must be tailored to the needs, capacities and stakeholders present in each locality. Thus, while the goal and specific outcomes expected by the end of the investment are known, the exact activities through which outcomes can be achieved will need to be progressively determined according to the needs, preferences, changing contexts and opportunities for change. The program logic must therefore accommodate activities that support and engage a variety of stakeholders using an adaptive programming approach, seizing opportunities for change as they emerge, and discontinuing activities if they are not gaining traction, rather than rigidly implementing a set of pre-determined activities.

Change pathways have been identified, which at the program start are assessed as likely to lead to end-of-program outcomes. These are outlined below in “Change Pathways and Key Activities”. The four sets of outcomes are designed to be mutually reinforcing, with the links between outcomes outlined below under Change Pathways. Under the first three end-of-program outcomes, a set of immediate (12 months), intermediate (3 years) and longer-term (5 years) outcomes have been identified (see Figure 3 below).

#### Immediate outcomes

It is expected that in the first 6 months of the program, the Managing Contractor will recruit staff, establish the Program office, lead the establishment of an Management Support Office (MSO) within BNPB, recruit advisers for target provinces and carry out more detailed design research and consultations to refine, and agree on the suite of activities recommended in this design according to GoI needs and preferences. This first year will also coincide with GoI planning for the next national medium-term development plan (2020-2024) and the BNPB strategic plan. Concurrently the Managing Contractor will establish grant agreements with NU, Muhammadiyah and others as required, and provide management support for grants to OCHA and IFRC which will be directly contracted by DFAT.[[36]](#footnote-36)

#### Intermediate outcomes

A set of intermediate outcomes have been identified as represented in Figure 3. Their achievement will be strongly influenced by government partner engagement which will determine the level of progress made. Intermediate outcomes are the necessary preconditions for achieving the end-of-program outcomes, as represented by the arrows between different levels of outcomes in Figure 3. It is expected that, by mid-way through the program (3 years), considerable progress will have been made towards the achievement of end-of-program outcomes. The extent to which the program has facilitated intermediate outcomes will be assessed during the mid-term review (MTR) which will be conducted halfway through the program. Indonesian ownership of the program will be reinforced through this joint reassessment as part of the MTR.

#### More detailed EOPOs

Figure 3 below provides a more detailed description of the changes expected at the end of the program encapsulated by the four EOPOs which are relatively high level. More detailed EOPOs are a continuation and deepening of the intermediate outcomes. For example, they depict how initial improvements in capacity achieved at a mid-way point are expected to be applied and become sustainable by the end of the program, and how pilot systems trialled in the first phase are to be adopted and integrated in the second phase. The extent to which the program has facilitated these more detailed EOPOs will be assessed during the final program evaluation to be undertaken around the conclusion of the program.

This approach provides a road map from which to plan future action on a rolling basis through a process of joint negotiation and refinement throughout the program. This built-in flexibility is considered essential to the success of the program. It is expected the Managing Contractor and partners develop more detailed outputs and outcomes to be achieved each year that align with this program logic. As part of this process, there is need for the Managing Contractor to clarify what associated processes and outcomes must also be achieved by government for this investment to be successful and for significant activities to be sustainable beyond program duration. In the context of a 5-year timeframe, this program logic will need to be revisited and refined by the investment’s Managing Contractor, GoI and CSO partners and DFAT. Refinements will need to reflect implementation lessons and progress, changes in the political context within Indonesia at national and sub-national levels, and the emergence of new opportunities and challenges.

Refer attachment 2 for indicative activities.

**Figure 3: Program Logic**

#### CHANGE PATHWAYS AND KEY DELIVERABLES

**Pillar 1: BNPB organisational systems strengthening**

BNPB is instrumental in the Indonesia DRM ecosystem because it serves as the national institutional hub for emergency management and DRR. The investment will continue to support the ongoing institutional strengthening of BNPB. This Pillar will also support BNPB capacity development.

The program will **assist BNPB to develop and implement its 2019-24 Strategic Plan** which is a crucial and strategically important process for the agency. Activities under this pillar should be re-aligned one-year into the partnership to complement and align with BNPB’s 2019-24 Strategic Plan.

A Management Support Office (MSO) located within BNPB, sitting across its deputies, will **spearhead change management and organisational reform**. It will provide technical support to strengthen critical areas of BNPB’s functionality in line with its mandate including coordination, strategy setting, policy, procurement, knowledge management and communications.

One of the core areas of work under Pillar 1 is to **strengthen BNPB’s capacity to support inter-ministerial coordination for DRM** as articulated in the Disaster Management Master Plan 2015-2045 (RIPB), and the 2015-19 BNPB Strategic Plan. The Management Support Office (MSO) will provide technical support to BNPB to improve coordination skills and systems within BNPB to support the functioning of national inter-ministerial taskforces/clusters. It will assist BNPB to plan and facilitate effective and regular taskforce/clusters meetings and undertake strategy and policy setting exercises, information sharing and reporting. At a mid-way point, it is expected that regular and productive taskforce meetings take place which are of value to participating ministries, CSOs and private sector. Over the remaining phase of the program, it is expected that regular coordination meetings result in an improved capacity for coordinated national disaster planning and response.

It will **support BNPB’s procurement systems in emergencies**, including reviewing implications for the procurement regulation reform. It will assist BNPB to explore the role of international support in Indonesia before, during and after disasters, taking into account the most recent disaster events in Lombok and Central Sulawesi.

The Management Support Office (MSO) will also have a focus on **assisting BNPB to embed the tools, maps and science products** developed under Australia’s Science-DRM program and other programs into their systems and processes. In the area of knowledge management, it will assist BNPB to continue to integrate these tools and products into its planning, information sharing and sub-national government technical support programs. BNPB will be supported to maintain coordination with science agencies engaged under the Science-DRM program such as the Meteorology and Geophysical Agency (BMKG), the Indonesia Geological Survey (Badan Geology), Centre of Volcanology and Geological Disaster Mitigation (PVMBG), Technology Assessment and Application Agency (BPPT) and the Indonesia Science Agency (LIPI) to ensure contemporary developments in hazard mapping information and technology continue to inform the GoI’s preparedness and response systems.

**Stronger knowledge management systems** are expected to result in BNPB providing an improved quality of information, tools, technical assistance and communication to BPBDs and its pusdalops which in turn strengthens the DRM capacity and performance of BPBDs and other stakeholders at the sub-national level. Program support in this area seeks to address some of the challenges related to the limited use of tools outside of urban areas in Java and assist BNPB to develop a plan on how to expand the use of those tools and to ensure budget availability for maintaining them as part of DRR and planning at provincial and district levels.

Another core component of support is to improve BNPB’s coordination and knowledge management functions as they relate to donor engagement on DRM. The Management Support Office (MSO) will assist BNPB to **establish a coordinated process for BNPB to seek donor support in implementation of BNPB’s and GOI’s programmatic priorities and ways to track, measure and evaluate these supports**. This area of work will also enable the investment to explore synergies and opportunities for alignment with other DRM donor programs throughout the program period.

The Management Support Office (MSO) will be a permanent structure that will strengthen core functions of BNPB rather than establish new functions. This will involve technical advisors performing some key functions in addition to playing advisory roles to support the establishment of new processes (or refinement of the current process) and to get the necessary buy in from relevant BNPB management to implement those new/updated processes. This will be the focus during the first half of the program. It is expected that advisors work closely with BNPB counterparts to ensure all new/refined processes are sustainably transitioned to BNPB, discontinuing the need to retain a donor funded MSO beyond program’s completion. This way the Management Support Office will remain after the life of the program, managed and funded entirely by BNPB.

