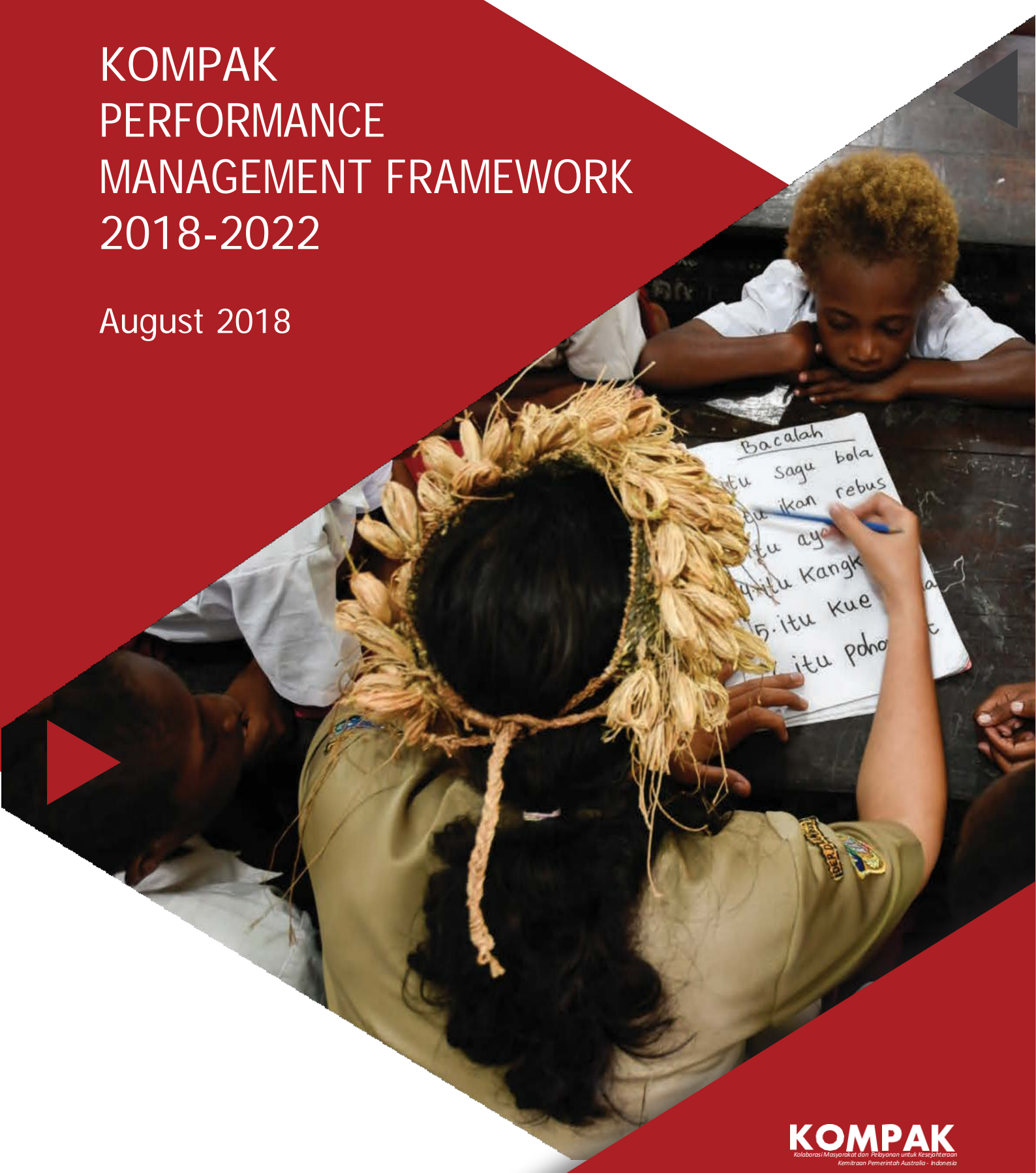




Australian Government

# KOMPAK PERFORMANCE MANAGEMENT FRAMEWORK 2018-2022

August 2018



## **Performance Management Framework of KOMPAK 2018-2022**

August 2018

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# Abbreviations

<b>ACN</b>	Activity Concept Note
<b>ADN</b>	Activity Design Note
<b>AGB</b>	Aid Governance Board
<b>AUD</b>	Australian Dollar
<b>BPD</b>	<i>Badan Permusyawarahan Desa</i> (Village Council)
<b>CRVS</b>	Civil Registration and Vital Statistics
<b>CSO</b>	Civil Society Organization
<b>DFAT</b>	Department of Foreign Affairs and Trade
<b>EOFO</b>	End-of-Facility Outcome
<b>GESI</b>	Gender Equality and Social Inclusion
<b>GoA</b>	Government of Australia
<b>GoI</b>	Government of Indonesia
<b>IAG</b>	Internal Appraisal Group
<b>IO</b>	Intermediate Outcome
<b>IPR</b>	Independent Progress Review
<b>ISAT</b>	Independent Strategic Advisory Team
<b>KOMPAK</b>	<i>Kolaborasi Masyarakat dan Pelayanan untuk Kesejahteraan</i>
<b>KSI</b>	Knowledge Sector Initiative
<b>LDD</b>	Living Design Document
<b>M&amp;E</b>	Monitoring and Evaluation
<b>MEL</b>	Monitoring, Evaluation, and Learning
<b>MIS</b>	Management Information System
<b>MOV</b>	Ministry of Villages, Development of Disadvantaged Regions, and Transmigration

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<b>MSE</b>	Micro and small enterprises
<b>NTB</b>	Nusa Tenggara Barat
<b>PAF</b>	Performance Assessment Framework
<b>PMC</b>	Project Management Cycle
<b>PMF</b>	Performance Management Framework
<b>QA</b>	Quality assurance
<b>RPJMD</b>	<i>Rencana Pembangunan Jangka Menengah Daerah</i> [Regional Medium-Term Development Plan 2015–2019]
<b>RPJMN</b>	<i>Rencana Pembangunan Jangka Menengah Nasional</i> [National Medium-Term Development Plan 2015–2019]
<b>SC</b>	Steering Committee
<b>SID</b>	<i>Sistem Informasi Desa</i> (Village Information System)
<b>SMT</b>	Senior Management Team
<b>TA</b>	Technical Assistance
<b>TC</b>	Technical Committee



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# 1 Introduction

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- 1.1 This document presents a high-level Performance Management Framework for performance management for KOMPAK (Governance for Growth), for the period 2018 to 2022. This includes: (1) identifying and defining key aspects of KOMPAK's performance; (2) describing the overall approaches to performance monitoring, performance assessment, and facilitating the use of performance information for continuous improvement; and (3) outlining the strategy for managing and implementing those approaches.
- 1.2 As such, this document is intended primarily for:
- **KOMPAK implementing teams**, to guide management of activities with a focus on driving quality, continuous learning and improvement.
  - **Senior management within the Department of Foreign Affairs and Trade (DFAT)**, as the basis for agreeing on KOMPAK's overall approach to performance management, including whether KOMPAK strategies to manage and communicate its performance are appropriate and sufficiently robust.
  - **The KOMPAK Steering Committee (SC)**, as the body that acts as the highest decision-making forum for KOMPAK, and which has the responsibility of providing overall strategic guidance and direction, including based on information that will be produced through the KOMPAK performance management processes.
  - **KOMPAK management (at the Executive Team and Senior Management Team levels) and the DFAT Human Development Section managing KOMPAK**, for whom it will serve as the basis for agreement about how performance information within KOMPAK should be compiled, analysed, used, and communicated, and also as the basis for allocating resources to the implementation of this framework.
  - **The KOMPAK Performance and Gender Equality and Social Inclusion (GESI) Unit**, for whom it will serve as the guiding reference for the operationalisation of the KOMPAK performance management system.
- 1.3 This framework links to several other key documents that outline KOMPAK's overall strategies and plans. It:
- Details the key aspects of performance related to the operationalisation of KOMPAK's **Living Design Document (LDD)** and **Program Logic and Ways of Working document (PLWW)**.<sup>1</sup>
  - Outlines an approach to performance monitoring for the implementation of KOMPAK's **GESI Strategy**.

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<sup>1</sup> The development of this document in August 2018 has highlighted some areas of the LDD that may need to be updated in the revised LDD to be submitted in December 2018

- Provides indicators and processes that assist KOMPAK in the implementation and management of its **Risk and Safeguard Management Plan**.
- Draws on KOMPAK's **Communication Strategy** to explain how program performance and results will be used in communication and knowledge products.
- Acts as guidance for defining performance measures for KOMPAK's four **Sector Strategies** and seven **Provincial Roadmaps**, which, as of August 2018, are under development and will be operational in January 2019.

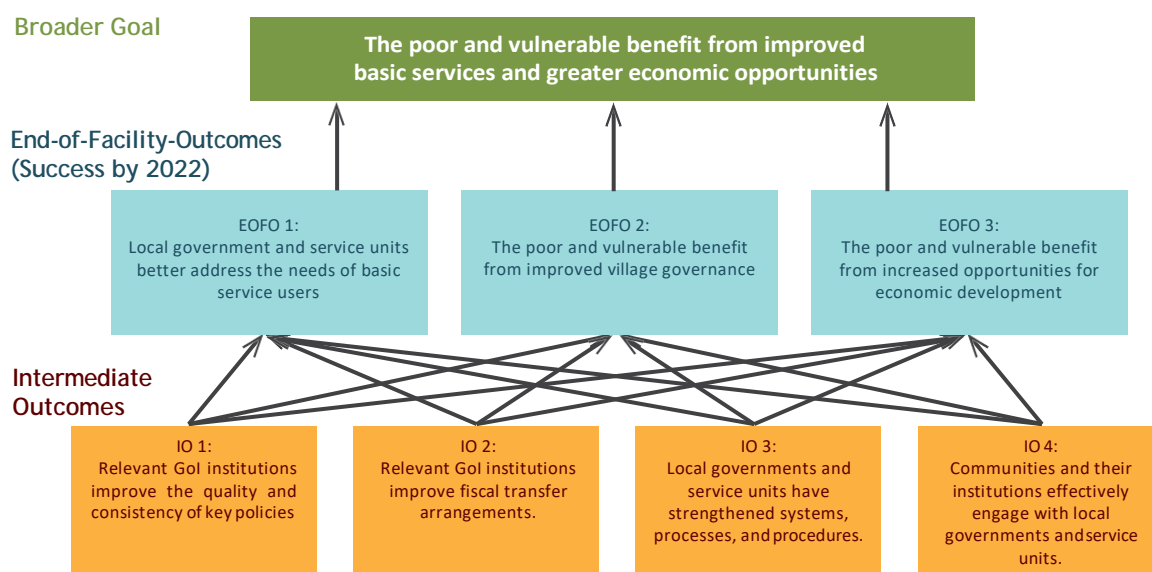
## BRIEF DESCRIPTION OF KOMPAK

- 1.4 KOMPAK is a partnership between the Government of Indonesia (GoI) and Government of Australia (GoA). It was established in 2015, working with five GoI Ministries (Bappenas, Ministry of Finance, Ministry of Home Affairs, Ministry of Villages (MOV), and the Coordinating Ministry of Human Development and Culture), operating across 26 districts in seven provinces. KOMPAK has a current end date of December 2018, but is expected to continue through June 2022 with a total commitment of up to AUD 177 million, of which up to 97 million will be expended between July 2018 and June 2022, subject to annual budget allocations.
- 1.5 KOMPAK is a governance facility aligned to GoI's two key poverty reduction objectives – improved access to and quality of frontline services, and increased opportunities to jobs and livelihoods for Indonesia's poorest and most vulnerable people. KOMPAK supports GoI in its efforts to achieve these objectives by improving village governance, strengthening sub-national transfers and spending, enabling local governments to deliver services and economic opportunities more effectively. It does this by working alongside GoI to improve policies, systems and citizen engagement nationally and at the local level. KOMPAK's implementation instruments include policy advocacy and dialogue, research and analytics, pilots and demonstrations, and capacity development and institutional strengthening.
- 1.6 KOMPAK has three high-level End-of-Facility Outcomes (EOFOs):<sup>2</sup>
- EOFO 1: Local government and service units better address the needs of basic service users.
  - EOFO 2: The poor and vulnerable benefit from improved village governance.
  - EOFO 3: The poor and vulnerable benefit from increased opportunities for economic development.
- 1.7 In working towards achieving these EOFOs, KOMPAK focuses on addressing the constraints from the 'bottom-up' (at the point of service or the frontline where communities access the service), as well as 'top-down' from Jakarta, while strengthening the supportive regulatory framework at the national level. KOMPAK takes innovative approaches to address a wide range of constraints, including local governments' capacities to plan, budget, and deliver quality services, and the ability of citizens (women and men) to influence budget allocations for services. KOMPAK builds on DFAT's past investments in community empowerment, service delivery, public sector governance, and civil society strengthening.
- 1.8 KOMPAK's high-level results framework, comprising its broader goal, EOFOs and Intermediate Outcomes (IOs), is presented in Figure 1.

<sup>2</sup> KOMPAK notes that standard DFAT terminology as per its Aid Programming Guide is 'End of Investment Outcomes'. For consistency with previous program documents, the term 'End-of-Facility Outcomes' is used in this document.

