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# KOMPAK PROGRAM LOGIC AND WAYS OF WORKING 2018-2022

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Kolaborasi Masyarakat dan Pelayanan untuk Kesejahteraan  
Kemitraan Pemerintah Australia - Indonesia

KOMPAK Program Logic and Ways of Working 2018-2022  
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# Abbreviations

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

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



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# KOMPAK Program Logic and Ways of Working

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- 1 This document presents key information about KOMPAK, as the basis for understanding KOMPAK's performance. This document is positioned within KOMPAK's 2018 Performance Management Framework (2018 PMF) and includes:
- Brief information on the overall goal and scope of KOMPAK.
  - The main outcomes KOMPAK is expected to achieve, as defined in its high-level Results Framework.
  - How KOMPAK works to achieve those main outcomes.
  - Aspects of KOMPAK's ways of working that are considered crucial to its success, including how it designs and appraises its core units of investment ("Activities").<sup>1</sup>

## KOMPAK'S GOAL AND SCOPE

- 2 KOMPAK's formal goal is that '**Poor and vulnerable Indonesians benefit from improved delivery of basic services and greater economic opportunities**'. This goal and KOMPAK's strategies to achieve it link directly to Indonesian Government priorities (including as outlined in the RPJMN 2015–2019) and are highly relevant to the Australian Government's Aid Investment Plan for Indonesia.
- 3 KOMPAK works towards three EOFOs that contribute to its overall goal, namely:
- 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.
- 4 These EOFOs, while extremely broad in nature, serve two fundamental purposes for KOMPAK: to outline the **types** of results against which its overall performance will be assessed, and also to help to specify the three main **domains** in which KOMPAK will work to contribute to its broader goal.
- 5 KOMPAK focuses on addressing key constraints related to service delivery and employment opportunities with a clear line of sight to development outcomes in the following areas: health, nutrition, education, local economic development, and civil registration and vital statistics (CRVS). In doing so, KOMPAK works from the 'bottom up' (at the point of service or frontline where communities access the service), as well as from the 'top down' (improving policy coherence, strengthening the regulatory environment, and investing in planning and delivery systems).

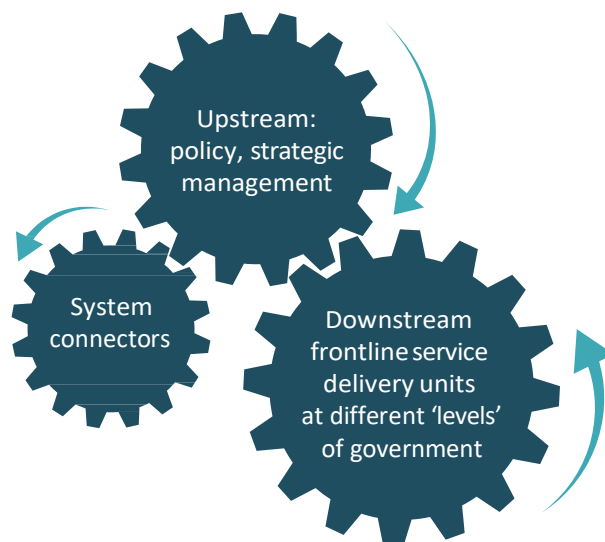
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<sup>1</sup> An Activity may include any number of (sub-)activities, including (but not limited to) technical assistance (TA), pilot activities, training activities, advocacy efforts, and research.

6 The strategic ‘framing’ of KOMPAK presented in the 2018 LDD, shown in Figure 1, demonstrates the interconnected nature of the problems KOMPAK is working to address. KOMPAK’s larger goal will only be achieved if there are fundamental improvements in the functionality and coherence of these three ‘cogs’:

- At national ‘upstream’ level, where KOMPAK seeks to help improve policy and regulatory consistency, coherence and relevance.
- In the design and operation of the systems (for money, people, information, policy guidance, monitoring and reporting) that link government at national, provincial, district, sub-district and village level.
- At ‘downstream’ service delivery level – the point at which frontline staff engage with citizens.