This Pillar will also **support BNPB’s internal capability development**, including through review of BNPB’s staff capability and development requirements and support for training, workshops, internships and study tours. This will also be supported through Australia Awards Scholarships for masters and PhD programs as well as Australia Awards Short Courses for BNPB staff. Australia and BNPB will nominate applicants each year for Australia Awards scholarships and will work together on potential short course topics. There is also scope to strengthen linkages with Australian counterparts outside DFAT.

These program activities will assist BNPB to increase its focus on longer term DRM work and strengthen its role as a coordinator and leader of disaster response (a focus BNPB has not yet fully developed due to the challenges described in context section above) and address horizontal challenges at national level between BNPB, other ministries, CSOs, other non-state actors, and development/humanitarian international partners.

**Modality**

Pillar 1 will be delivered through technical assistance located in a Management Support Office (MSO) in BNPB premises, which should also include BNPB staff. It is expected that Management Support Office function remains the same but the costs and structures should be absorbed into BNPB in the final year of the program. Technical assistance will include an international and two national DRM Advisers and a range of short term advisors in strategy and policy development, coordination, communication, knowledge management, organisational planning and monitoring as required. It will also be delivered through training, workshops, internships, study tours, mentoring and coaching and other mechanisms where relevant.

**Pillar 2: Sub-national DRM capacity and community resilience**

Pillar 2 aims to improve the local DRM ecosystem by building the capacity of sub-national government, and the ability of affected communities to prepare for, respond to and recover from disasters. The objective will be achieved by using an integrated strategy for DRR. This will ensure similar understanding of what has to be done by whom and when, and will avoid duplication or overlapping of actions. This investment will also reinforce and support Indonesia’s increasing prioritisation of decentralised DRM including through supporting effective implementation of MSS in DRM at the local level.

This pillar features a set of three mutually reinforcing components implemented in the same target provinces:

1. capacity building support to BPBDs and their Pusdalops;
2. capacity building support to communities through CSOs; and
3. support to strengthen DRR platforms at the local level.

This approach aims to produce impact by implementing a set of coordinated activities which build on gains made through previous DRM work and leverages DFAT’s other programs implemented in the same localities including social protection (cash for emergencies), health security (disease outbreak), MAMPU (gender and social inclusion), environmental governance (climate related hazards) and KOMPAK program.

BPBDs have responsibilities to manage epidemics and other health disasters, along with health authorities and this program can work with DFAT’s health security program in target locations. KOMPAK supports effective decentralisation including planning and budgeting, and this program can draw on KOMPAK’s expertise in the target locations. As outlined under Outcome 4 (cross-cutting themes), documentation of learning and results in this area is essential so that the program can provide models that can be adopted and replicated by government and CSOs.

Target provinces of South Sulawesi, East Java, Bali and up to three other provinces to be determined in consultation with GOI are based on three criteria: high disaster risk districts or municipalities; synergies with DFAT programs and interests; and potential for learning between higher and lower capacity locations. While up to six provinces will receive long-term advisory support through the program, there are also opportunities to work with other provinces to share models and policies developed in the six target provinces. For example, on fire management, there might be opportunities for target provinces to hold joint workshops or trainings involving other provinces with similar hazard risks to help promote learning.

Program activities aimed at strengthening sub-national government capacity directly align with upcoming national government priorities to communicate and support the effective implementation of the MSS on DRM recently developed by the government. In supporting MSS implementation, a work plan will be developed in line with Disaster Management Plan document of the respective province. Technical assistance will be provided to BPBDs and their Pusdalops in the (up to) six target provinces to develop their DRM capacity including through support for the implementation of the MSS. Indonesian technical advisers will be selected by the program in conjunction with BPBD and BNPB representatives. When developing a set of work priorities for targeted provinces, the disaster risk map of the respective locality will be taken into consideration.

Program support to BPBDs seeks to address gaps in their capacity as outlined in the context section above which highlight the need to build a more professional culture and greater DRM specific expertise among staff. It will strengthen disaster risk governance in the targeted provinces, taking into account local context, and assist BPBDs to meet performance expectations introduced through the MSS, which require significant capacity development and organisational change.

*Capacity building support to BPBDs and their Pusdalops*

It is envisaged that two advisers will work in each province to enable coverage at province and district levels. Depending on local context and capacity, the program may not cover the whole districts/municipalities within the targeted provinces and such decision will be made in consultation with GOI. This advisory support will be reduced at the mid-term of the program (and potentially earlier for South Sulawesi as advisers have been placed for 12 months under the 2015-2018 Australian investment) to manage risks of capacity substitution. The program will also explore an arrangement for BNPB junior staff to be deployed with experienced advisers, and for BPBD officials to undertake internships at BNPB, in order to build BNPB linkages with the provincial and district BPBDs and to build the capacity of BNPB junior staff to provide ongoing advisory support to BPBDs.

Given the diverse contexts and levels of capacity within each locality it is expected that in the first year adviser recruitment will be followed by a consultative process including situational analyses and assessments to develop locally owned response frameworks and capacity building plans. A common planning framework, developed in consultation with BNPB, should be utilised across the program. The subsequent two years of program implementation will include the development of SOPs, and strengthening of staffing capacity, stability and systems as identified in capacity building plans. It will support effective implementation of MSS in DRM at the local level. This will include an assessment of the capacity and business process of targeted BPBDs to understand any gaps in the implementation of the MSS on DRM and help to establish a path forward. At a mid-way point, it is expected that clear progress is made in relation to targets set specific to each BPBD, commensurate with their context, baseline capacity and resources. Technical assistance will be lightened in the third year to prevent the program’s technical assistance from being used as capacity substitution, with ownership for capacity building transition to local government. An activity budget will be allocated for the remaining period to support BPBDs in key areas including multi-stakeholder disaster simulations which are a key way in which the program will assist BPBDs to plan, lead and coordinate.

Program support to BPBDs seeks to address gaps in BPBD capacity as outlined in the context section above which highlights the need to build a more professional culture and greater DRM specific expertise among staff. It will also assist BPBDs to meet performance expectations introduced through the MSS, which require significant capacity development and organisational change.

*Capacity building support to communities through CSOs*

The program will support communities including women, men and children (with and without disability) to have improved access to information, tools and practices that enable them to better prevent and respond to disasters. This will be primarily achieved through increasing the coverage, effectiveness and sustainability of Resilient Village models, currently implemented by various organisations across Indonesia. Resilient Villages builds on existing community capacity to address climate adaptation, DRR and preparedness for all members of the village. In consultation with GOI, PMI, NU and Muhammadiyah have been identified as partners as they are the major national humanitarian organisations, with established links for both disaster response and preparedness. A key element of support to these organisations will be to understand how gender and disability inclusion has been advanced to date and how this can be accelerated through program support, for example through supporting women’s leadership within their community in both disaster preparedness and during response. The Managing Contractor and DFAT will negotiate grant agreements with the organisations in line with this design, including agreement on which target location each organisation will work in. This will be supported by the early recruitment of a Gender Equality and Social Inclusion (GESI) specialist.

These organisations will be provided with grants to implement their community-based disaster risk management, and in particular the Resilient Village model – either through strengthening existing projects or expanding into new communities. They will have access to program GESI specialist support to assess and build on their approaches to gender equality and disability inclusion so that community-based governance structures include representation of women, people with disability and other diverse groups. DPOs may also be supported by the program to engage with these organisations to improve their understanding of and support for disability inclusion. The program may also work with local and national women’s organisations to build or transfer capacity. This will also enable capacity building for the organisation itself.