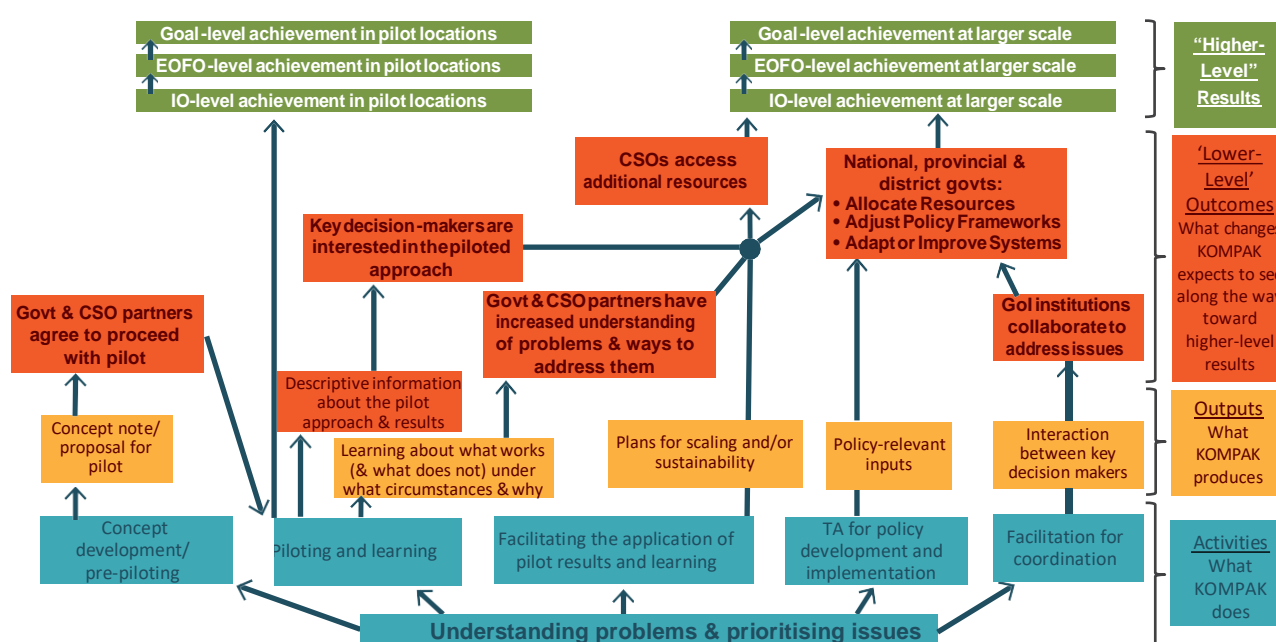


**FIGURE 1 : KOMPAK'S HIGHER-LEVEL RESULTS FRAMEWORK**



1.9 Although it works flexibly and adaptively across many different issues, KOMPAK works in a few specific ways to drive IO- and EOFO-level change in a 'complex' and 'complicated' environment. At the heart of KOMPAK is the approach of 'experimentation, evidence, and targeted policy support' (see 2018 LDD). How this strategy leads to KOMPAK's IOs and EOFOs is elaborated further below, including graphically in Figure 2. This is referred to as the 'lower-level' program logic of KOMPAK, because it elaborates the presumed cause-and-effect relationships between KOMPAK's work (presented as six generic types of activities), the main outputs of those activities, various 'lower-level outcomes', and finally KOMPAK's 'higher-level results'. Detail on the program logic, ways of working and activity appraisal process is provided in the 2018PLWW.

**FIGURE 2 : KOMPAK 'LOWER-LEVEL' PROGRAM LOGIC**



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## BACKGROUND TO THIS PERFORMANCE MANAGEMENT FRAMEWORK

- 1.10 In taking a design-and-implement approach, KOMPAK's strategic framework has evolved over time. KOMPAK's initial Monitoring, Evaluation, and Learning (MEL) framework in 2016 presented a cascaded performance framework that had two levels: a Strategic Performance Framework level and Operational Performance Framework level.<sup>3</sup>
- 1.11 This framework was updated in February 2018, including with the refinement of seven IOs down to five, as KOMPAK learned from implementation and promoted cohesion in implementation across the EOFOs. At this time, the program had shifted in balance from an initial focus on national-level policy advice and support, to a greater focus and increased resources at the sub-national level (between late 2015 and the end of 2016, KOMPAK expanded its geographic reach from two to seven provinces).
- 1.12 In relation to these frameworks, KOMPAK has previously attempted to put in place systems for Monitoring, Evaluation, and Learning. These systems were designed to track progress at all levels from activity results to outcomes, including related to relevant indicators for DFAT's Performance Assessment Framework (PAF). Key principles of adaptive programming have underpinned KOMPAK's approach to MEL; however, KOMPAK has had challenges in monitoring and reporting on the many different processes involved and in linking progress to the delivery of desired results. The many different 'Theories of Change' at the activity level and the lack of adequate baseline data has made it difficult to consolidate information on KOMPAK's overall achievements. Additionally, a 'review and refresh' exercise undertaken by KOMPAK in late 2017 highlighted the desire of KOMPAK to move MEL processes closer to implementation, to better facilitate learning for improvement and to help teams assess whether performance is 'on track' to respond accordingly, rather than only producing data for upwards accountability reporting.
- 1.13 This current framework is intentionally named a Performance Management Framework (PMF) rather than a MEL Plan to emphasise its role in the management of KOMPAK. The PMF attempts to respond to the challenges described above, as well as to address key recommendations from DFAT's Independent Progress Review (IPR) in October 2017, and the subsequent Aid Governance Board (AGB) review in March 2018. Overall, the key recommendations from the two DFAT reviews, which KOMPAK has addressed in this document, are to:
- Revisit the program logic and theory of change (see the 2018 PLWW document for further detail).
  - Increase the focus on measuring outcomes, including by revisiting indicators and targets and strengthening their correlation with outcomes.
  - Clearly articulate outcomes at the activity level, as well as processes for designing and quality assuring activities.
- 1.14 A complete list of the DFAT review recommendations with corresponding actions taken by KOMPAK are presented in Annex 1.

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<sup>3</sup> The Strategic Performance Framework outlined the goal, an overall theory of change with mini-theories of change for each EOFO, Intermediate Outcomes, and Projects to work towards achievement of the EOFOs. The three Operational Performance Frameworks went further in providing detail on the Activities within Projects. The Intermediate Outcomes at the Strategic Performance Framework level were positioned as Outcomes at the Operational Performance Framework level.

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## STRUCTURE OF THIS DOCUMENT

1.15 The remainder of this document is organised as follows:

- Section 2 describes the overall scope, purpose and audience of Performance Management in KOMPAK. It also lays out several general principles.
- Building on the framing of KOMPAK's performance outlined in the 2018 PLWW, Sections 3 and 4 then describe the general approaches to performance management at both the individual 'Activity' level, as well as at the KOMPAK (i.e. program) level.
- Section 5 outlines at a high level how KOMPAK will implement the proposed approach to performance management, in terms of resourcing and the roles and responsibilities within KOMPAK, as well as by outlining key processes.
- Section 6 outlines KOMPAK's approach to risk assessment and risk mitigation as it relates to performance management.
- Section 7 describes the main approaches to the reporting and communication of performance-related information.

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# 2 Scope, Purpose, and Principles for Performance Management in KOMPAK

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## SCOPE

- 2.1 This section explains the timeframe and main components of performance management in KOMPAK, as well as the two different ‘levels’ at which they sit.
- 2.2 This framework is expected to guide performance management in KOMPAK for the period 2019 to 2022.<sup>4</sup>
- 2.3 Performance management in KOMPAK covers four main components:
- **Monitoring:** the ongoing, systematic collection of data related to KOMPAK’s progress towards its desired results. Monitoring is designed to operate at regular intervals and in a timely manner to inform tactical and operational decisions as implementation proceeds. In general, monitoring is descriptive, in the sense that it provides information about ‘what’ has happened.
  - **Learning, reflection, and adaptation** are structured processes to ‘step back’ and review: (1) progress as compared to expectations; (2) key assumptions that underlie KOMPAK’s approach; and (3) relevant information related to what is working (and, conversely, what is not working) as the basis for informing and enabling adaptation and continuous improvement in KOMPAK’s approaches to implementation.
  - **Reporting:** the provision of key performance-related information both internally to KOMPAK senior management and externally to key stakeholders (the Steering Committee, DFAT, and the GoI).
  - **Evaluating:** the process of making judgments about the merit, worth, or value of KOMPAK’s work. This is different from monitoring in that KOMPAK evaluation processes will occur at key points in time. Especially when combined with an appropriate understanding of the context in which KOMPAK operates, they can help highlight key strengths and weaknesses within KOMPAK. Rather than ‘what happened’, they focus on ‘so what’, and can be used to inform the overall strategic direction of the facility and the selection and design of activities with the potential for high impact (in other words: ‘what next?’).
- 2.4 A key aspect of performance management in KOMPAK is that the processes above occur at two different ‘levels’: the Activity level and the KOMPAK level.
- 2.5 Activities (as indicated by a capital ‘A’) are the basic unit of KOMPAK investment. An Activity comprises a commitment of KOMPAK resources to achieve defined outcomes. An Activity may include any

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<sup>4</sup> KOMPAK has developed a ‘transition work plan’ for the period June to December 2019. While this PMF will serve as a guide for the monitoring and evaluation for that period, this PMF will not be applied in full until January 2019. This is partly because many of the instruments and processes required will be developed over the second half of 2019. KOMPAK will produce a separate basic plan for monitoring and evaluating transition activities for DFAT review and approval.

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number of (sub-)activities, including (but not limited to) technical assistance (TA), pilot activities, training activities, advocacy efforts, and research. KOMPAK Activities are defined in concept notes and (for activities committing resources over AUD 250,000) in more detailed design notes. An Activity is managed by one particular Team within KOMPAK, or by a KOMPAK Partner. Activities are also defined for a specified period of time; although Activities may be multi-year, expected results are defined on an annual basis. This is intentional, both to link to KOMPAK's annual planning, budgeting, and performance management cycles, and also to create a clear decision point for determining whether an Activity should be continued or stopped.<sup>5</sup>

2.6 The granularity of Activity-level performance management is important for management within KOMPAK, since it provides visibility on how individual Activities are progressing. It is also a key component of KOMPAK's approach to managing and mitigating risk (see Section 6 below). Performance information at the Activity level can also be aggregated to describe the program's overall performance; i.e. at the KOMPAK level.

## PURPOSE AND TARGET USERS

2.7 The core purposes of performance management within KOMPAK are to:

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

2.8 Considering these purposes, the main target users of information produced through KOMPAK's efforts at monitoring, learning, adapting, and evaluating are as follows:

- **KOMPAK Management** (Executive Team<sup>6</sup> and Senior Management Team).
- The **KOMPAK Steering Committee (GoI and DFAT)**.
- The **KOMPAK Technical Committees (at the national and sub-national levels)**.
- **DFAT**, especially the DFAT Human Development Section managing KOMPAK.
- The **Independent Strategic Advisory Team (ISAT)**.
- **KOMPAK implementation teams (including KOMPAK Partners)**.

2.9 The information needs of each of these stakeholders, which should be met through the KOMPAK performance management system, are elaborated further in Annex 2.

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<sup>5</sup> This definition elaborates further on the description of Activity Designs in the LDD, version March 2018.

<sup>6</sup> The KOMPAK Executive Team comprises the Team Leader, the Implementation Director, and the Operations Director.

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## PERFORMANCE MANAGEMENT PRINCIPLES

2.10 KOMPAK has adopted the following overarching principles in its approach to performance management:

### KOMPAK Performance Management should:

- Be **integrated with program management and implementation**, in the sense that all team members should have a role in gathering and analysing information, that performance management processes should be linked to key processes for planning and delivery, and that performance information should be relevant and understandable for internal KOMPAK teams.
- Be **utilisation-focused**; i.e. primarily oriented towards producing relevant, useful, accessible, and timely information that meets the needs of specific intended users.
- **Encourage honesty and realism** among all actors involved; i.e. enable evidence-informed contestability, avoid creating disincentives for reporting poor performance, and create spaces for learning and constructive discussions about opportunities for improvement.
- Be **aligned to the key internal reporting processes of DFAT**; i.e. designed to produce information that is directly relevant for AQC, APPR, and PAF processes.
- Be **proportional**; i.e. performance management efforts should be proportional both to the size of KOMPAK overall, as well as to individual Activities.
- Be **flexible**; i.e. be sufficiently able to accommodate both changes in KOMPAK's strategies over time, as well as new and emerging information needs.
- Be **GESI-sensitive**; i.e. ensure that relevant gender equality and social inclusion issues can be analysed and assessed, including in line with the KOMPAK GESI strategy.
- **Promote and ensure ethical practice**, including by being guided ethically by the *Guidelines for the Ethical Conduct of Evaluations* as published by the Australasian Evaluation Society (AES)<sup>7</sup> and by ensuring that all relevant staff and consultants are aware of and adhere to relevant aspects of the AES's *Code of Ethics*.<sup>8</sup>

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<sup>7</sup> See <[https://www.aes.asn.au/images/stories/files/membership/AES\\_Guidelines\\_web\\_v2.pdf](https://www.aes.asn.au/images/stories/files/membership/AES_Guidelines_web_v2.pdf)>.

<sup>8</sup> See <[https://www.aes.asn.au/images/stories/files/membership/AES\\_Code\\_of\\_Ethics\\_web.pdf](https://www.aes.asn.au/images/stories/files/membership/AES_Code_of_Ethics_web.pdf)>.

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# 3 Activity-Level Performance Monitoring and Performance Assessment

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- 3.1 The core units of KOMPAK's performance are its individual investments – the Activities. This section outlines the general framing and approach to performance monitoring and performance management at the Activity level.