While NGO projects will be implemented over the life of the project, at a mid-way point, it is expected that community access to and application of DRM and DRR information, tools and practices will have improved. At the end of the program, it is expected that NGO partners can clearly demonstrate the sustainability of community capacity facilitated by the project, along with the value and sustainability of their Resilient Village model. It is also expected that some initiatives undertaken by BPBDs in relation to the application of MSS and DRR platforms will also contribute to the outcome of improved community access to accurate risk information.

*Support to strengthen DRR platforms at the local level*

The same organisations will be funded to strengthen DRR civil society platforms that they currently facilitate in target locations. The NGOs may also be supported to strengthen the national DRR Platform. The program will support regular meetings and information sharing between CSOs, government and non-state actors such as media, private sector, think tanks and research organisations / universities. For example, universities at the provincial level may assist in the use of data systems as part of risk assessment processes; and think tanks may be engaged to provide objectivity for after action reviews. DRR platforms will be encouraged to ensure representation of women, people with disability and other marginalised groups. This work stream will support multi-stakeholder coordination on the ground, and advocacy by non-state actors to provincial and district government. It will also provide a stronger coordination mechanism that BPBDs can link with when leading and coordinating responses. Support for the national DRR forum will enable local issues to be brought to a national level for advocacy by non-state actors to BNPB, MoHA, MOSA, Bappenas and international partners.

It is expected that collectively, these activities will reduce the likely impact of disasters on men, women and children (including those with disability) in the event of a disaster. After-action reviews may be funded through the program to support GoI, civil society and international partners to assess the effectiveness of the response. These reviews will also attempt to identify the extent to which the program has contributed to reducing the impact of specific disasters as outlined in Outcome 4 (cross-cutting themes).

**Modality and indicative activities**

Pillar 2 will be delivered through technical support to BPBDs and their pusdalops by recruiting technical advisors at the provincial level and funding grants to PMI (through Managing Contractor, Australian Red Cross, or IFRC), NU and Muhammadiyah to implement the Resilient Village models and strengthen DRR platforms. Support may also be provided by the Managing Contractor to media, universities, think tanks and research institutions to support program implementation. Support will also be provided through IFRC to help strengthen PMI’s capability.

**Pillar 3: Cooperation between GoI and GoA on regional humanitarian responses**

The program will **support Indonesia to develop a policy framework and associated processes to guide when and how Indonesia responds to regional and global humanitarian crises**. During the first 12 months of the program, the Managing Contractor will work closely with DFAT, MoFA and other relevant GOI agencies including Ministry of Finance, other relevant international partners such as IFRC, OCHA and AHA Centre, and local partners such as HFI, PMI, Muhammadiyah and NU to determine the specific contribution this program will make to this process.

Program activities under this pillar aim to assist MoFA to transform its responsive and ad hoc approach to managing requests to respond to humanitarian crisis as described in the context section above, and support GoI aims to shift to a more coherent and strategic approach to responding to international humanitarian crises in collaboration with Indonesian CSOs involved in delivering international responses, that meets international humanitarian standards.

The program will play a key role in **supporting the capacity development of future deployees by training of CSO and government personnel in international humanitarian standards and systems**, so that Indonesia responds in concert with established in-country response mechanisms and identified needs on the ground.

A portion of the funding grants provided to the PMI/IFRC outlined under Pillar 2 may be used for this training program. Other funding will also be available for suitable organisations such as OCHA, IFRC or the Australian Government to provide training whether directly under pillar 3 or through other pillars as appropriate.

The program will enable Australia to share its humanitarian systems, approaches and technology with Indonesia to assist in the development of its international humanitarian response framework and associated systems. For example, Australia may share how Australia developed its humanitarian policy and procedures; civilian deployment models; and facilitate visits of Indonesian government staff to see how the Australian Government manages humanitarian responses and associated response mechanisms. A particular focus will be on how Australia’s humanitarian response work is made more effective through support for gender equality and disability inclusion. This could include deployee selection and training as well as support for NGOs such as CBM or organisations like the Humanitarian Advisory Group to engage in research, advocacy and capacity development for more inclusive humanitarian action by Australian government and non-state actors.

In addition to helping to strengthen Indonesia’s systems, these processes and exchanges are designed to **build closer links between Australian and Indonesian humanitarian actors**. This aspect of the program is core to delivering on the partnership between GoI and GoA. This work will be done through discussions with relevant officials on GoI’s development of their aid program. It will be done in consultation with other DFAT-managed support, including INSARAG and AUSMAT. The ASEAN Coordinating Centre for Humanitarian Assistance on Disaster Management (AHA Centre) will also be consulted due to their role in coordinating regional assistance.

Pillar 3 will have flexibility to support practical collaboration between Indonesia and Australia on regional humanitarian responses. For example, the program will facilitate the joint delivery of regional training, regional field visits for disaster responses, and joint simulation exercises. These activities will build into formalising Australia – Indonesia humanitarian cooperation in the future. By the end of the program it is expected that Australia and Indonesia will have demonstrated stronger cooperation, through these joint activities, and in practice through coordination in specific regional responses (in the event that major regional disasters occur during the life of the program).

**Modality and indicative activities**

Pillar 3 will be delivered through:

a) funding support to OCHA/IFRC/PMI/others to deliver deployee capacity building training and policy development;

b) a range of technical inputs and exchanges managed by the Managing Contractor; and

c) MC support for collaboration and Australia/Indonesia links.

**Outcome 4 (cross-cutting themes): Learning, innovation and inclusion for DRM**

The investment will strengthen knowledge sharing and learning between government and non-state actors at different levels, and between sub-national and national levels in key areas of DRM, including issues relating to climate change. The program will support structured learning in three areas:

1) best practice BPBD capacity building models (conducted every year);

2) national workshop on lessons from after action reviews, evaluations and other relevant research (conducted in year 3 and 5); and

3) documentation of BPBD MSS in DRM model and the Resilient Village/City model (conducted in year 3 and 4).

While learning is a core work stream that underpins various outcomes under Pillars 1 and 2, learning is elevated to its own outcome within the program logic as the program aims to strengthen structured multi-stakeholder learning as an outcome in and of itself.

1. Best practice BPBD capacity building models (conducted every year): As outlined under Pillar 2, the investment will support BPBDs to implement the MSS, providing a capacity building approach that can be replicated by sub-national governments with support of BNPB, Bappenas and MoHA. The Managing Contractor will support this process, developing a learning agenda, framework and process to support the capture, analysis and dissemination of learning and experiences from sub-national implementation of DRM and climate change resilience policies to national government. This process aims to address some of the vertical challenges between BNPB and provincial and district BPBDs by enabling BNPB, Bappenas and MoHA to better understand the experience of local government in seeking to apply and meet the MSS and will align with MoHA’s monitoring processes. This will also help develop the ecosystem for knowledge sharing in DRM sector, which hopefully could be replicated by other sectors.
2. National workshop on lessons from after action reviews, evaluations and other relevant research (conducted in year 3 and 5): The program will support increased sharing, learning and feedback for DRM and climate change resilience between government and non-state actors at the national and sub-national level. The program will support after action reviews for disasters that occur during the program duration, followed by a multi-stakeholder after action review during the year 3 and 5. Funds will be allocated for appropriately based organisations such as CSOs, think tanks and research organisations or universities to undertake reviews and targeted research. In addition, to supporting learning between local DRM actors, lessons will be actioned, with changes made to government systems with the support of the Managing Contractor.