## PERFORMANCE QUESTIONS AT THE ACTIVITY LEVEL

- 3.2 Four general questions will drive performance monitoring and management at the Activity level. These questions, which can be considered for any individual Activity or aggregated across Activities, are as follows:

**AQ1 Delivery:** Did we deliver the Activity (and sub-activities) in line with plans, including in a timely manner?

**AQ2 Quality:** Did implementation as well as the outputs/direct results of the Activity meet expectations of quality?

*Note: Considering its importance for KOMPAK and DFAT, the purposes of Activity performance management, GESI is considered a crucial aspect of quality*

**AQ3 Effectiveness:** What are the indications that the Activity is contributing to progress towards more distant outcomes?

**AQ4 Adaptation:** How have we adapted to improve the delivery, quality, and/or effectiveness of the Activity?

- 3.3 These four questions form the backbone of KOMPAK's approach to monitoring and managing Activity performance. As described in greater detail below, the answers to these questions will be provided at regular intervals through data and supporting evidence compiled by implementation teams, and validated collaboratively with the KOMPAK Performance team (with the potential for additional review as relevant, including validation by the ISAT).

- 3.4 Additionally, the performance of each Activity and the overall composition of the 'portfolio' of activities will be considered in light of both the relative difficulty of the Activity and the relative importance of the Activity. This implies the need for two additional questions at the Activity level:

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**AQ5 Risk of Failure:** How high is the risk that the Activity may fail to contribute to progress towards more distant outcomes?

**AQ6 Potential for Impact:** If the Activity is successfully implemented, how potentially significant is the contribution to the achievement of one or more of KOMPAK's End-of-Facility Outcomes?

AQ5 and AQ6 questions will be assessed during the planning stage of the KOMPAK annual performance management cycle, as described in section 6 below, and the 2018 PLWW.

3.5 The process of answering the questions above comprises the following main aspects:

- The design and agreement of Activity-level performance monitoring (included as part of the general Activity design and selection process described in the 2018 PLWW).
- Activity performance monitoring over the course of implementation.
- Activity performance assessment at key intervals during KOMPAK's annual performance cycle

## ACTIVITY-LEVEL PERFORMANCE MONITORING

3.6 As part of Activity concept development and design for an Activity Concept Note (ACN) or Activity Design Note (ADN),<sup>9</sup> the KOMPAK Performance team will support implementation teams in designing performance approaches at the Activity level, including by developing or clarifying the program logic of the Activity (including in reference to the general Lower-level Program Logic described in the PLWW), identifying key questions and/or indicators, sources of information, and methods for data collection and analysis.

3.7 A general approach to Activity-level performance monitoring is presented below for AQ1–4; however, this will need to be tailored to the context and nature of each Activity.<sup>10</sup> A key aspect of Activity-level performance monitoring (in line with the principles in section 2.10 above) is that it should be proportional: efforts to collect and analyse performance information should be in line with the relative size or importance of the Activity within the KOMPAK portfolio.

### AQ1 DELIVERY: DID WE DELIVER THE ACTIVITY (AND SUB-ACTIVITIES) IN LINE WITH PLANS, INCLUDING IN A TIMELY MANNER?

3.8 On a quarterly basis, each Activity will prepare a brief snapshot of implementation against its annual work plan, using a traffic light system documenting whether individual sub-activities are on track, delayed, or have been cancelled.

### AQ2 QUALITY: DID IMPLEMENTATION AS WELL AS THE OUTPUTS/DIRECT RESULTS OF THE ACTIVITY MEET EXPECTATIONS OF QUALITY?

3.9 ACNs/ADNs will define the key outputs or direct results of the activity with reference to the KOMPAK program logic, as well as how GESI considerations will be integrated into Activity implementation and outputs.

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<sup>9</sup> ACNs and ADNs are prepared for new Activities. The process for preparation and appraisal of these is outlined in the 2018 PLWW.

<sup>10</sup> To support this process, KOMPAK will develop more detailed guidance for Activity-level performance management. This will include templates for the design of performance monitoring (including a 'menu' of standardised monitoring questions/indicators) and a set of standardised tools and templates that can be used as part of performance monitoring.



3.10 Indications of Activity quality will then be documented through three standardised approaches:

**TABLE 1: TOOLS FOR DOCUMENTING ACTIVITY QUALITY**

Tool	Purpose
Participant Assessment Surveys (PAS)*	Used to document feedback from participants in KOMPAK activities.
After Event Reports (AER)*	Used to document observations of KOMPAK staff on the quality of implementation.
GESI Quality Tool	Used to document the extent to which GESI considerations have been appropriately applied within the context of the Activity, as aligned with commitments in the GESI Action Plan.

\* Tools that have already been used by DFAT and KOMPAK during the period 2015 to 2018; these will be reviewed and modified for further use as appropriate.

3.11 Where relevant, these standardised approaches can be supplemented through additional information, especially for highly strategic outputs. These supplemental approaches may include peer review, external observation, or interviews with key stakeholders to obtain feedback on the extent to which the Activity is meeting their expectations for quality.

### **AQ3 EFFECTIVENESS: WHAT ARE THE INDICATIONS THAT THE ACTIVITY IS CONTRIBUTING TO PROGRESS TOWARDS MORE DISTANT OUTCOMES?**

3.12 'Progress markers' will be used as the main mechanism for understanding the effectiveness of an Activity. Progress markers are short-term, qualitative targets that can be used to make a judgement of whether performance is on track. They represent time-bound, outcome-level changes that KOMPAK would 'like to see' within the span of one year, as a result of the successful implementation of the Activity.<sup>11</sup> Where relevant, progress markers may be supplemented with more precise indicators that describe specific expectations in greater detail.

3.13 For each Activity, KOMPAK will define a small number of annual progress markers (or other performance targets) that describe the main expected outcomes of the Activity, or key interim outcomes on the pathway to those main outcomes. These will be detailed in the ACN or ADN and tracked through six-monthly reviews (see 3.22). Wherever possible, progress markers should be agreed with the key GoI counterparts and/or CSO partners involved in an Activity.

3.14 Most progress markers should be chosen with reference to the 'lower-level outcomes' from KOMPAK's program logic. An indicative list of generic progress markers is presented in Table 2 below. These progress markers will need to be specified further in the context of each individual Activity.

<sup>11</sup> In general, progress markers should provide some early indications that a system may be changing; for example: changes in the availability or flow of information within the system; changes in rules or regulations that govern the system; the involvement of new actors or changes in interaction between existing actors; or changes in the perspectives of parties who have influence over the system (e.g. formal or informal leaders).

**TABLE 2: : INDICATIVE LIST OF GENERIC PROGRESS MARKERS**

1	Gol/CSO partners have agreed to proceed with a pilot.
2	Gol/CSO partners have allocated their own resources to implement a pilot.
3	The pilot has produced expected results related to [XXX].
4	Key decision-makers have expressed interest in the pilot approach and results.
5	Gol or CSO partners have incorporated a new understanding of the problem and/or piloted approach into future plans.
6	Gol partners allocated additional resources as a result of KOMPAK-supported piloting or TA.
7	Gol partners have taken key steps to change policy as a result of input provided through KOMPAK-supported piloting or TA.
8	Gol partners have enacted significant changes in policy, incorporating contributions from KOMPAK-supported piloting or TA.
9	Gol partners have taken other action as a result of KOMPAK-supported piloting or TA.
10	CSO partners have accessed additional resources for the larger-scale implementation of a KOMPAK-supported pilot.

3.15 To assist with documenting and tracking the progress markers listed above, KOMPAK will develop and apply a number of standardised tools. These include:

**TABLE 3: TOOLS FOR DOCUMENTING AND TRACKING PROGRESS**

Tool	Purpose
Pilot Tracking tool*	Used to document the progress of a pilot over time, including in terms of implementation progress, learning, and plans for scaling and/or institutionalisation.
Leverage tool	Used to track the allocation of additional Gol, CSO, or other third party resources to KOMPAK-supported initiatives or approaches.
Policy Review/ Tracking tool*	Used to track developments/milestones in the policy cycle linked to KOMPAK support.
Significant Policy Change tool*	Used to document, understand, and report on instances of significant policy change, including KOMPAK's contribution.

\* Indicates tools that have already been used by KOMPAK during the period 2015 to 2018; these will be reviewed and modified for further use as appropriate.

3.16 A complicating factor for standardising Activity-level performance monitoring is that – as highlighted in the 2018 PLWW – a key component of KOMPAK's approach is its focus on piloting and learning. Therefore, an important result for many Activities will be some version of Progress Marker 3 above: that 'The pilot has produced expected results related to [XXX]', where [XXX] is defined in relation to whatever approach the pilot is intending to test.

3.17 Specifically for Activities for which piloting and learning features heavily, the Activity design process will need to identify these expected results, as well as a way to document them. In other words, each pilot will be expected to: (1) define its own program logic, which explains the link between pilot implementation and expected pilot results; and (2) provide a plan to monitor and evaluate the extent to which the pilot produces those expected results in pilot locations. The design phase may therefore also include the identification (in the ACN and/or ADN) of:

- Specific indicators and targets related to key pilot results, for example, in terms of reach to beneficiaries or number of villages or institutions that adopt a certain approach.
- Existing sources of data – including from GoI sources where relevant – that can be used to track or triangulate expected results;
- Specific tools or approaches to be used to document and understand the achievement of results, for example the Village Budget Analysis KOMPAC has applied during the period 2015 to 2018, or the district-level CRVS benchmarking tool currently under development.

#### AQ4 ADAPTATION: HOW HAVE WE ADAPTED TO IMPROVE THE DELIVERY, QUALITY, AND/OR EFFECTIVENESS OF THE ACTIVITY?

- 3.18 This final performance question reflects the acknowledgment that the previous three questions do not sufficiently capture Activity performance: learning and adaptation are at least as important. Building this question into Activity-level performance monitoring is intended to promote honesty and realism about the achievement of outcomes, and to enable and encourage adaptability in implementation for improvements.
- 3.19 On a quarterly basis, each Activity will be expected to identify and document any important learning and ways in which that learning has been applied to improve Activity delivery, quality, or effectiveness. The application of such learning is likely to be reflected in changes to work plans (in terms of the addition or replacement of sub-activities), but may also take other forms, for example prioritising relationships with different stakeholders in consideration of changing circumstances and prevailing political realities.
- 3.20 KOMPAC will develop a simple tool to enable teams to document key ways in which they have adapted during Activity implementation, as well as the reasons why such adaptations were considered necessary and important for the overall performance of the Activity.

#### ACTIVITY-LEVEL PERFORMANCE ASSESSMENT

- 3.21 A key aspect of Activity-level performance management is that implementation teams are responsible not only for the ongoing process performance monitoring (gathering data and evidence with guidance and support from the Performance team), but also for reflecting on and assessing the performance of their Activities, with reference to the performance information they have compiled. Assessments are then validated through a review of supporting evidence facilitated by the Performance team. Especially for large or high-profile Activities, this validation process may include additional independent reviewers and GoI counterparts.
- 3.22 The Activity-level performance reflection and assessment process is structured around Activity reviews held at two key points in KOMPAC's annual performance cycle: an interim review after six months, and a final review at the end of the year. The reviews are also a key part of KOMPAC's approach to facilitating learning (see 5.22 to 5.24). Depending on the size and nature of the Activity, additional check-in points can be held after three and nine months. Each of these exercises is intended to :
- Provide an opportunity to check progress against plans and expectations, i.e. answer the question **'What happened?'**
  - Provide space for an internal and reflexive questioning about what is working and what isn't, i.e. answer the question **'So What?'**
  - Identify and agree the required changes to plans going forward, i.e. answer the question **'What Next?'**

3.23 Although these basic questions are the same, their focus changes at different points during the annual performance cycle. As can be seen in Table 4, in months 3 and 9, the process is lighter and focused predominantly on the status of implementation. In month 6, the process is more focused on the (interim) achievement of outcomes, and in month 12 the process is focused both on the achievement of outcomes, as well as implications for the next cycle.

**TABLE 4: ACTIVITY-LEVEL REVIEW AND REFLECTION EXERCISES**

	Month 3	Month 6 (Mid-Year)	Month 9	Month 12 (Final)
<b>What Happened?</b>	Review of: • <b>Delivery (AQ1)</b> • <b>Quality (AQ2)</b>	Review of: • Delivery (AQ1) • Quality (AQ2) • <b>Effectiveness (AQ3)</b> • <b>Adaptation (AQ4)</b>	Review of: • <b>Delivery (AQ1)</b> • <b>Quality (AQ2)</b>	Review of: • Delivery (AQ1) • Quality (AQ2) • <b>Effectiveness (AQ3)</b> • <b>Adaptation (AQ4)</b>
<b>So What?</b>	• Comparison with implementation plan • Any emerging indications of effectiveness?	• Comparison with (revised) implementation plan • Comparison with progress markers • Review of other important changes.	• Comparison with (revised) implementation plan • Any additional emerging indications of effectiveness?	• Comparison with (revised) implementation plan • Comparison with progress markers • Review of other important changes.
<b>What Next?</b>	• How to adapt? • What additional info to collect?	• How to adapt? • What additional information to collect? • What additional support is needed?	• How to adapt? • What additional information to collect?	• Do we need to modify our overall plans for working in this area? • What to do next year?

3.24 During the mid-year and final performance reviews, implementation teams will self-assess the performance of each Activity they manage against each of the four dimensions of Activity performance (Delivery, Quality, Effectiveness, and Adaptation) as reflected in AQ1–4. Each of the four questions can be rated on the following general scale (which during the operationalisation of this framework can be further defined for each question as relevant).