Multi-stakeholder information sharing and learning will be supported at a national level through the provision of funding grants to OCHA and to local NGOs to support HFI (to be managed by NU and/or Muhammadiyah) to facilitate national level learning and reflection workshops. Workshops will support government and other DRM stakeholders including CSOs, donors, science agencies, research institutions and think tanks to participate in structured reflection of evaluation findings, lessons from after-action reviews, and other research undertaken in the sector. Workshops may be structured around particular responses, or specific DRM issues such as the inclusion of women, children and people with disability, or coordination and engagement with non-state actors such as media and the private sector in disaster response. This work aims to strengthen the sharing of experiences from the ground with national stakeholders, and coordination between stakeholders to improve the DRM ecosystem at local and national level.

1. Documentation of BPBD MSS in DRM model and the Resilient Village/City model (conducted in year 3 and 4): The Managing Contractor or suitable sub-contractor will work with NGOs in implementing Resilient Village/City models within program localities to document the success factors, pre-conditions for success, barriers and enablers, and sustainability of the various models implemented under Pillar 2. Results from this process will feed into wider national level sharing on DRM and aims to inform subsequent models implemented by government and other CSOs.

Program activities to support learning at the national level seek to help BNPB to address challenges it faces in coordinating the array of government and non-government DRM actors including UN, national CSOs, the Red Cross, private sector, volunteers and locally based international NGOs and facilitating learning between these stakeholders about which approaches are effective and sustainable in addressing DRM and climate change resilience.

With regards to innovation, part of the funding grant to OCHA and IFRC will be to continue the development of innovative cash transfers in collaboration with MoSA. Innovations aim to ensure vulnerable groups including women, children, people with disability and elderly people, are better protected and able to recover from disasters. While this activity will take place at the national level and may not necessarily be activated in the selected provinces, where appropriate the program will support the trialling of innovations in the targeted localities and explore appropriate links between activities. The program will also be supported to increase the availability of quality and up-to-date population data disaggregated by sex, disability and age at sub-national levels during preparedness and disaster stages. The first stage (i.e. year one to three) of the program will focus on developing and trialling these innovations, and the remaining period will focus on ensuring they are successfully integrated into government systems.

Gender and disability will also be mainstreamed across program components 1-3, and this work will be led by a Gender Equality and Social Inclusion (GESI) specialist. Within Pillar 1, organisational reform within BNPB will integrate gender and disability inclusion into HR processes, for example with a women in leadership plan to support advancement of women in junior positions within BNPB. Gender and disability inclusion will also be integrated into capacity building / training supported under the program including of: BNPB staff (Pillar 1); BPBD staff (Pillar 2); and other government agencies and CSO staff (Pillar 3). The program’s GESI specialist will also work with project partners such as BPBDs and DRR platforms as required to ensure targeted gender and disability inclusion approaches are integrated into risk planning and assessment. Other specialists such as local and national Disabled People’s Organisations (DPOs) may also be funded to provide training and other forms of technical support as appropriate. The GESI specialist will also ensure after action reviews appropriately engage and explore how effectively responses target different vulnerable groups. Gender and disability inclusion will be integrated into all project designs and Knowledge, Performance and Learning Framework (KPLF) developed by the Managing Contractor and UN and NGO partners. It is expected that project budgets incorporate costs associated with ensuring engagement processes are inclusive of people with disability.

**Modality and indicative activities**

Outcome 4 (cross-cutting themes) will be delivered through:

1. the Managing Contractor (or appropriate sub-contractor) who will document BPBD capacity building models and Resilient Village/City models;
2. funding grants to OCHA/IFRC and PMI/NU/Muhammadiyah for national reflection and learning workshops;
3. funding grants to OCHA/IFRC to trial innovations and improve the ways which gender and social inclusion are addressed in the humanitarian system in Indonesia;
4. funding grants to CSOs, think tanks, research organisations or universities to undertake reviews and targeted research; and
5. technical advice to provinces/kabupaten to ensure appropriate integration of disability and gender (delivered by the GESI Specialist and other appropriate organisations such as DPOs).

### Delivery Approach

A delivery approach which combines a Managing Contractor with direct grants is outlined below. This approach allows flexibility in managing the range of relationships with government and non-government local partners necessary to achieve the outcomes sought under each program pillar – working across the DRM system from community to national government level. The MC will play a critical role in developing and implementing Program KPLF, planning, gender and social inclusion services across all partners, as well as financial management for advisory support and NU, Muhammadiyah and other grants to local partners. Financial management of UN partners (OCHA and IFRC) will be managed directly by DFAT due to GoI regulations.

In order to support organisational reform in DRM consideration was given to direct management of advisory support through DFAT (as is the case under the 2015-2018 disaster risk management investment), however the scale of TA at national and sub-national levels would be more efficiently managed through a contractor. Using government systems for technical assistance was not considered suitable due to fiduciary and Indonesian regulatory issues. The investment explicitly supports implementation of existing GoI law, policy and regulation on disaster risk management, such as the MSS. There is an emphasis in the program on organisational change and building capacity that is based on the existing environment and can be sustained through government systems.

The delivery approach is detailed below:

| **Delivery Approach** | **Functions** | **Justification** |
| --- | --- | --- |
| DFAT | * Liaise with GoI partners, at both national and local levels, directly or through the MC. * Strategic oversight of the Program. * As the co-chair of the SC, approve the Annual Plans and Reports. * Monitoring, reviewing and evaluating the performance of the Contractor and the Program. * Ensuring that the implementation of the Program is in accordance with the Australia-Indonesia General Agreement on Development Cooperation (GADC). * Together with BNPB, co-chair the SC and other relevant governance mechanisms, to provide strategic and operational guidance to the Program. * Directly manage financial management of multilateral partners. |  |
| Managing Contractor (MC) | * Develop and maintain sound relationships with GoI partners at both national and local levels. * Manage national and provincial technical advisors (both STAs and LTAs). * Manage NU and Muhammadiyah grants and other grants as requested by DFAT. * Deliver the agreed annual work plans and budget. * Lead the arrangement of annual Steering Committee and Technical Group meetings in coordination with DFAT and relevant GOI agencies. * Lead program wide planning, KPL, GESI. * Prepare and submit progress and annual reports and other reporting requirement as requested by DFAT. * Support DFAT’s strategic oversight. | Efficiency in having dedicated operational, strategic and specialist support in one contractor, to provide program wide services  Leaves GoA free to focus on policy relationship and partnership development with GoI, CSOs and development partners |
| NU | * Implement CBDRM in selected target locations. * Support (formulation or strengthening of) local DRM platform. * Support HFI/National platform. * Monitor the implementation of MSS in DRM in selected target locations. | Reach and credibility as national humanitarian actor, successful track record and relationship with GoI/GoA  Importance of relationship for GoI/GoA  Experience with international humanitarian response  Represents NGOs on BNPB Steering Committee |
| Muhammadiyah | * Implement CBDRM in selected target locations. * Support (formulation or strengthening of) local DRM platforms. * Support HFI/National platform. * Monitor the implementation of MSS in DRM in selected target locations. | Reach and credibility as national humanitarian actor, successful track record and relationship with GoI/GoA  Importance of relationship for GoI/GoA  Experience with international humanitarian response  Represents NGOs on BNPB Steering Committee |
| PMI (through MC, IFRC or ARC) | * Implement CBDRM in selected target locations. * Support (formulation or strengthening of) local DRM platform. * Support HFI/National platform. * Monitor the implementation of MSS in DRM in selected target locations. * Training deployees to build Indonesian international deployment capability. | Reach and credibility of national red cross in Indonesia  Experience with international humanitarian response  Global experience and credibility through IFRC |
| IFRC | * Support capacity development of PMI. * Facilitate innovation in cash, and social inclusion. * Training deployees to build Indonesian international humanitarian capability. | Valued partner for GoI and GoA with critical capacity development role in Indonesia  Credibility with GoI and GoA |
| OCHA | * Lead donor coordination. * Facilitate innovation in cash, and social inclusion. * Training deployees to build Indonesian international humanitarian capability. | Valued partner for GoI and GoA with critical coordination role  Credibility with GoI and GoA |

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### Indicative Budget

The proposed total budget for AIP-DRM is AUD 25 million over five years (April 2019 – March 2024). Of this amount up to AUD 23 million over five years will be tendered, with the remainder to be disbursed via grant agreements between DFAT and multilateral agencies.