A	Significantly above expectations
B	Delivered to a high standard/clearly exceeds minimum expectations
C	Delivered as planned/in line with minimum expectations
D	Failed to deliver on agreed expectations

Note: half-grades (for example as indicated by the + sign) can be used to indicate better performance within a particular band.

3.25 The Performance team will facilitate a process of collaboratively validating the performance ratings, both by reviewing supporting evidence (especially for Effectiveness) and by challenging the implementation team's self-assessment where appropriate. This feedback can also be reflected in the implementation team's refinements to the work plan for the coming period.

3.26 The assessment of Activity performance against each question and the conversion of ratings to numeric values effectively enables the production of a Performance ‘Score’ for each Activity, as follows:

$$\text{Performance}_A = w \cdot \text{Delivery}_A + w \cdot \text{Quality}_A + w \cdot \text{Effectiveness}_A + w \cdot \text{Adaptation}_A$$

Where ‘w’ is a weight assigned to each of the four criteria, as follows:

AQ1	Delivery	0.2
AQ2	Quality	0.2
AQ3	Effectiveness	0.4
AQ4	Adaptation	0.2

#### BOX 1: CRITERIA FOR EXITING ACTIVITIES

- Does not contribute to KOMPAK’s defined outcomes.
- Does not contribute towards GoI’s development priorities.
- Does not contribute towards solving local development problems (applicable for locally-implemented initiatives).
- Lack of or declining national and/or sub-national government commitment.
- Does not meet defined milestones for success.
- Does not achieve the intended results.
- Too expensive and resource intensive for government or others to replicate.
- Other development actors are better placed to assist.

3.27 For Activities that are not delivering as expected (rated by teams as ‘failing to deliver on agreed expectations’) during a six-monthly review cycle, the Performance team will work with the implementation team to identify opportunities for adaptation, as well as the need for additional support, including in the form of a more structured evaluation study (see below). If the Activity is still considered underperforming during the next six-monthly review, this will trigger a review against KOMPAK’s Criteria for Exiting Activities, as approved by the KOMPAK Steering Committee in March 2018 (see Box 1).<sup>12</sup>

3.28 On the basis of this review, the Performance team may recommend to close the Activity. Where this recommendation is accepted by the Executive team (in consultation with DFAT and GoI as relevant), the Performance team, with the implementation team, will prepare a technical and communication strategy for exiting, including a risk management plan and timeline.

## ACTIVITY-LEVEL EVALUATION STUDIES

3.29 A final component of performance management at the Activity level is the possibility to undertake additional evaluation studies where there is a clear benefit to doing so. An annual agenda of a small number of high-priority Activity-level evaluation studies will be agreed between the Performance team and the KOMPAK Senior Management Team, including in consultation with ISAT as relevant.<sup>13</sup> Such studies will be undertaken either internally, or commissioned externally. Where possible, KOMPAK will look to leverage the networks of Knowledge Sector Initiative (KSI) or other DFAT programs, particularly where this may contribute to strengthening analysis and research capabilities of local institutions and universities where KOMPAK is working.

<sup>12</sup> The Investment Criteria for New Activities approved by the Steering Committee in March 2018, along with the process for appraisal of new activities is included in the 2018 PLWW.

<sup>13</sup> These evaluations may cut across individual Activities, where (for example) their scope is location-specific (e.g. focused on one province or district) or thematic (e.g. focused on GESI Activities or those leveraging Innovation).

3.30 In general, Activity-level evaluation studies will follow one of three general approaches to evaluation considered relevant in KOMPAK. These are outlined in Table 5 below.

**TABLE 5: POTENTIAL APPROACHES TO ACTIVITY-LEVEL EVALUATION**

Approach	Purpose	Focus	Relevance	Intended Use
Performance Evaluation	Provide clear evaluative judgment on the performance of the activity.	Collecting and/or analysing additional data related to specific evaluation criteria agreed between stakeholders and the evaluation team.	Where there are concerns about the performance of an Activity, or where additional evidence is considered necessary as an input into decisions about whether the Activity should be continued.	Decision-making regarding the continuation of the activity.
Realist Evaluation	Better understand how and why an Activity or pilot works (or does not work) in different contexts or for different types of beneficiaries (e.g. women or the poor and vulnerable).	Unpacking the causal mechanisms that drive the results of a particular Activity, and further developing hypotheses about how and why key aspects of the Activity work, for whom, and under what circumstances.	For certain Activities that have proved successful in some contexts and are likely to be applied at a larger scale.	Informing plans for scale up of an Activity or pilot.
Developmental Evaluation	Integrate data collection and evaluative thinking into emergent Activity design and ongoing implementation.	Regular, interactive interrogation of the Activity as it evolves.	For early stage pilots where ideas and strategies seem promising, but are still emerging.	Iteratively improving Activity design and implementation.

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## 4 KOMPAK-Level Performance Assessment

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4.1 This section outlines the general approach to the overall assessment of KOMPAK's performance as a program.

4.2 One overarching performance question will frame KOMPAK's performance in terms of its effectiveness in contributing to larger-scale change related to service delivery, village governance, and local economic development:

**KQ1 Effectiveness in contributing to larger scale change:** To what extent has KOMPAK's work led to significant action by government or civil society actors that can be plausibly considered to be affecting larger-scale change related to service delivery, village governance, and local economic development?

4.3 This question will build upon information about the effectiveness of KOMPAK Activities (AQ3), and will be answered in two ways at two different times:

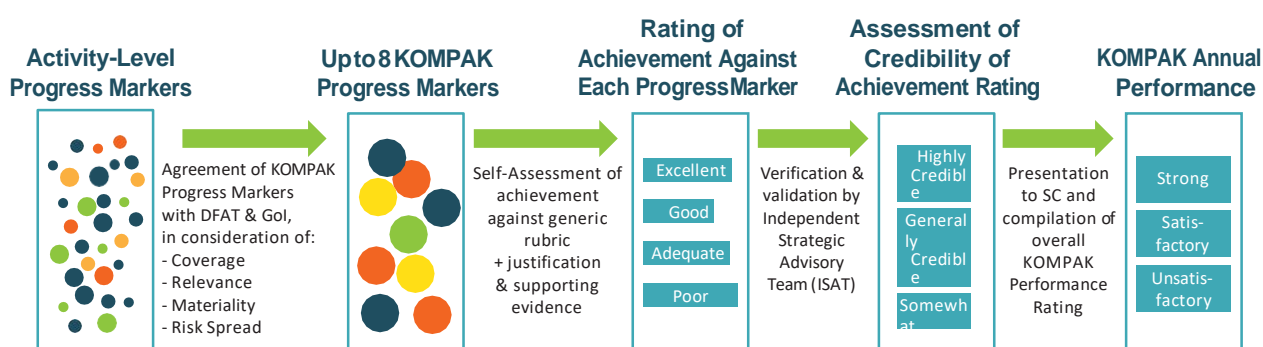
- Annually, through an assessment of the extent to which KOMPAK has achieved the key 'progress markers' agreed during its annual planning cycle.
- Through a review of the performance of the KOMPAK 'portfolio' in contributing to change at scale, currently proposed for 2021.

### ANNUAL PERFORMANCE ASSESSMENT AGAINST KOMPAK PROGRESS MARKERS

4.4 As described in section 3 above, the main approach to monitoring and assessing the effectiveness of individual Activities on annual basis is through the identification of progress markers, which are outcome-level changes that: (1) KOMPAK would 'like to see' within the span of one year; and (2) which can be considered a step along the way to realising the larger-scale change reflected in KQ1.

4.5 Considering KOMPAK's adaptive approach, and its nature as a facility supporting many different Activities, this approach is also suitable for assessing KOMPAK's overall performance on an annual basis. This provides the flexibility for KOMPAK to continue to adapt its strategies over time, and to adjust definitions of performance accordingly. The general process is described in Figure 3, and elaborated further below.

**FIGURE 3 : PROCESS OF ANNUAL PERFORMANCE ASSESSMENT AGAINST KOMPAK PROGRESS MARKERS**



**4.6** Based on the various progress markers identified at the Activity level, as part of the annual planning process, KOMPAK will work together with key stakeholders from DFAT and Gol (through the Technical Committee) to identify a limited number (maximum: 8) of 'KOMPAK Progress Markers'. As with Activity Progress Markers, these are defined on an annual basis, reflecting the key results KOMPAK expects to achieve within that year – most likely in terms of the 'lower-level results' in KOMPAK's program logic. Key considerations for the selection of KOMPAK Progress Markers are as follows:

- Coverage:
  - Across results contributing to each of the three EOFs.
  - Across results contributing to each of the four IOs.
  - Across the different 'lower-level outcomes' from the KOMPAK program logic.
- Relevance:
  - Are linked to Activities or expected results that are of specific interest to Gol or DFAT (including as reflected in stated priorities).
- Materiality:
  - Are linked to Activities that are larger in terms of geographic scope and/or resources allocated.
- Risk Spread:
  - Appropriately reflect the investment risks of the overall portfolio of Activities (see Section 7 below), i.e. not all selected KOMPAK Progress Markers are for high- or low-risk activities.

**4.7** The selected and agreed KOMPAK Progress Markers then form a key focus of KOMPAK's annual performance cycle. By the end of the year, KOMPAK will assess its own achievement for each of the KOMPAK Progress Markers, against the following generic rubric:



<b>Excellent</b>	<ul style="list-style-type: none"> <li>Actual achievement clearly exceeds the expectations, as described in the progress marker.</li> <li>Very few or no gaps or weaknesses in terms of achievement against expectations.</li> <li>Any gaps or weaknesses have no significant impact and have been managed effectively by KOMPAK.</li> </ul>
<b>Good</b>	<ul style="list-style-type: none"> <li>Achievement is generally in line with expectations, as described in the progress marker.</li> <li>There may be a few gaps or weaknesses in terms of achievement, but KOMPAK has taken appropriate action to address or manage these.</li> </ul>
<b>Adequate</b>	<ul style="list-style-type: none"> <li>Achievement is inconsistent in relation to the expectations, as described in the progress marker; however, minimum expectations (in terms of implementation of KOMPAK activities) have been met.</li> <li>There are some gaps or weaknesses in terms of achievement; KOMPAK has taken action to address or manage some but not all of these.</li> </ul>
<b>Poor</b>	<ul style="list-style-type: none"> <li>The progress marker has clearly not been achieved; minimum expectations regarding the implementation of KOMPAK activities have not been met.</li> <li>Significant gaps or weaknesses affecting achievement have not been sufficiently addressed by KOMPAK.</li> </ul>

4.8 KOMPAK will provide a brief justification of the rating, summarising key evidence in support of the selected achievement for each Progress Marker.

4.9 The result of KOMPAK's self-assessment will then go to the ISAT for a process of validation and verification. This validation is not intended as an in-depth review of the assessment or an audit of the evidence cited, but rather should provide a 'second set of eyes' and an objective professional judgment as to the credibility of the rating of the achievement of each KOMPAK Progress Marker.

4.10 In reviewing the credibility of the rating by KOMPAK, the external reviewer can be guided by the following (indicative) rubric:

<b>Highly Credible</b>	KOMPAK's rating is well-reasoned and supported with convincing evidence. There are no significant gaps in the explanation of the rating or evidence.
<b>Generally Credible</b>	KOMPAK's rating is acceptable and supported with sufficient evidence. There are some minor gaps in the explanation of the rating or supporting evidence, but not enough to trigger significant questions or doubts about the overall rating.
<b>Somewhat Credible</b>	KOMPAK's rating is debatable, and supported by weak or limited evidence. Significant gaps in the explanation of the rating or supporting evidence contribute to meaningful doubts.
<b>Suspect</b>	KOMPAK's rating includes unsubstantiated claims or unclear, contradictory, and/or seemingly exaggerated information. There are major gaps in the explanation of the rating or supporting evidence.

4.11 The validated performance across KOMPAK Progress Markers can then be shared with the KOMPAK Steering Committee, and also used as a basis for assessing KOMPAK's overall performance; for example, in line with the rubric below (to be agreed further with DFAT and GoI).

<b>Strong Overall Performance</b>	At least 80% of agreed KOMPAK Progress Markers are rated 'Good' or above. <b>And</b> These ratings have been assessed 'Generally Credible' or 'Highly Credible'.
<b>Satisfactory Overall Performance</b>	At least 50% of agreed KOMPAK Progress Markers are rated 'Good' or above. <b>And</b> These ratings have been assessed 'Generally Credible' or 'Highly Credible'.
<b>Poor Overall Performance</b>	Less than 50% of agreed KOMPAK Progress Markers are rated 'Good' or above. <b>Or</b> The ratings for more than 50% of agreed progress markers have been assessed as 'Suspect'.

## SUPPLEMENTARY SNAPSHOT INDICATORS

- 4.12 Although progress markers represent important measures of KOMPAK performance at the outcome level, they are likely to represent a variety of specific changes across the different Activities and contexts in which KOMPAK works. KOMPAK is therefore likely to benefit from a set of facility-level **Snapshot Indicators**: relatively simple performance measures that help the facility to communicate aggregate results (from across multiple Activities) to key stakeholders, especially from DFAT and GoI. While these measures will provide a rapid 'snapshot' of KOMPAK's contributions to outcome-level change, they are not formal measures of KOMPAK's performance, in the sense that no performance targets will be set as a means of assessing the sufficiency of changes.
- 4.13 KOMPAK Snapshot Indicators will be defined in reference to changes that resonate with target audiences, including those contained in the DFAT Performance Assessment Framework. They will also be selected with consideration of the benefit of messaging compared with the cost of collecting, analysing, and reporting such data.
- 4.14 An indicative list of Snapshot Indicators, to be agreed further with DFAT and GoI and based on input from the ISAT, is provided in Table 6 below.<sup>14</sup>

**TABLE 6: PROPOSED KOMPAK SNAPSHOT INDICATORS**

#	Indicator
1	Additional GoI (national/province/district/village) financial resources (in AUD) committed to KOMPAK-supported initiatives.
2	Number of pilots supported by KOMPAK.
3	Number of women/men/persons with disabilities reached through KOMPAK capacity building efforts.
4	Estimated number of women/men/persons with disabilities who obtain legal identity documents with direct/indirect support from KOMPAK.
5	Number of districts that implement improvements to service delivery systems.
6	Number of villages that implement improvements to service delivery systems.
7	Percentage of KOMPAK Activity Budget allocated to: <ul style="list-style-type: none"> <li>• GESI-targeted activities</li> <li>• GESI-mainstreamed activities.</li> </ul>

<sup>14</sup> This list will be reviewed again in reference to the latest version of the DFAT PAF for 2018–2019.