### Resources

Resource requirements for DFAT, BNPB, BPBDs and MoFA are as follows

|  |  |
| --- | --- |
| **DFAT** | * Senior staff to meet with each of the key government partners: BNPB, MoFA, Bappenas and MoHA to discuss GoI policy changes and program strategy issues at least once per year (i.e. as a co-chair of the Steering Committee). * Program staff to manage the MC and direct grants, meet regularly with the MC and undertake monitoring visits to sub-national locations * Senior and program staff to manage the relationship with Australian Government partners (when needed i.e. if Australian Government agencies deemed suitable to deliver training program for Indonesia’s stakeholders). * Senior and program staff to meet with other development partners regularly about DRM reform progress, donor program coordination * Program staff to facilitate information sharing and joint work with other DFAT programs, including KOMPAK (sub-national governance and budgeting), social protection (cash for emergencies), health security (disease outbreak), MAMPU (gender and social inclusion) and environmental governance (climate related hazards such as forest fire). Synergies with DFAT private sector programs should also be explored for example through connecting local DRR platforms with chambers of commerce |
| **BNPB** | * Senior staff to meet with each of the key government partners: GoA, MoFA, Bappenas and MoHA to discuss GoI policy changes and program strategy issues at least once per a year (i.e. as a co-chair of the Steering Committee). * Mid-level staff to meet with each of the key government partners: GoA, MoFA, Bappenas and MoHA to discuss technical issues at least once per a year (i.e. as a co-chair of the Technical group). * Technical staff to support the implementation/management/oversight of the program. * Staff and office space for the Management Support Office which will work across all BNPB Divisions. * Co-funding for activities and BNPB staff travel, honoraria and allowances. * Commitment to post junior staff with Program sub-national TA and to provide opportunity for staff of targeted BPBDs to get on-the-job learning opportunity i.e. through internship program. |
| **BPBDs, Province & District Leadership** | * Commitment to maintain a level of staff stability in BPBD offices (e.g. 50% stability for the program implementation period). * Staff and office space for the sub-national office of the program. * Budget allocation for activities from provincial and district budgets |
| **MoFA** | * Senior staff to meet with each of the key government partners: GoA, MoFA, Bappenas and MoHA to discuss GoI policy changes and program strategy issues at least once per a year (i.e. as a co-chair of the Steering Committee). * Mid-level staff to meet with each of the key government partners: GoA, MoFA, Bappenas and MoHA to discuss technical issues at least once per a year (i.e. as a co-chair of the Technical group). * Technical staff to support the implementation/management/oversight of the program. * Co-funding for activities and Kemlu staff travel, honoraria and allowances. |
| E: Implementation Arrangements | | | |

### Governance Arrangements and Structure

The governance structure for the program provides for strategic engagement between GoI, DFAT and program partners on specific policy reform issues to inform future program priorities. This will be separated from aid decision making on annual plans which will be facilitated by the Managing Contractor between DFAT and the respective implementing partner. A partnership approach will be used to support the engagement between DFAT and key GoI agencies: BNPB, MoFA, Bappenas and provincial authorities in target locations.

This governance structure will be supported by a Managing Contractor with responsibility for planning, developing and implementing KPLF, implementing GESI and maintaining communications across the whole program, as well as management of technical advisers and grant agreements with NU, Muhammadiyah and other local partners. The Contractor will also support DFAT management of grant agreements with OCHA and IFRC to ensure grant activities align with program goal and objectives.

**Program Office, Management Support Office and Provincial Office**. The MC will establish a program office which will house the Program Director and a team of operations and technical staff. The MC will support the establishment of the Management Support Office, which will be located within BNPB premises. The MC will also support the establishment of provincial offices co-located within BPBDs (where possible) at the (up to) six target provinces and recruit staff (LTAs and STAs) to run those offices and to lead the implementation of the work plan at the provincial level.

An **Annual Steering Committee Meeting** (e.g. every February) co-chaired by BNPB Head and DFAT Minister-Counsellor will provide an opportunity for strategic dialogue across all program partners on key policy reform issues e.g. implementation of MSS; national and sub-national coordination across all DRM partners; and addressing gender equality and social inclusion in preparedness and response. This strategy meeting will also include a session for approving the Annual Work Plan for each Pillar and agreeing on future year priorities.

**Other governance structures** as necessary with senior and working level representatives appropriate for purpose of the governance structures. These structures may consider issues including but not limited to: progress and performance of the program, lessons learned and best practices from previous years implementation, and preparation if the Annual Work Plan to be agreed by the Steering Committee.

**Annual Work Plans** and project level Terms of Reference (TORs) will be agreed with each program partner: GOI, NU, Muhammadiyah, PMI, IFRC and OCHA. Annual work plans will include reflections on current year performance and the findings from the monitoring and evaluation.

A partnership approach between GoI, DFAT and the MC will be used for negotiating and agreeing annual work plans and commitments with each GoI implementing partner. Three partnerships are envisaged at the national level, one under each Pillar 1-3, with sub-national authorities invited as an observer for partnership under Pillar 2. Annual partnership health checks will provide opportunities to update and agree on the forward year commitments.

Partnerships with GoI program implementing partners are envisaged as:

1. BNPB, DFAT and MC: with respect to Pillar 1 annual planning and budget (will include Bappenas as observer role)
2. BNPB, Bappenas, MoHA, DFAT and MC: with respect to Pillar 2 annual planning and budget (will include sub-national authority and Civil Society in observer role)
3. MoFA, DFAT, BNPB and MC: with respect to Pillar 3 annual planning and budget

In addition, there will be a partnership agreement between DFAT and the MC with respect to program management. This will sit alongside contractual requirements, to enhance communication and adaptive programming.

The MC will hold grant agreement relationships with Muhammadiyah, NU and other local partners where required. DFAT will hold grant agreement relationships with IFRC and OCHA. Annual plans with budgets will be submitted by the local partners to the MC for review and approval in conjunction with DFAT. For all DFAT managed contracts, the annual plan and budget will be submitted directly to DFAT.

### Appointment of a Contractor

A Contractor will be engaged through a competitive tender process to coordinate and support national and subnational activities and facilitate and manage partnerships and interventions under the Program. The Contractor will deliver the Program from a central program office in Jakarta. The program team will be required to liaise with local government and other partners in Jakarta and the six program provinces.

The Contractor’s main roles will include:

1. Providing all day-to-day management, coordination, implementation and support resources necessary to deliver the Program effectively and efficiently in accordance with the strategic direction agreed to by the Steering Committee, and as set out in the Annual Plan and with the Terms and Conditions of the Contract;
2. Establish and maintain a Program Office (in Jakarta) and an Management Support Office (in BNPB premises) at national level and BPBD advisor offices at provincial level (in BPBD offices) including ICT, the recruitment and commencement of any support personnel staff as well as the establishment of all systems required for effective implementation of the Program;
3. Deliver the agreed annual work plans and budget;
4. Support DFAT’s role in policy dialogue with the Government of Indonesia;
5. Technical support, including conducting strategic and technical analysis and other advice to DFAT and the Steering Committee as required;
6. Liaison with Government of Indonesia to deliver the Program in accordance with the requirements as agreed by DFAT. This may include supporting engagement between Government of Australia and Government of Indonesia;
7. Providing secretariat services to the Steering Committee and assist with organising Steering Committee and other governance meetings in collaboration with all relevant parties;
8. Lead program wide planning, KPL, GESI, communications and reporting; and
9. Risk management, including in relation to safeguards, fraud, security, workplace health and safety, and program risks.

### Resourcing and Recruitment

The Contractor will provide high quality program direction and leadership support to manage and implement the AIP-DRM program. The Contractor team will include personnel for the positions of Contractor Representative, Team Leader and Head of Operations and Finance as well as any additional proposed core management personnel and technical advisers (for DFAT approval) with appropriate technical, management and operation skills needed to maintain continuity and to deliver the program. The Team Leader will be contracted through a joint recruitment process with DFAT during the program mobilisation phase. Terms of Reference for the core management team will be finalised with DFAT during the mobilisation phase. The core management team will liaise closely with DFAT throughout implementation to ensure the program remains responsive to Indonesian and Australian priorities and meets their information needs.

Employment conditions for international staff contracted as part of the core management team will align with the DFAT Adviser Remuneration Framework. Remuneration rates and employment conditions for national staff will be expected to be commensurate with existing norms, and align with other donor-funded programs in Indonesia and local employment and manpower legislation.

### Communications and Reporting

The Contractor will work with DFAT to develop a Communications Strategy for AIP-DRM that supports the dissemination of information and learning from the Program to key stakeholders. The Communications Strategy will identify information needs for all key stakeholders, including BNPB, DFAT, government and non-government stakeholders, and the Australian and Indonesian public, and outline a range of mechanisms for sharing learning and other relevant information on DRM. Qualitative data will be tailored to different audiences and purposes, such as policy briefs, case studies, and stories of change to ensure evidence from AIP-DRM supports broader analysis of the enabling environment and is relevant and meaningful to a range of different stakeholders. Quantitative data sourced from the KPLF (see Annex 3) will be collated into reports that provide DFAT and key program partners with a synopsis of headline results from the program. Selected stakeholders, including DFAT and BNPB will have on-line access to the MIS so there is a common body of evidence to support management and policy dialogue.

The reporting cycle for the Program (see Annex 3) will include a semi-annual progress report and implementation plans, with the content and structure to be determined by DFAT in consultation with the Contractor, and set out in the program operations manual and annual work plan.

### Procurement Arrangements

There are two modes of procurement for the investment: competitive tender for a Managing Contractor (and sub-contractors when required) and direct grants for UN, IFRC and national NGOs. Contractual and grant agreements will be as per DFAT templates, including provisions for financial management and auditing, and safeguards. DFAT has undertaken due diligence assessments for OCHA, NU, Muhammadiyah and IFRC. MC, ARC or IFRC will manage funding to PMI. Budgets for each partner are estimates only. Where progress is assessed as slow or stalled, or an unexpected opportunity arises the MC can propose to DFAT a reallocation of funds. This should generally be done through the annual plan process, however specific opportunities not envisaged in an annual plan could also be accommodated with DFAT approval.

### Knowledge, Performance and Learning Framework (KPLF)

This section describes the AIP-DRM Knowledge, Performance and Learning (KPL) approach and framework and covers the KPL purpose and approach; and methods for measuring change. Refer Annex 3 for further guidance on the KPL approach, including Mid - Term Review and Final Evaluation questions, learning products and processes, reporting and MEL implementation arrangements and costs.

**Purpose and approach of the KPL framework**

The key objectives of the AIP-DRM KPLF are:

* To ensure accountability of the program including Managing Contractor, partners and DFAT.
* To support learning and decision making for program improvement, including for duplication or scaling up of an approach or activity.
* To generate an evidence base to assess the program logic including change pathways and progress towards outcomes.
* To support management to undertake adaptive programming and to ensure sustainability of activities and approaches beyond program duration.
* To support the communication strategy of the program.
* To support reporting towards the Australia Indonesia Aid Investment Plan and Performance Assessment Framework and other DFAT reporting requirements.

KPLF will support assessment of the investment’s performance and contribution towards bringing about the outcomes outlined in the program logic. It provides a framework to generate an evidence base to enable assessment of the program to deliver accountability and demonstrate results. The KPLF seeks to embed a strong learning culture within the Managing Contractor team through regular reflection processes and promote practical utilisation of KPLF data for ongoing improvement by management in collaboration with government partners. It seeks to achieve an appropriate balance between quantitative and qualitative data and reflect relevant safeguard issues through the collection of sex, age, disability and gender disaggregated data and qualitative methods which assess the ways in which the program has ensured the participation of women and people with disability in project activities and project management and decision making. The KPLF uses and builds on the KPL systems and indicators used by DFAT’s previous DRM sector projects in Indonesia.

As outlined in the Program Logic, the investment will use an adaptive programming approach, rather than rigidly implementing a set of pre-determined activities. Adaptive programming means that activities and outputs will change over the life of the program. The program logic and KPLF therefore does not provide a set of detailed outcomes, targets and indicators for each program component. It is expected that these are developed and adapted iteratively based on review and learning and also local context. The program however establishes bedrock outcomes at the immediate, intermediate, and end of program outcome level, which keep the program goalposts in place. In alignment with an adaptive program approach, this investment includes some less traditional KPL approaches which builds evaluative thinking and reflection into monitoring processes.

A large component of this investment seeks to support the implementation of GoI policies, programs and plans[[37]](#footnote-37), rather than deliver a discrete set of program interventions. This makes for a complex programming context, in which a range of outcomes are not strongly within the program’s control and are dependent on external factors including the Indonesian government’s appetite for, commitment and ability to strengthen capacity and coordination, and progress its own policies and plans. In these program areas, program performance is therefore not necessarily synonymous with the scale and depth of outcomes achieved. There is however, critical need for the investment to program around these factors and others political drivers. To accommodate this, the KPLF includes a set of performance criteria which relate to the quality of program delivery by the Managing Contractor and other implementing partners. As more detailed program outcomes and targets will not be set across the program until after the program’s commencement, the criteria provide a set of performance markers to ensure that the program is performing well, in addition and complementarity to, the assessment of program outcomes.

The program’s Results and Performance Framework is included in Annex 3. It has been designed to support assessment of the longer-term outcomes outlined in the program logic. The framework contains three components:

1. ***Success criteria - what success looks like***

The framework features a set of criteria for each outcome which indicates what success is expected to look like at the end of the program. The Managing Contractor and other contracted partners (including the sub-contractors) are expected to design and deliver interventions to bring about these successes. These success criteria will be used in the mid-term review and Final Evaluation which will assess the extent to which outcomes have been successfully achieved.