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## REVIEW OF KOMPAK'S CONTRIBUTIONS TO CHANGE 'AT SCALE'

4.15 The Activity-level performance management processes (including Activity-Level Progress Markers), KOMPAK Progress Markers, and Snapshot Indicators should all provide confidence in KOMPAK's direction of travel towards its EOFOs. However, they are insufficient to assess KOMPAK's overall performance in affecting large-scale change (or the potential for such) as reflected in KQ1.

4.16 A supplementary exercise is therefore necessary to review KOMPAK's performance as a portfolio of many different Activities working to affect large scale change over several years. This exercise must take into account the flexible and adaptive nature of KOMPAK as a facility operating in a complex environment, where:

- A relatively small number of KOMPAK's many different Activities are likely to be highly successful in terms of contributing to large-scale change (i.e. of KOMPAK's many 'small bets', perhaps only a few will pay off in large ways).
- KOMPAK's contributions to large-scale change are not entirely predictable and therefore may only be fully visible in retrospect.

4.17 By the end of its life as a facility (i.e. by 2022), to be considered successful, KOMPAK will need to demonstrate that several of its Activities have contributed to the achievement of higher-level results (see Figure 1). This means it will need to point to various instances where:

1. KOMPAK has provided meaningful contributions (through Activities and lower-level outcomes) to:
  - a. Durable IO-level change (i.e. policy; fiscal transfer arrangements; service delivery systems, processes and practice; and engagement between communities and local governments and service providers), which can be either: (i) demonstrated; or (ii) plausibly assumed to contribute to EOFO-level change; or
  - b. Strategic counterparts' ways of working, which can be either: (i) demonstrated; or (ii) plausibly assumed to contribute to durable IO- and then EOFO-level change.
2. The changes in the first point have occurred at a scale that is considered in line with KOMPAK's ambitions, at least at the district-level, and in some cases across multiple districts or at the province-level, and at the national level.
3. The changes and KOMPAK's contributions therein are supported by a credible mix of evidence and well-articulated assumptions.

4.18 This implies the need for several steps to help assess key contributions from KOMPAK's overall body of work, as follows:<sup>15</sup>

1. **The identification of various instances where KOMPAK has provided meaningful contributions to change at scale.** Many of these changes should be able to be detected through KOMPAK's ongoing performance monitoring efforts; e.g. through Activity- or KOMPAK-level Progress Markers. However, KOMPAK will also conduct a more open-ended process of documenting additional potentially important outcomes, including through KOMPAK's regular reflective reviews.
2. **The elaboration and evidencing of KOMPAK's contribution.** As above, existing data from KOMPAK's performance management system (about activities, outputs, and outcomes) or Activity-level evaluations should provide a starting point for outlining the key contributions of KOMPAK, especially when this data speaks to multiple points along the 'change pathways', as elaborated

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<sup>15</sup> These steps are modified versions of the Significant Policy Improvement technique developed by Clear Horizon for use in assessing significant policy change as part of the DFAT PAF.

in KOMPAK's program logic or in individual ACNs/ADNs; however, for many changes KOMPAK will likely need to collect additional information and supporting evidence. For each instance of change at scale, KOMPAK will document and provide supporting evidence for:

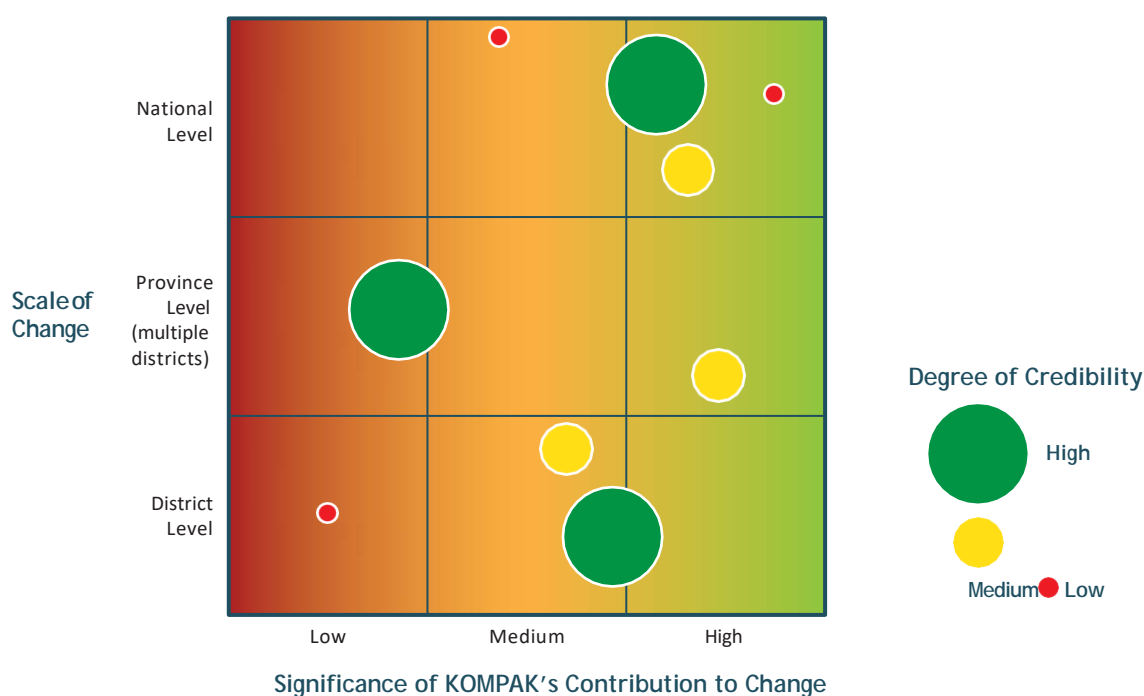
- The instance of change and its link to KOMPAK's high-level results framework (IOs and EOFOs).
- The scale of the change (including where relevant the potential to influence change at a larger scale).
- KOMPAK's contribution, as well as the role of other key factors.

**3. The validation of: (1) the existence and scale of the change; and (2) the significance of KOMPAK's contribution.** KOMPAK will provide provisional assessments of the scale of change and significance of KOMPAK's contribution using a rubric to be developed, based on input from ISAT and the Technical Committee. These provisional assessments will then be validated by the ISAT with relevant GoI stakeholders (either members of the Technical Committee, or informed members of GoI partner agencies).

4.19 By the end of 2021, KOMPAK will aim to have documented at least nine instances representing KOMPAK's most meaningful contributions at scale. This represents three per year over the period 2019 to 2021, although KOMPAK may choose to document more instances in later years to allow time for change to occur at scale.

4.20 These validated instances can then be plotted visually in a format similar to Figure 4 below, including over time to include the addition of cases or further evidencing of cases, so that they are considered more credible. In this graphic, strong overall performance by KOMPAK would be indicated by a concentration of cases (especially highly credible cases) in the green band along the right-hand side.

**FIGURE 4 : INDICATIVE VISUALISATION OF INSTANCES OF KOMPAK CONTRIBUTION TO CHANGE AT SCALE**



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## REVIEWS OF KOMPAK'S WAYS OF WORKING

4.21 In addition to the achievement of expected results described above, KOMPAK's ways of working are also a critical part of KOMPAK's performance, in that they help to ensure that KOMPAK is producing the 'right' results. Key aspects of KOMPAK's ways of working are reflected in the following evaluative questions:

**KQ2 How strategically has KOMPAK allocated its resources in relation to: (a) prevailing political and institutional realities in the governance and service delivery environment; and (b) emerging priorities and opportunities?**

This question is focused predominantly on KOMPAK's internal processes for the design, appraisal, and selection of Activities that are: (a) strategically relevant, including in terms of emerging priorities and opportunities; and (b) likely to make a strategic impact? It addresses the relevance and efficiency of KOMPAK.

**KQ3 How well has KOMPAK leveraged other resources in delivering its programming?**

This question is focused both on KOMPAK linking in to GoI plans, priorities, and resource allocations, as well as the extent to which KOMPAK collaborates with other DFAT programs (and, where relevant, other development partners). It addresses the efficiency of KOMPAK and is also closely related to KOMPAK's Strategic Driver 1: Institutionalising Sustainability outlined in the LDD.

**KQ4 To what extent are KOMPAK's internal resources, systems, and processes enabling and encouraging KOMPAK to learn and then share and apply its learning?**

This question is focused on KOMPAK's capacity to learn (also collaboratively with the GoI) and share its learning. It addresses issues around strategic management and monitoring and evaluation (M&E) within KOMPAK and is also closely related to KOMPAK's Strategic Driver 2: Becoming a Learning Organisation outlined in the LDD.

**KQ5 Is KOMPAK maintaining an appropriate focus on gender equality and social inclusion?**

This question is focused on KOMPAK's approach to GESI, including as laid out in the KOMPAK GESI strategy.

4.22 The further specification of these questions (including sub-questions and/or indicators) will be developed in more detail in September–December 2018. These questions may be further refined over the life of KOMPAK, including based on input from the ISAT, DFAT and/or GoI. It is envisaged that KOMPAK will collect and synthesise key information related to these questions, as the basis for validation by the ISAT during annual KOMPAK review and reflection processes (see section 5 below).

4.23 The ISAT will play a key role in providing oversight and guidance on these questions, including through annual reviews. The modality and timing of such reviews will be agreed between KOMPAK and DFAT in consultation with the ISAT. Where relevant, including as recommended by the ISAT, KOMPAK can contract additional independent expertise to support these reviews. The main expected output of these reviews are: (1) a general assessment of how appropriately/consistently KOMPAK is applying prescribed ways of working; and (2) a list of actionable recommendations for improving practice related to these dimensions.

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# 5 Implementing the Framework

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- 5.1 This section outlines several key aspects of implementing this framework within KOMPAK: how performance management will be resourced within KOMPAK; clarity of roles and responsibilities of relevant parties with regard to performance management; and, finally, high-level plans for key aspects of performance management in KOMPAK.

## RESOURCING

- 5.2 KOMPAK's performance management will be managed as part of the facility's cross-cutting portfolio and comprises three core functions: Performance Management and Analytics; Research and Evaluation; and Knowledge Management. The teams responsible for these functions will report to the Deputy Director GESI and Performance, who is responsible for overseeing performance management at the Activity and KOMPAK levels.
- 5.3 KOMPAK implementation teams (under the Director for Implementation) will be responsible for Activity-level performance monitoring and assessment, with technical support and quality assurance from the Performance Management and Analytics team. To support this process, the national implementation team and each provincial implementation team will have at least one dedicated monitoring officer who reports directly to the team manager (Provincial Manager or national technical Lead), but coordinates closely with, and is supported by, the Performance Management and Analytics team. KOMPAK Partners will also have dedicated monitoring officers who also coordinate with and are supported by the Performance Management and Analytics team.
- 5.4 To supplement KOMPAK's internal capacity and provide access to additional technical expertise as needed, KOMPAK will maintain standing offers with a small number of individual and organisational consultants. Where relevant and appropriate, especially related to the implementation of Activity-level evaluation studies as described in 3.29 to 3.30 above, KOMPAK will employ a twinning strategy, whereby Indonesian organisations are paired with and supported by international experts.
- 5.5 As a general standard, KOMPAK aims to allocate between 5% and 7% of its budget to performance management-related activities and staffing. This budget will be allocated across the performance portfolio, as well as embedded within teams' budgets for monitoring and assessing the Activities for which they are responsible.

## ROLES AND RESPONSIBILITIES IN KOMPAK

5.6 All KOMPAK staff have a responsibility for measuring performance, and monitoring, learning and evaluation (see Table 7). The Executive Team will be accountable for overall performance management, with the Deputy Director for GES and Performance having primary responsibility for operationalisation of the performance framework. Any changes to proposed roles and responsibilities will be captured in an update to the PMF document and submitted with the next version of the Living Design Document.

**TABLE 7: ROLES AND RESPONSIBILITIES FOR OPERATIONALISATION OF KOMPAK PMF**

ROLE	RESPONSIBILITY
Provincial Implementation Teams	<ul style="list-style-type: none"> <li>• Undertake Activity design and monitoring.</li> <li>• Organise and conduct district-level reviews.</li> <li>• Provide inputs to sector monitoring and facility performance, including participating in activity and sector review sessions.</li> <li>• Provide input to Progress and Achievement Reports.</li> <li>• Identify possible activities for evaluation, including initial supporting data.</li> <li>• Identify possible activities for mini-evaluation or communication products, including initial supporting data.</li> </ul>
National Implementation Teams	<ul style="list-style-type: none"> <li>• Undertake national Activity design and monitoring.</li> <li>• Contribute to provincial Activity monitoring and provide quality assurance.</li> <li>• Develop and update Sector Strategies and Technical Guidelines.</li> <li>• Undertake results analysis, including participating in provincial and national activity, sector, and facility review sessions.</li> <li>• Provide input to Progress and Achievement Reports.</li> <li>• Identify possible activities for mini-evaluation or communications products, including initial supporting data.</li> </ul>
KOMPAK Partners	<ul style="list-style-type: none"> <li>• Undertake Activity design and monitoring.</li> <li>• Participate in and contribute to district-level reviews.</li> <li>• Participate in and provide inputs to sector monitoring, including participating in activity and sector review sessions.</li> <li>• Provide input to Progress and Achievement Reports.</li> <li>• Identify possible activities from their portfolio for evaluation, including initial supporting data.</li> <li>• Identify possible activities for mini-evaluation or communication products, including initial supporting data.</li> </ul>
Performance Management and Analytics Unit (Performance Portfolio)	<ul style="list-style-type: none"> <li>• Compile and manage all performance monitoring data (related to Activity performance, Progress Markers and Snapshot Indicators).</li> <li>• Provide support to Activity performance monitoring (through Monitoring Officers embedded in implementation teams and partners).</li> <li>• Facilitate Activity- and KOMPAK-level reviews.</li> <li>• Support annual planning processes from the performance management perspective.</li> <li>• Analyse and aggregate performance as a basis for strategic management and communications.</li> <li>• Support development of Progress and Achievement Reports.</li> <li>• Support implementation teams to identify activities for evaluation studies or communications products, including initial supporting data.</li> <li>• Oversee implementation of the PMF.</li> <li>• Facilitate appraisal of ACNs and ADNs.</li> </ul>
Research and Evaluation Unit (Performance Portfolio)	<ul style="list-style-type: none"> <li>• Develop and maintain a research and evaluation agenda in consultation with key stakeholders.</li> <li>• Design specific studies related to KOMPAK implementation.</li> <li>• Directly implement or manage the implementation of such studies.</li> </ul>



ROLE	RESPONSIBILITY
GESI and Innovation (Performance Portfolio)	<ul style="list-style-type: none"> <li>Identify possible Innovation and GESI-related activities for evaluation studies, or communications products.</li> <li>Support measurement and reporting against innovation targets and GESI indicators.</li> <li>Technical support and QA role to teams for implementation</li> </ul>
Communications (Performance Portfolio)	<ul style="list-style-type: none"> <li>Prepare communications and knowledge products, based on learning and achievements to inform review processes and oversight provided by KOMPAK teams and partners.</li> </ul>
Senior Management Team	<ul style="list-style-type: none"> <li>Provide contributions and analysis to Progress Reports and Annual Work Plans.</li> <li>Provide quality assurance of implementation.</li> <li>Participate in ACN and ADN appraisal as part of the IAG.</li> <li>Approve activity-level changes resulting from the activity review process.</li> </ul>
Executive Team	<ul style="list-style-type: none"> <li>Approve changes resulting from the sector reviews.</li> <li>Chair IAG to appraise ACN and ADN.</li> <li>Provide quality assurance of milestone reporting.</li> <li>Support consultation with national government stakeholders, especially KOMPAK Steering Committee.</li> </ul>
Sub-National and National Technical Committees	<ul style="list-style-type: none"> <li>Provide technical oversight of national activities and/or local-level implementation.</li> <li>Provide input to activity reviews, including participating in the review process.</li> <li>Provide input to design of activities.</li> <li>Approve significant changes to activities in relevant regions.</li> <li>Participate in joint supervision missions.</li> </ul>
Steering Committee	<ul style="list-style-type: none"> <li>Provide strategic oversight of implementation.</li> <li>Provide input to large Activity design and endorsement.</li> <li>Approve Annual Work Plan.</li> <li>Approve significant sector changes and facility changes.</li> <li>Participate in joint supervision missions.</li> </ul>
DFAT	<ul style="list-style-type: none"> <li>Provide strategic oversight to implementation.</li> <li>Provide input to large Activity design and then approve ADNs.</li> <li>Participate in joint supervision missions.</li> <li>Review and approve milestone reports.</li> <li>Provide performance feedback through the Participatory Performance Appraisal process.</li> </ul>
ISAT	<ul style="list-style-type: none"> <li>Provide quality assurance of sector and facility reviews.</li> <li>Provide periodic review and recommendations on facility strategy and overall direction.</li> <li>Verify assessment against ProgressMarkers.</li> </ul>

## A NOTE ON BASELINES

- 5.7 Baselines form a key component of performance management, since they describe the situation before KOMPAK support, and also provide a basis against which progress can be assessed or comparisons can be made.
- 5.8 This section addresses the issues of baselines in KOMPAK, considering its nature as: (1) a continuing program; (2) a flexible and adaptive program that targets areas where there is potential for change; and (3) a facility that implements various Activities, including many pilots.



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5.9 KOMPAK carried out a ‘baseline’ study in 2017 with four main elements:

- A specific Baseline survey conducted at a household, service unit, and government (village, sub-district, and district) levels, mobilised in April 2017.
- Budget analysis – of village plans and budgets, fiscal transfers, and of a small number of sub-district and district line items, commencing with 2015 budget data.
- Compilation of relevant information from other studies, both those commissioned by KOMPAK<sup>16</sup> and from other sources.
- Compilation of quantitative data from secondary sources such as the National Socio-economic Survey (SUSENAS), National Workforce Survey (SAKERNAS), village potential survey (PODES), and line agencies. Data from the year of KOMPAK commencement (2015–2016) has been used to reflect baseline conditions.

5.10 This information is available and potentially relevant as a general description of the current ‘state of play’ in relation to certain problems that KOMPAK may help the GoI to address. In this sense, the baseline will be a part of KOMPAK’s efforts to understand problems, either in particular local contexts (e.g. the districts where KOMPAK works) or in particular sectors.

5.11 KOMPAK’s Sector Strategies and Provincial Roadmaps (in progress as of August 2018) will also serve as general baselines, documenting key issues in the sectors and regions where KOMPAK works. Where relevant, KOMPAK may also draw on available secondary data; e.g. from SUSENAS or published government statistics.

5.12 Furthermore, as part of the process of designing specific pilots, KOMPAK may draw on information from the 2017 baseline or compile more detailed baseline information on conditions that are targeted by the pilot. This pre-pilot ‘snapshot’ will then serve as the basis for measuring the results of that pilot. Any plans for detailed baselines for pilots will be described in ACNs and/or ADNs.

5.13 Finally, remembering that KOMPAK has been implemented since 2015, KOMPAK’s achievements from 2015 to 2018 effectively serve as a ‘baseline’ for the 2019 to 2022 period. By December 2018, KOMPAK will compile a list of its major achievements in line with key aspects of KOMPAK’s performance based on the program logic in section 3 above, namely:

- The list of pilots agreed with GoI partners.
- The status of pilot implementation, including any key results observed to date.
- The extent to which key decision-makers have expressed interest in the piloted approach.
- The extent to which the pilots have contributed to increased understanding of problems and ways to address them.
- The extent to which GoI institutions have developed plans or taken action to address issues based on KOMPAK-supported piloting or technical assistance.

## KOMPAK’S NATIONAL AND SUB-NATIONAL PLANNING PROCESS

5.14 Between July and October 2018, KOMPAK will work in partnership with national and local government partners, as well as KOMPAK Partners, to develop a Provincial Roadmap for each target province and a National Policy Agenda for the period up to 2022. Provincial Roadmaps and the National Policy Agenda

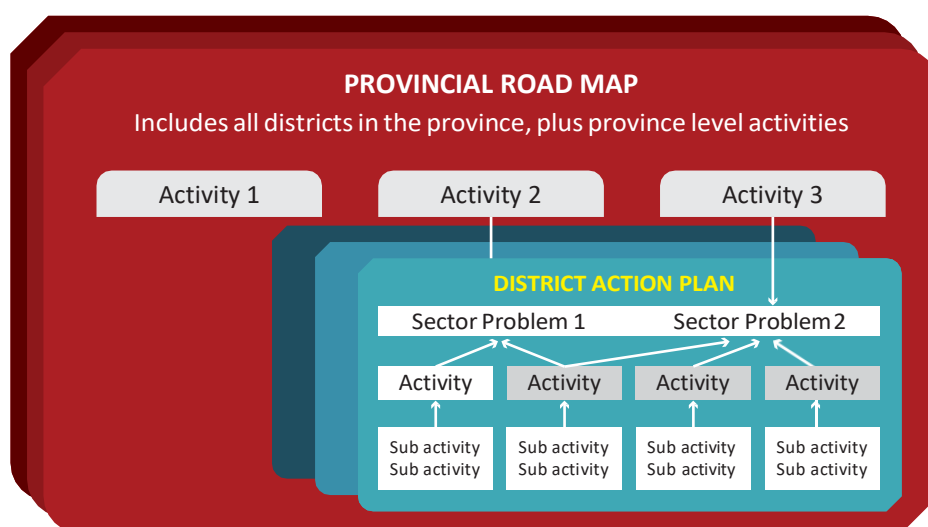
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<sup>16</sup> These include studies on legal identity, village governance (using the Reality Check Approach), public financial management, Village Law implementation, budget transfer policy, sub-district strengthening, and the role of the sub-district in local government basic services. These studies and policy briefs can be accessed from KOMPAK’s website, <<http://www.kompak.or.id>>.

will then be updated annually as part of a facilitated annual work plan process. Annually, as well as mid-year, implementation teams can add new Activities to the roadmap or national plan through the ACN or ADN processes, scale up activities, or develop plans to scale down Activities (see also 2018 PLWW).

- 5.15 A Provincial Roadmap comprises: (1) a District Action Plan for each district; and (2) a set of proposed Activities at the provincial level (see Figure 5). Each District Action Plan will propose Activities for the coming year, as well as provide indications of potential Activities for future years. The Provincial Roadmaps will also propose Progress Markers that will provide indications after one year that the Activities are contributing to progress towards more distant outcomes within the district, and which will form the basis of understanding the effectiveness of the Activities (in line with AQ3 above).

**FIGURE 5 : PROVINCIAL ROADMAPS AND DISTRICT ACTION PLANS**



- 5.16 The National Policy Agenda will be developed by Leads through discussion with national government counterparts, in relation to KOMPAK's policy agenda up to 2022, including with reference to key issues in KOMPAK's Sector Strategies. The National Policy Agenda and its annual work plan contains: (1) a plan for key national policy Activities (for example, advocacy and technical assistance); and (2) linkages to sub-national Activities to support an agenda to bring local-level practice and results for national policy influence and dialogue. As with Provincial Roadmaps, The National Policy Agenda and its work plan will also propose Progress Markers that will provide indications after one year that the Activities are contributing to progress towards more distant outcomes.
- 5.17 The process for development and annual review of the National Policy Agenda and Provincial Roadmaps is intended to facilitate ownership over KOMPAK's plans at the national and sub-national level among KOMPAK teams, sub-national governments and, where relevant, civil society partners. It also promotes a degree of contestability over the selection and design of Activities. From 2019 onwards, the Provincial Roadmaps and National Policy Agenda will be updated and refined as needed with annual Progress Markers being set, through the annual performance cycle. New Activities will follow the appraisal process for ACNs and ADNs outlined in the 2018 PLWW.

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## KOMPAK-LEVEL REVIEW AND REFLECTION EXERCISES

- 5.18 Building on the Activity-Level Review and Reflection exercises (see 3.21 to 3.28) and the KOMPAK-level Performance Assessments described in Section 4 above, KOMPAK will also hold review and reflection meetings at the KOMPAK level.
- 5.19 Every six months (following the mid-year Activity-Level performance review and reflections), KOMPAK will bring together heads of provincial teams and GoI counterparts for two-day KOMPAK-level reviews. Using Activity-level performance data (especially Activity-Level Progress Markers) as well as other performance data (including from specific studies where relevant), these workshops will focus on assessing overall performance against expectations (including with reference to KOMPAK Progress Markers), identifying emerging changes at scale, and assessing the continued relevance of KOMPAK's strategies and program logic.
- 5.20 Every 12 months (following the annual Activity-Level performance reviews), also as input into annual planning and steering committee meetings, KOMPAK will hold a national review workshop. Based on achievements both within and across provinces and sectors, the review should provide an overall assessment of the effectiveness of KOMPAK in achieving its Progress Markers and contributing to change at scale, as well as key dimensions of KOMPAK's ways of working as reflected in KQ2–5. The assessment should be based on various evidence related to KOMPAK's performance compiled over the course of the year, and should also serve to identify any gaps in either performance or evidence. This review and reflection process may also identify necessary adjustments to the PMF (see 5.29 below).
- 5.21 The ISAT, which DFAT established following the November 2017 Independent Program Review to offer advice to KOMPAK, DFAT and the GoI, is expected to play an active role in both the six-monthly (sector-level) and annual (KOMPAK-level) review processes. The ISAT may provide guidance on the focus of the reviews; request, review or compile specific information on one or more areas of interest for the reviews; and/or act as a 'critical friend' or help validate key findings during the reviews.

## FACILITATING LEARNING WITHIN KOMPAK

- 5.22 The sixth principle of KOMPAK's PMF (see paragraph 2.14) is that it should be 'owned' and used by implementation teams as a guide to their daily work programs. Data collection and monitoring tasks should not be regarded as solely for reporting and accountability purposes. The aim is for KOMPAK implementation teams to see monitoring as fundamentally necessary for the achievement of their own work plans and as key to driving performance improvement. The key processes presented below are considered the core elements of KOMPAK's performance management and learning cycles, and necessary for ownership by implementation teams.
- 5.23 The LDD notes there are three purposes of KOMPAK's learning agenda, including at the:
- **Activity level**, to enable continuous iteration and to improve implementation performance.
  - **Sub-national level**, for program revision, adjustment, replication and scale up/GoI institutionalisation.
  - **National level**, for national scale up, assessing progress towards EOFOs and KOMPAK's goal.