1. ***Performance criteria – what good performance looks like***

Performance criteria apply to the Managing Contractor and other organisations contracted to implement program activities. They outline the core ways in which they must work with stakeholders and design and deliver activities in order to activate the success criteria and provide a guide to support partners when designing activities. These criteria will be used by DFAT and the Managing Contractor to monitor partner performance. They will also inform the assessment of effectiveness during the Mid-Term Review and Final Evaluation.

1. ***Indicators to measure success***

The framework outlines a set of indicators related to the achievement of outcomes and associated success criteria. This includes a combination of quantitative and qualitative indicators and includes relevant PAF indicators which must be reported against. For Outcomes 1, 2 and 4, it is expected that the Managing Contractor and contracted UN and NGO partners develop more detailed KPL Framework which integrate and further detail the indicators provided in the KPLF in line with their specific project strategies / activities and timeframes. For all Outcomes, these indicators can be used and refined at the end of the first year in consultation with partners after additional research, consultation and strategy development are undertaken.

**Methods for measuring change**

A diverse array of methods and tools will need to be developed to collect the data necessary to monitor progress and assess and report on progress toward outcomes at different stages of the program. These will be progressively assembled depending on the information needs of each activity developed by the Managing Contractor in the first 12 months of the program, and by other contracted partners through proposal submission at the beginning of the program. Tools will be designed to capture data disaggregated by sex, disability and other factors as relevant.

### Sustainability

The investment is designed to support implementation of GoI policies and plans for disaster risk management and decentralisation. Technical assistance will be provided within the context of capacity building strategies, to avoid the risk of capacity substitution. The program will use a range of adaptive programming techniques to ensure support is based on actual change processes in each institution and builds on existing strengths and approaches rather than imposing external frameworks that will not be sustained beyond the program. Most of the change will be incremental, however the program will also be cognisant of opportunities to accelerate change that can come about, for example following a disaster, or with a change in leadership. Specific actions to support sustainability include:

* Use of Strategy Testing to inform institutional strengthening with BNPB to identify, test and pursue reforms which have ownership and are likely to be sustained within BNPB;
* After-Action Reviews to capture best practices and lessons learned to be replicated in other locations
* Flexible programming to respond to opportunities and scale back where progress is not being made
* Program alignment and contribution to GoI RPJM and BNPB strategic plan. This will also ensure cost sharing from GOI to fund some of the activities.
* Capacity building model at subnational level to support GoI in the ongoing implementation of MSS drawing on existing expertise from BNPB (including posting junior staff with TA); and budget allocations by district and province authorities. Increasing levels of budget allocation are a key issue for long term sustainability.
* Majority of technical advisers at national level and all advisers at sub-national level will be Indonesians, familiar with informal rules, and an understanding of how to influence for reform considering local context.
* Assessing the Resilient Village models to identify where and how support to resilient villages has been sustained after NGO or government withdraws and using this learning to promote sustainable CBDRM.
* Flexibility to support BNPB to embed Australian assisted science products, if needed. Currently BNPB is confident that they will continue to use and maintain these products.
* Supporting well established, locally resourced civil society organisations – PMI, NU, Muhammadiyah or local universities, to extend their reach and focus on gender and social inclusion issues in DRM.

Finally using a partnership approach in working with GoI at national and sub-national levels is critical to sustainability as it promotes joint solutions and mutual accountability between DFAT and GoI rather than an aid-recipient relationship.

### Gender Equality and Social Inclusion (GESI)

The human impact of disasters is shaped by a person’s gender, age, disability, sexual orientation, ethnicity and other social factors. Access to resources and knowledge to reduce disaster risk, and to respond to disasters is highly variable within communities. Indonesia’s Indian Ocean Tsunami experience and subsequent major disasters in Indonesia have generated understanding about the gendered nature of disasters in Indonesia, based on the specific context including[[38]](#footnote-38):

* significantly higher number of deaths for women as they were more exposed to higher risk due to their home- based occupations and attempts to save children and elderly family members, while many men were on fishing boats or working away from home (Aceh 2004);
* women were excluded from decision making about reconstruction (Aceh 2004);
* livelihood recovery support focused on male occupations and needs; Men tend to prioritise large scale infrastructure while women prioritise shelter, water and sanitation and psychological support (Aceh 2004).
* high incidence of gender-based violence, including domestic violence, after a disaster (Aceh 2004);
* challenge for women in accessing benefits such as cash transfers as families registered by government in the male head of household name (Aceh 2004);
* Women’s critical role in ensuring basic needs are met including food and water supply, care of children, health care as well as trauma healing for survivors (Yogyakarta 2006);
* Higher incidence of death and injury amongst young men due to risk taking behaviours; and
* Reconstruction provided opportunity to increase women’s access to land title, with a policy change to allow joint titling by husbands and wives (Aceh 2004).

This program will integrate gender and disability inclusion across all activities, in line with the GoI commitment to gender mainstreaming and inclusion of vulnerable groups in government plans, policies and programs[[39]](#footnote-39). Key questions for all program staff will be “Whose risk is being reduced? Who will be more resilient? Who makes decisions about resources and priorities before, during and after disasters?” This work will be supported by a GESI Specialist (with a second specialist engaged for Year 1) and Knowledge Management Specialist in the Managing Contractor team, as well as through the expertise of the UN, and disabled people’s organisations.

Each partnership or grant agreement will produce and be guided by analysis and a gender equality and disability inclusion strategy. This will be specific to the context of the partnership or agreement. Gender equality and disability inclusion will be mainstreamed in the KPL Framework and a focus for the Mid-Term Review will be to assess implementation of gender and disability strategies. The Managing Contractor will “walk the walk” and have a gender equality and disability inclusion strategy for its own operations. This will include commitments for example to gender balance in staff and adviser teams; accessible premises; measures to support employment of people with disabilities; staff development; and safety measures.

Some of the themes that would be relevant for gender analysis and strategies with program partners include:

* Representation of women in DRM mechanisms such as disaster response needs assessment teams, Indonesian regional response teams, contingency/emergency preparedness and risk reduction planning processes from village to sub-national levels.
* Gender equality policy and practice in BNPB and BPBDs. Gender mainstreaming in all ministries/agencies and provincial and district/municipality government is mandated through Presidential Instruction No 9/2000, however little information is available on progress of mainstreaming in BNPB or BPBDs. Basic data on the gender breakdown by seniority, and longevity, and for promotions could be a starting point.
* Increased skills and knowledge amongst responders (including volunteers) of child protection and sexual and gender- based violence issues and management strategies.
* After- Action Reviews to include an assessment of how the specific needs of women, men, boys and girls (with and without disability) were identified and met
* Using sub-national and national platform events or research to promote GESI in disaster preparedness and risk reduction
* Inclusion of gender data into the vulnerability and capacity parts of the Indonesian disaster risk index.
* Supporting use of gender and vulnerability data in DRM planning and review processes such as contingency planning.

### Disability Inclusiveness

The Sendai Framework has only recently brought global attention to the experience of people with disabilities during, before and after disasters. People with disability are at higher risk of injury and death than the general population and experience barriers to accessing early warning systems and emergency support. They also are less likely to receive aid and recovery support[[40]](#footnote-40). Disabled people’s organisations (DPOs) play a critical role in building understanding of the experience of people with disability and advocating for disability inclusion before, during and after disasters.