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5.24 To achieve this, KOMPAK will prioritise the following processes to facilitate learning:

- **Structured Review and Reflection processes:** promoting team learning with government and stakeholders on what has worked well and less well, and why. Learning through the review process forms the basis of annual work planning, so as to link learning to practice, as well as adaptations during implementation. See 3.21 as well as 5.18 above.
- **Studies for knowledge sharing and influence:** Annual in-house or commissioned studies about KOMPAK's work (for example, to evidence achievement of select annual progress markers) will assist teams to better understand what has worked and why, and to learn from practice across different teams and locations of KOMPAK's work. See 3.29 to 3.33 above.
- **'Brown-bag' sessions:** KOMPAK conducts monthly 'brown bag' lunches in the KOMPAK office on priority topics of relevance to KOMPAK's work. These learning sessions aim to bring in external ideas and practice for reflection by KOMPAK to inform implementation. KOMPAK invites external speakers and experts to share latest developments in policy, practice, innovation and involves local government partners, as well as other DFAT and donor-funded programs.
- **Communities of Practice:** KOMPAK facilitates internal communities of practice, with the purpose of promoting innovation and ideas to problem-solving across parts of KOMPAK. These are informal. For example, KOMPAK shares stories on results and practice related to programming GESI and use of Innovation each week. These are drafted by national and provincial team members and intended to build a culture within KOMPAK of cross-learning and sharing.

5.25 In pursuing this learning agenda, KOMPAK's SMT, along with the Performance Directorate, plays a critical role in creating a common vision for teams, as well as creating effective learning processes for teams to facilitate and support improvement, both informally and formally.

5.26 As part of the learning and development agenda, KOMPAK allocates budget for learning and professional development of staff, which is used for training, attending local conferences and events, or other types of personal and professional development that benefits KOMPAK's work. This includes access to academic journals to aid in-house research and analysis.

## MANAGEMENT OF PERFORMANCE INFORMATION

5.27 Activity- and KOMPAK-level performance information, and other documents related to the KOMPAK performance management processes, will be consolidated and stored in a **shared drive**, and be accessible through the KOMPAK **Management Information System (MIS)**.

5.28 The MIS will be developed iteratively over the life of KOMPAK, and where relevant will build upon the existing data structures used by KOMPAK to date in its Caspio-based MIS, rather than starting from scratch. The development of the KOMPAK MIS over time will focus on key 'modules', including providing user-friendly interfaces to input and access the following types of information:

- Activity-level information, including ACNs and ADNs, work plans, and implementation status tracking.
- The results of the most commonly used performance monitoring tools, including After Event Reports, Participant Assessment Surveys, the GESI Review Tool, and the Pilot Tracking Tool.
- Final versions of all reports or other documents produced through KOMPAK performance management processes.
- Activity- and KOMPAK-Level Progress Markers.
- KOMPAK Snapshot Indicators.
- Structured reporting from KOMPAK partners.
- Relevant secondary datasets.

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## REVIEWING AND UPDATING THIS FRAMEWORK

- 5.29 As reflected in the principles in Section 2.10, a key component of the success of performance management in KOMPAK will be the flexibility for the overall approach to evolve over time and as needs change.
- 5.30 This Performance Management Framework (and the corresponding M&E Plan) should therefore be subjected to a structured annual review, based on both internal reflections from the Performance Unit, as well as feedback from key users of performance information (including, at least, KOMPAK Management and DFAT). The review can also incorporate key findings from KOMPAK-level reviews, and/or from input from the ISAT. This review should also guide adjustments in staffing and resourcing, and planning for the future year. Staffing arrangements and budgets for technical support and the implementation of key processes should be reviewed on an annual basis, with flexible contracting mechanisms that enable the scale up or scale back of support as relevant.

# 6 Risks and Risk Mitigation

- 6.1 There is a complex mix of risks associated with striving to achieve KOMPAK development outcomes, many of which have the potential to adversely impact on KOMPAK's ability to achieve its objectives and associated stakeholder expectations. It is therefore essential that the KOMPAK approach to risk management is robust, that it operates in a consistent manner throughout the organisation, and that staff at all levels actively practise risk management in carrying out their day-to-day duties.
- 6.2 KOMPAK's approach to risk management across the program is outlined in KOMPAK's Risk and Safeguard Management Plan. This plan outlines various categories of risk, which can be summarised into two areas: operational risks (such as fiduciary and compliance risks); and broader developmental risks (the risk of KOMPAK not achieving its intended development outcomes).
- 6.3 While the Risk and Safeguard Management Plan covers both areas of risk, there is greater emphasis placed on the operational risks. The developmental risks of KOMPAK need to be further supplemented with additional tools to ensure they are sufficiently understood and managed.
- 6.4 **Investment Risk Analysis.** In all of KOMPAK's areas of investment there is a risk of failure. While it is impossible to measure the exact risk of failure of specific investments, it is possible to identify that some investments have a higher risk of failure than others, and this acts as a proxy for difficulty. During the development and revision of KOMPAK's work plan, KOMPAK will undertake an Investment Risk Analysis of all proposed Activities. The analysis will consider risk of failure through six lenses outlined in Table 8 below.<sup>17</sup>

**TABLE 8: SIX LENSES OF RISK OR FAILURE**

NO	RISK CATEGORY	DESCRIPTION	WEIGHTING
1	No. of Institutions	Are a large number of institutions involved in achieving the output? The more institutions involved, the higher the risk of failure.	0.15
2	Time Required	Is it envisaged that achievement of the output will require a significant time investment? The more time required, the higher the risk of failure.	0.15
3	Complexity/Scope	How complex is the work required? How broad is the scope for achievement of the output? The higher the complexity, the higher the risk of failure.	0.15

<sup>17</sup> For further information see: Diamond 2013, and The Institute of State Effectiveness 2018

NO	RISK CATEGORY	DESCRIPTION	WEIGHTING
4	Behaviour Change	Is there behaviour change involved in the successful achievement of the output? To what degree? The greater the amount of behaviour change required, the higher the risk of failure.	0.15
5	Visibility	Is there high-level visibility within Gol over this output? Who within Gol wants this output to be delivered? The higher the level of visibility, the lower the risk of failure.	0.25
6	Capacity	Does KOMPAK require additional capacity/resources to deliver the output? The greater the amount of additional resources required to deliver the output, the higher the risk of failure.	0.15

6.5 Each Activity will consider each of the six risk of failure lenses in turn, and give a score of 1 to 4 for each (1 representing low risk; 4 representing high risk). The cumulative score (using the associated weighting) will provide an overall 'risk of failure' score.

6.6 Each activity will also be assessed against the potential impact/importance: where 1 represents that successful achievement of the activity/output will have lower level of impact on achievement of KOMPAK's outcomes, and a score of 4 represents that it will have a high level of impact on achievement of KOMPAK's outcomes. Given the subjectivity of this exercise, the assessment will have limited use at the individual activity/investment level. However, once the information is aggregated to the outcome level it provides a useful lens for considering KOMPAK's portfolio and whether it contains the right mix of investments. This aggregated level information will support: investment decisions; resourcing; learning; and can be used in any assessment of team performance.

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# 7 Communications and Reporting Related to Performance

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7.1 KOMPAK's overall communication plan is outlined in the Communication Strategy. In relation to the PMF and the communication of information related to KOMPAK's performance, the communication objectives are to:

- Communicate high-level results and outcomes to a variety of audiences.
- Highlight KOMPAK's contribution to strengthening relations and policy dialogue between GoI and GoA.
- Deliver high quality communication products that decision-makers can use to improve policies, systems and practice.

7.2 A key learning from the first three years of KOMPAK implementation is the need for communication products to assist in the sharing of smart practice and learning with government and key stakeholders, for uptake and replication, particularly institutionalisation. Going forward, the MEL team will work more closely with the Communication Lead and Knowledge Management Manager to identify specific ways in which MEL learning and results can be packaged and shared for key stakeholders to influence dialogue. Communication activities that contribute to implementation of the PMF include:

- Theme-based notes, policy papers and knowledge products highlighting program achievements, to inform policy dialogue and exchange on priority issues.
- Human interest features profiling achievements and changes experienced by those engaged in and benefitting from program interventions.
- Leveraging GoA and GoI social media platforms to share results and program achievements.
- Periodic press releases.

## REPORTING REQUIREMENTS

7.3 **Annual Program Work Plan.** KOMPAK will prepare the Annual Work Plan to be reviewed mid-year in June by the Steering Committee, and adjustments are made as required, based on learning, results, and emerging priorities from GoI or GoA, as agreed by the Steering Committee.

7.4 **Progress Reporting.** Every August KOMPAK will submit to DFAT a (final revised) Progress Report with financial information, and every March a (final revised) Annual Report including financials. The August progress report submission will focus on activity progress, providing analysis towards answering AQ1–4. The March Annual Report submission will focus on outcome level progress, providing analysis towards answering IO Q1–4. The final format and contents for each report will be agreed between KOMPAK and DFAT.



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- 7.5 **Reporting to Steering Committee.** KOMPAK reports to the Steering Committee as part of the annual work planning process. KOMPAK presents the achievements, progress, and proposed annual work plan for review and approval in January. KOMPAK then reports progress mid-year on the approved annual work plan for any amendments and shifts, based on implementation and responding to emerging priorities for Gol and GoA.
- 7.6 **Annual Participatory Performance Appraisal (PPA).** KOMPAK receives formal performance feedback from DFAT and responds to this feedback via the PPA process, which generally takes place every year during the April to June period (previously this was a biannual process).
- 7.7 **Achievement Report/Completion Report.** KOMPAK will submit an Achievement Report for its initial phase (January 2015 to June 2018). The content and format of this report has already been agreed between KOMPAK and DFAT. Subject to further extension of KOMPAK beyond December 2018, KOMPAK will prepare a Completion Report covering overall level changes and outcomes, responding to the KQ1–5. The format and content of the report will be agreed in advance between KOMPAK and DFAT.

# GLOSSARY OF TERMS

Activity	<p>‘Activity’ has two meanings in the context of KOMPAK performance management:</p> <p>‘Activities’ (as indicated with a capital ‘A’) are the basic units of KOMPAK investment. An Activity comprises a commitment of KOMPAK resources for a specified period of time to achieve one or defined outcomes, and may include any number of (sub-) activities, including (but not limited to) technical assistance, pilot activities, training activities, advocacy efforts, and research. Activities are defined in Activity Concept Notes, and (for activities committing resources over AUD 250,000) in more detailed Activity Design Notes.</p> <p>The more general ‘activities’ (as indicated with a lower-case ‘a’) are actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources, are mobilised to produce outputs or outcomes.</p>
Activity Concept Note (ACN)	Activity Concept Notes (ACNs) are documents that are developed by implementing teams, which are reviewed and appraised as part of KOMPAK’s Activity Design and Appraisal process. An ACN provides information about a proposed Activity, and approval of an ACN constitutes authorisation of resources of up to AUD 250,000.
Activity Design and Appraisal	The structured process by which KOMPAK designs and appraises Activities in a way that maximises the chances of achieving KOMPAK’s high-level results. This process happens twice a year: (1) as part of annual work planning; and (2) as part of the mid-year review.
Activity Design Note (ADN)	Activity Design Notes (ADNs) are documents that are developed by implementing teams and reviewed and appraised as part of KOMPAK’s Activity Design and Appraisal process, following approval of an ACN. An ADN includes more detailed information about the proposed Activity, including the scheduling of (sub-)activities, risk analysis, logic, and the related monitoring, learning and evaluation. ADN approval is required for the authorisation of resources over AUD 250,000.
Activity-Level	Performance management processes that are focused on monitoring, assessing, documenting, or communicating the performance of one or more individual Activities (in contrast to processes that monitor, assess, or document KOMPAK’s performance as a program/facility). Compare to ‘KOMPAK-level’ below.
Annual Performance Cycle	KOMPAK’s structured process to define and manage performance both at the Activity- and KOMPAK-levels, comprising planning, ongoing performance monitoring, interim reviews at regular intervals, and a final review at year end, which links to the planning stage for the next annual performance cycle.
Appraisal	An overall assessment of the relevance, feasibility, likely effectiveness and sustainability of a proposed investment, made before deciding whether to fund it.
Assumption	Hypotheses about factors or risks that could affect the progress or success of an aid investment.
Assessment	The process of comparing performance against previously defined expectations, resulting in a judgment of the sufficiency of actual performance against those expectations, as well as a series of recommendations for future improvement.
Baseline	Information (including analysis where relevant) describing the situation before resources are invested, against which progress can be assessed or comparisons made.
Effectiveness	The extent to which KOMPAK’s or an Activity’s outcomes and objectives were achieved, relative to progress expected.

Efficiency	A measure of how well resources (for example, funds, expertise and time) are converted into outputs.
End-of-Facility Outcome (EOFO)	<p>The set of outcomes that a facility's activities will contribute towards. Each Activity needs to clearly contribute towards at least one of the EOFOs.</p> <p>EOFOs serve two fundamental purposes for KOMPAK: to outline the <b>types</b> of results against which KOMPAK's overall performance will be assessed, and also to help to specify the main <b>domains</b> in which KOMPAK will work in contributing to its broader goal.</p> <p>See also DFAT's definition of 'End-of-Investment Outcome': The desired development change that can be achieved within the timeframe of the investment. DFAT's standards require outcomes to define: an 'end state' when the outcome has been achieved; who or what is expected to change; the type of change expected to occur: knowledge (awareness of new ideas, techniques or strategies); action (behaviour change based upon new information/ideas); or condition (organisational or societal conditions changes due to the stakeholder's actions); and the time by which the change is expected to occur.</p>
Evaluation	The systematic and objective process of making judgment about the merit, worth, or value of KOMPAK's work. It is an in-depth process that takes place on a periodic basis or at particular points in time. Evaluation aims to provide credible evidence that can inform major decisions and highlight important lessons.
Evaluation Studies	One-off exercises intended to collect additional information and make judgment about particular aspects of KOMPAK's work, especially at the Activity-level. Evaluation studies can be undertaken either internally, or commissioned externally.
Facility	A large program run with a fairly broad mandate to fund selected activities, often in pursuit of a flexible reform process that cannot always be fully designed in advance.
Gender Equality	Refers to equal opportunities, rights and responsibilities of women and men, boys and girls, and requires the closing of gender gaps, particularly in relation to economic outcomes, leadership at all levels and experience of violence. It ensures that the interests, needs, and priorities of women and men are taken into account in decision-making.
Goal (also Broader Goal)	The higher-order purpose to which an objective is intended to contribute. Goals are normally specified in national development plans and shared goals may also be identified in agreements between the Australian Government and a development partner.
High-Level Results	The broader goal, End-of-Facility Outcomes, and Intermediate Outcomes that KOMPAK Activities are expected to result in or contribute to.
Impact	The overall long-term effect produced by an investment. This includes positive and negative changes produced by a development investment (directly or indirectly, intended or unintended).
Indicator	A quantitative or qualitative variable that forms a simple and reliable means to measure achievement, to reflect the changes expected from an investment, or to help assess the performance of a development actor.
Intermediate Outcomes (IOs)	The short and medium-term effects of KOMPAK's Activities and sub-activities on external parties. Short-term outcomes include changes in knowledge, attitudes, and skills, while medium-term outcomes often reflect changes in behaviour, practice, and decisions.
Investment Criteria	A set of criteria that are used to decide what Activities should be funded.

KOMPAK-Level	Performance management processes that are focused on monitoring, assessing, documenting, or communicating KOMPAK's overall performance as a program/facility (in contrast to processes that monitor, assess, document, or communicate the performance of one or more Activities). Compare with 'Activity-level'.
Lower-Level Outcomes	The changes among parties external to the program that KOMPAK expects to see as a result of activities and outputs, and which enable or contribute to the achievement of higher-level results.
Monitoring	The ongoing systematic collection of data on specified indicators to enable tracking of investment progress. It is common to monitor expenditure, commitments, activities, the achievement of milestones and results.
Outcomes	Desired development changes among parties external to the program that are expected to be achieved within the timeframe of the investment.
Output	The products, goods and services that result from one or more activities. These are delivered to parties external to the program.
Pilot	A process to test a new or revised approach to address a problem where results and learning are intended to inform larger-scale change.
Performance Assessment Framework (PAF)	A planning and management tool to help programs manage for and report on results. Fulfills the same function as a monitoring and evaluation framework for an aid investment, but is for country and regional programs. A Performance Assessment Framework should set out, in a concise way, a program's objectives, the cause-and-effect logic underlying the program, and how progress will be monitored and evaluated.
Performance Indicator	Quantitative or qualitative variable that precludes a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development partner.
Program	A group of related investments managed in a coordinated way to achieve objectives and outcomes. The department has regional, country, global and thematic programs.
Program Logic	The sequence that stipulates the presumed cause-and-effect relationships that will occur on the way to the achievement of desired results —beginning with inputs, moving through activities, outputs and outcomes and culminating in impacts. This is also sometimes referred to as a results chain or theory of change.
Progress Marker	A short-term, qualitative target that can be used to make a judgement of whether performance is on track. Progress Markers represent time-bound, outcome-level changes that KOMPAK would 'like to see' within the span of one year, as a result of successful implementation.
Quality Assurance	Any activity concerned with assessing and improving the merit or worth of an aid management process or individual aid investment or its compliance with accepted standards. Peer review and appraisal are the most common forms of aid quality assurance.
Results	A generic term for outputs, outcomes, and long-term impacts.
Review	An evaluation with limited scope and scale. A review is a constrained evaluation, undertaken at a point of time using existing data, or data that can be quickly gathered.
Risk	The effect of uncertainty on the achievement of results.
Risk Analysis	An assessment of the factors affecting or likely to affect the probity of the department's aid expenditures and operations, or the successful achievement of results.

Risk Management	Identifying and analysing potential risks and opportunities and developing proportionate, defensible management strategies that balance risk and treatments against the benefits of the investment.
Rubric	A qualitative definition of what different levels (e.g. good, excellent) of performance would look like, which can be used as an alternative way to establish performance standards. Rubrics enable the interpretation of qualitative, quantitative, and mixed method data as a set.
Snapshot Indicators	Relatively simple performance measures that help the KOMPAK communicate aggregate results (from across multiple Activities) to key stakeholders, especially from DFAT and GoI. While these measures will provide a rapid 'snapshot' of KOMPAK's contributions to outcome-level change; they are not formal measures of KOMPAK's performance, in the sense that no performance targets will be set as a means of assessing the sufficiency of changes.
Sustainability	Whether the benefits of the activity will continue after funding has ceased, with due account of partner government systems, stakeholder ownership, and the phase-out strategy.

# Annex 1:

## Summary of Key IPR and AGB Recommendations and KOMPAK's Responses

IPR/AGB Recommendation	General Response as Reflected in This Framework
<u>IPR Recommendation 4</u> KOMPAK and KOMPAK Partners should jointly develop improved ways of working at national and sub-national levels that build better working relationships.	This PMF provides an overarching framework that can serve as a joint reference for KOMPAK teams and KOMPAK Partners in designing, implementing, and assessing the performance of key activities.
<u>IPR Recommendation 9</u> KOMPAK to continue as a Facility Model, drawing upon its internal design and processes and the relevant governance committees for ongoing decision-making.	This PMF allows for the tracing of individual Activity performance, with the specification of progress markers and snapshot indicators to facilitate the aggregation of information about overall facility performance.
<u>IPR Recommendation 12</u> The IPR team recommends that KOMPAK Phase 2 design should consider a further shift in resources towards sub-national implementation, particularly in the areas of M&E, learning, replication activities, and gender.	This PMF incorporates a decentralised model of performance monitoring and reviews at the Activity-level, much of which will occur at the sub-national level.
<u>IPR Recommendation 13</u> The Program Logic and the Theory of Change be revisited and brought together in a single model.	This PMF presents a revised program logic that at the KOMPAK level succinctly captures how KOMPAK works, and which can act as a basic point of reference for everything that KOMPAK does.
<u>IPR Recommendation 14</u> The IPR recommends that KOMPAK invest in getting their MIS operational, including by bringing in an M&E expert with substantial skills in the design and management of databases and information systems, to ensure that the system is set up correctly, and training all staff in its use.	By clarifying the program logic and performance measures, this PMF enables the identification of the key 'modules' that are a priority for MIS development.

IPR/AGB Recommendation	General Response as Reflected in This Framework
<p><u>IPR Recommendation 15</u> KOMPAC revisit the indicators and targets for 2019 to make them more realistic, and strengthen the indicators associated with the Intermediate Outcome level.</p> <p><u>General AGB comments</u> Revisit the indicators and targets to strengthen correlation with outcomes. Focus more on measuring outcomes (including behaviour change).</p>	<p>This PMF presents two key forms of performance measures:</p> <ul style="list-style-type: none"> <li>• Progress Markers, which are defined on an annual basis in reference to: (1) changes (where relevant, phrased in terms of behaviour change of key counterparts) that can realistically be expected to be observed within a span of one year, in response to proposed KOMPAC activities; and (2) the Intermediate Outcomes as outlined in the high-level program logic</li> <li>• Snapshot Indicators, which represent high-priority results-level information that can be used to succinctly communicate the overall performance of KOMPAC.</li> </ul> <p>Additionally, the PMF presents a structured outcomes hierarchy and program logic. This enables KOMPAC to: (1) define outcomes that are consistent, but have varying levels of specificity; and (2) to define Activity-Level Progress Markers that can be aggregated up to the KOMPAC level.</p>
<p><u>IPR Recommendation 16</u> The IPR team recommends that KOMPAC ensure timely delivery of collated data to the provinces to feed into their regular workshops and meetings.</p>	<p>PMF clarifies Activity-level performance monitoring, as well as the performance management cycle, which should help address this issue.</p>
<p><u>IPR Recommendation 16</u> The IPR team recommends that the existing M&amp;E tools be reviewed with a view to improving their ability to measure change – in knowledge, attitudes and practices of the people within systems, and then measure the consequences and impacts of those changes on populations.</p>	<p>Indicative tools have been identified based on the revised program logic, and will be further detailed as part of the operationalisation of this framework.</p>
<p><u>General AGB comments</u> More clearly articulate expected outcomes at the activity level, as well as the process for designing activities and conducting quality assurance on the design of activities.</p>	<ul style="list-style-type: none"> <li>• This PMF describes approaches for: (1) managing performance at the Activity level on an annual basis, including based on progress markers linked to the expected outcomes of the activity; (2) assessing the risk and importance of all activities; and (3) the process for appraising Activity Concept Notes and Activity Design Notes.</li> </ul>

# Annex 2:

## Target Users of KOMPAK

### Performance Information and their Information Needs

Who	Needs information about:	For the purposes of:
KOMPAK Steering Committee (GoI and DFAT)	<ul style="list-style-type: none"> <li>• Performance and progress at the EOFO and IO level.</li> <li>• Progress and results (and evidence thereof) of Activities.</li> <li>• Key risks or areas of the program's work that require attention and action.</li> </ul>	<ul style="list-style-type: none"> <li>• Providing strategic direction for the program.</li> <li>• Decision-making on proposed annual work plans and resource allocations.</li> <li>• Preparing for supervision missions.</li> <li>• De-bottlenecking.</li> </ul>
KOMPAK Technical Committees (at the national and sub-national levels)	<ul style="list-style-type: none"> <li>• Performance and progress at the EOFO and IO level.</li> <li>• Progress and results (and evidence thereof) of Activities.</li> <li>• Timely information and data on implementation status and outputs.</li> </ul>	<ul style="list-style-type: none"> <li>• Providing technical feedback and guidance to KOMPAK implementation through six-monthly committee meetings.</li> <li>• Managing BAST processes.</li> <li>• Supporting preparations for field missions.</li> </ul>
DFAT, especially the DFAT Human Development Section managing KOMPAK	<ul style="list-style-type: none"> <li>• Achievements, results, and learning (through formal reporting mechanisms).</li> <li>• Ongoing snapshots of progress and results against key indicators.</li> <li>• Risks and bottlenecks or issues which otherwise require management attention.</li> <li>• Aspects of KOMPAK's performance relevant to DFAT's internal purposes.</li> </ul>	<ul style="list-style-type: none"> <li>• Understanding and tracking overall progress at the outcome level as a means for feedback and strategic conversations with the KOMPAK Executive Team.</li> <li>• Conducting targeted monitoring of KOMPAK implementation.</li> <li>• Taking or facilitating informed remedial action as necessary.</li> <li>• Preparing the Aid Quality Check submissions in December of each year.</li> <li>• Reporting on relevant Aggregate Development Results (ADRs) in December of each year.</li> <li>• Reporting on the Indonesia Performance Assessment Framework, including significant policy changes and agreed upon milestones and key indicators, in May of each year.</li> <li>• Providing input into various program-wide evaluations, including as conducted by the Office of Development Effectiveness (ODE).</li> </ul>
Independent Strategic Advisory Team (ISAT)	<ul style="list-style-type: none"> <li>• Achievements, results, and learning related to overall facility progress at the outcome level.</li> </ul>	<ul style="list-style-type: none"> <li>• Validating KOMPAK's performance and providing feedback to the KOMPAK Executive Team and DFAT Human Development Section managing KOMPAK.</li> </ul>



Who	Needs information about:	For the purposes of:
KOMPAK Management (Executive Team and Senior Management Team)	<ul style="list-style-type: none"> <li>• Overall program performance against targeted outcomes.</li> <li>• Timely information about particularly successful or problematic activities.</li> <li>• Ongoing data and information on implementation status and progress across the portfolio.</li> <li>• Performance of individual Activities and teams.</li> </ul>	<ul style="list-style-type: none"> <li>• Providing overall strategic direction to the program.</li> <li>• Informing decision-making on the use of resources throughout the implementation cycle.</li> <li>• Enabling timely and high quality reporting to DFAT and GoI on results and progress.</li> <li>• Shaping work planning and resource allocation proposals to the SC.</li> <li>• Providing feedback to teams and Partners on performance.</li> </ul>
KOMPAK implementation teams (including KOMPAK Partners)	<ul style="list-style-type: none"> <li>• Progress of individual activities against work plans.</li> <li>• Progress towards outcomes.</li> </ul>	<ul style="list-style-type: none"> <li>• Ensuring activities are on track or to explain any variance.</li> <li>• Informing activity design and work planning.</li> <li>• Identifying what works well and less well as the basis of reflect on why.</li> <li>• Ongoing learning and adaptation during structured review processes.</li> <li>• Providing formal reporting and informal updates to GoI partners (at national or sub-national levels).</li> <li>• Identifying risks, underperformance, and bottlenecks at the Activity level that require follow-up action from KOMPAK management, DFAT, and/or GoI counterparts.</li> </ul>





# KOMPAK

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