As noted in the gender section above this program will integrate gender and disability inclusion across all activities, in line with the GoI commitment to gender mainstreaming and inclusion of vulnerable groups in government plans, policies and programs[[41]](#footnote-41). Key questions for all program staff will be “Whose risk is being reduced? Who will be more resilient?”. “Who makes decisions about resources and priorities before, during and after disaster?”. This work will be supported by the GESI specialist and KPL advisor with funding available to support DPOs to work across the range of program implementing partners. Indonesia has good examples of DPOs advocating and collaborating with DRR actors to reduce and prevent risks[[42]](#footnote-42) and the program will build relationships with these DPOs as a source of guidance and technical expertise.

Each partnership or grant agreement will produce and be guided by analysis and a gender and disability inclusion strategy, which should be developed in consultation with the relevant DPOs at national or sub-national locations. This will be specific to the context of the partnership or agreement. Gender equality and disability inclusion will be mainstreamed in the KPL Framework and a focus for the Mid-Term Review will be to assess implementation of gender and disability strategies. The Managing Contractor will “walk the walk” and have a gender equality and disability inclusion strategy for its own operations. This will include commitments for example: accessible premises; inclusive communications; measures to support employment of people with disabilities; staff development; and safety measures.

Some of the themes that would be relevant for disability analysis and strategies include:

* Representation of people with disabilities in DRM planning and decision making such as contingency/emergency preparedness and risk reduction planning from village to sub-national levels.
* Supporting use of disability data in DRM planning and review processes such as contingency planning. This can build on the work of KOMPAK in supporting data and information about people with disabilities at the local level.
* Disability inclusive policy and practice in BNPB and BPBDs including accessibility and data on employment of people with disabilities.
* Increased skills and knowledge amongst responders (including volunteers) of disability inclusive disaster response issues, key barriers and inclusion strategies. This could be delivered through and build on the draft curriculum at the BNPB training centre on disability inclusive risk reduction.
* Early warning systems that reach all members of the community through appropriate communications that accounts for disability. Currently early warnings from the national level go to provincial and district governments[[43]](#footnote-43).
* After-Action Reviews to include an assessment of how the specific needs of women, men, boys and girls (with and without disability) were identified and met
* Using sub-national and national platform events or research to promote disability inclusion in disaster preparedness and risk reduction
* Inclusion of disability data into the vulnerability and capacity parts of the Indonesian disaster risk index.

### Private Sector

There is increasing global recognition of the important role the private sector can play in responding to disasters, supporting recovery and also reducing risk and preparing for disasters. Indonesia has a growing private sector fuelling economic development. The private sector has been an important responder to disasters, providing supplies, equipment, volunteers and logistics support. This has been largely done in a voluntary capacity and there is limited strategic engagement by GoI with the private sector for DRM. There are also examples of businesses engaging in specific programs, including through agreements with NGOs. The private sector is a long-standing contractor providing logistics, goods and supplies to GoI, UN and other responders during a disaster[[44]](#footnote-44). Some new forms of engagement are being explored by GoI including risk insurance and cash transfer mechanisms[[45]](#footnote-45).

The program will support engagement with the private sector amongst other ways through sub-national implementation of SOPs on contingency planning, which should include local private sector representation. Building business resilience and supporting business continuity are important for reducing risks and preparing for response. The program will support sub-national and national platforms which will include private sector representatives, media, think tanks and universities. These platforms can be an opportunity to build dialogue, understanding and awareness between non-state actors about the role and potential of the private sector in DRM, beyond that of philanthropic responders or contractors. Program advisers will encourage GoI agencies to consider how to engage with the private sector for better coordination and as a source of expertise (e.g. resilient infrastructure) and resources.

### Safeguards

PMI, NU and Muhammadiyah will work at village level to improve resilience. The Managing Contractor will ensure DFAT child protection policies are operationalized for humanitarian preparedness and response work by these organisations, including providing specialist training and advice where required. During implementation, checks of compliance with DFAT's child protection and environmental protection policies and of the presence of appropriate safeguards will be carried out as part of monitoring, evaluation and learning activities.   
  
Environmental protection and resettlement risks have not been identified in the program. As there is flexibility in the program there is potential for environmental risks to emerge. The emergence of environmental risks will be monitored when annual activity plans are reviewed, and activities will be required to comply with DFAT’s Environmental Protection and Resettlements Policies.

### Risk Management Plan

The key risks of the investment are associated with the interest and incentives in BNPB for organisational reform. While the organisation is under pressure to change and deliver on its coordination mandate, there is a risk that this pressure will not be catalysed into the right action. This process will depend on a range of factors some of which are within the control of the program, and the Managing Contractor will have to closely monitor and adapt to the political environment. Another major risk to the program will be if a major disaster event occurs, or there are a number of small-medium scale disasters in a short period, which will create an immediate demand for program partners to respond, and also potentially change the longer-term objectives of the program. It required, the DRM ecosystems approach allows the MC to readjust its approach by focusing on the other DRM sub-systems including working with MoHA and Bappenas for local DRM reform and MoFA for Indonesia regional response portfolio. Adaptive management will allow for resetting program plans and outcomes in the event of a major, or multiple small-medium scale disasters. These will also be opportunities for learning that the program can build on.

Partnership agreements with GoI at national and sub-national level will provide opportunity for joint identification of risks to the specific program of work agreed by partners. This will be reviewed and updated at annual partnership health checks. Each grantee will also be required to identify, manage and report on risks in their activities. As PMI, Muhammadiyah and NU will be working at village level child safety risks are substantial. Grantees must comply with DFAT’s Child Protection Standards and regular training on these standards will be provided by the Managing Contractor.

Internally the Managing Contractor will have regular Strategy Testing processes which can include an assessment and updating of relevant risks. Other risks should be monitored by the Program Director with the risk register updated and discussed with DFAT at least twice year.

| F: Annexes |
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#### Annex 1 Indicative activities

#### Annex 2 MEL Framework

1. Definitions used by UNISDR, as adopted by the UNGA 71st Session, 1 December 2016 “Report of the open-ended intergovernmental expert working group on indicators and terminology relating to disaster risk reduction” [↑](#footnote-ref-1)
2. Definitions adopted by the UNGA 71st Session, 1 December 2016 “Report of the open-ended intergovernmental expert working group on indicators and terminology relating to disaster risk reduction” [↑](#footnote-ref-2)
3. 2017 Foreign Policy White Paper, Government of Australia at p90 [↑](#footnote-ref-3)
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20. Murdjijanto, T. Draft Indonesia Funding Disaster Risk Management Budget Planning and Implementation Review, commissioned by AIFDR, 2013 [↑](#footnote-ref-20)
21. Roberts L., Sexton J. Completion Review of the Australia – Indonesia Facility for Disaster Reduction’s Risk and Vulnerability Program March 2016 [↑](#footnote-ref-21)
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23. See for example: The Federal Court of Australia and the Family Court of Australia have a tripartite agreement with the Indonesian Supreme Court governing cooperation on capacity building and sharing of experience. <https://dfat.gov.au/aid/how-we-measure-performance/ode/Documents/lawjustice-indonesia-case-study.pdf> [↑](#footnote-ref-23)
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25. Australia Indonesia Government Partnerships Fund Phase II 2010-15, Design Document [↑](#footnote-ref-25)
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40. Indonesia’s Disaster Risk Management Baseline Status Report 2015 BNPB p28 [↑](#footnote-ref-40)
41. Indonesia’s Disaster Risk Management Baseline Status Report 2015 BNPB p64 [↑](#footnote-ref-41)
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45. Indonesia’s Disaster Risk Management Baseline Status Report 2015 BNPB p39 [↑](#footnote-ref-45)