**FIGURE 1 : KOMPAK STRATEGIC FRAMING  
CONNECTING UPSTREAM AND DOWNSTREAM WORK**



7 Directly resulting from this framing, there are four priority issues<sup>2</sup> that KOMPAK support will address:

- At the **national** level, the weakness and lack of internal consistency of key policies, laws and regulations related to decentralised service delivery and village governance. In addressing these issues, KOMPAK will continue to work with BAPPENAS and other key GoI ministries.
- At the **system** level, the functionality, reliability and integrity of financial management is critical. With the Village Law and fiscal decentralisation policies in place, billions of rupiah are channelled in various ways from national to district governments to village governments. These flows must be timely, accurate, and spent effectively and efficiently. Strengthening the whole public financial management cycle for sub-national transfers (planning, budgeting, releasing, acquitting, recording, reporting, auditing) will therefore remain a KOMPAK priority.
- At the **district, sub-district and village level**, the requisite skills, confidence and authority to act effectively, efficiently and equitably are often weakly developed. To address this, KOMPAK will continue to strengthen both the authorising environment and incentives for independent and appropriate action by district, sub-district and village governments, as well as improve individual competencies and institutional capacities.
- At the **frontline and community level**, the depth and ‘bite’ of citizen engagement and social accountability is often limited. This results in funds being poorly deployed and local priorities not being met. KOMPAK will continue to work to empower local communities to hold their governments (at all levels) to account for the proper use of funds.

8 A final note on KOMPAK’s overall scope, elaborated further as ways of working in section 41 below, is its role as a **facilitator, enabler, and broker**. This role was underscored in the 2017 IPR, which noted that a key to KOMPAK’s effectiveness in leveraging wide-ranging networks and exerting influence with government counterparts was its approach, namely: (1) that KOMPAK plays a role in helping counterparts to learn rather than telling them what they need to know; and (2) that KOMPAK brings stakeholders together to jointly learn and problem-solve.<sup>3</sup>

<sup>2</sup> These are called problem ‘areas’ rather than simply ‘problems’, as each area contains a multiplicity of more specific problems.

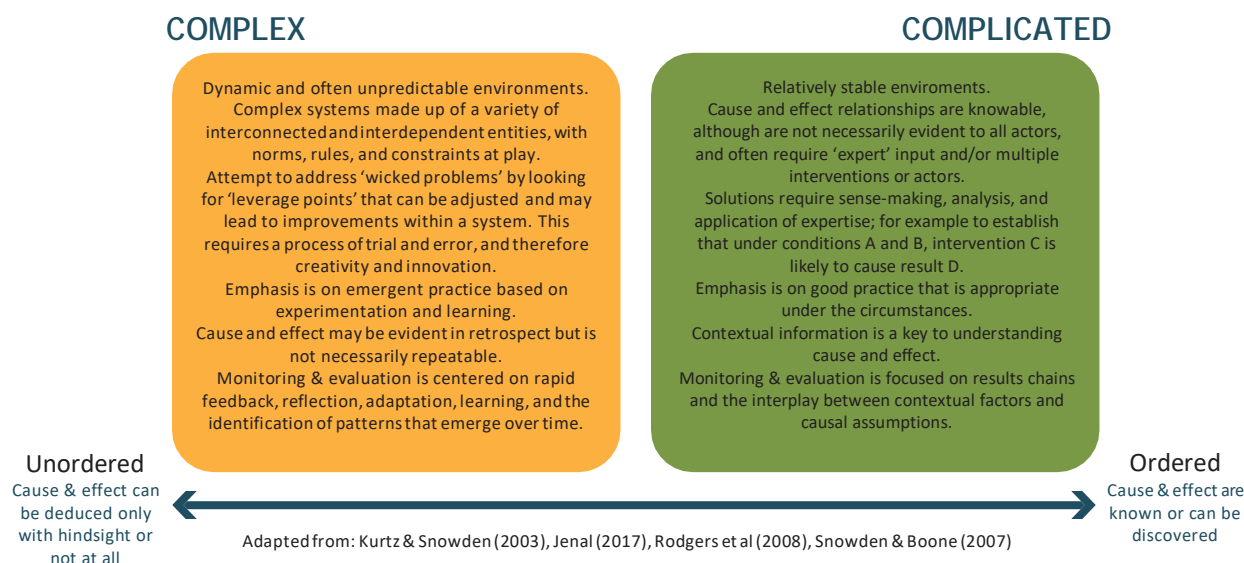
<sup>3</sup> IPR, page 22.



## KOMPAK: WORKING ADAPTIVELY IN A COMPLEX CHANGE SPACE

- 9 The KOMPAK EOFOs and problem areas above fit many of the definitions of a ‘complex’ situation in Figure 2 below. They sit within open, interdependent systems, and the ‘correct’ responses cannot necessarily be known and planned for in advance. Although pathways to change may be visible with hindsight, they are not necessarily repeatable across all contexts. A key aspect of KOMPAK’s success is therefore its ability to work flexibly and adaptively, and to trial various interventions and respond to learning and emerging results as it works towards its EOFOs.

FIGURE 2 : DEFINITIONS AND IMPLICATIONS OF COMPLEXITY AND COMPLICATEDNESS

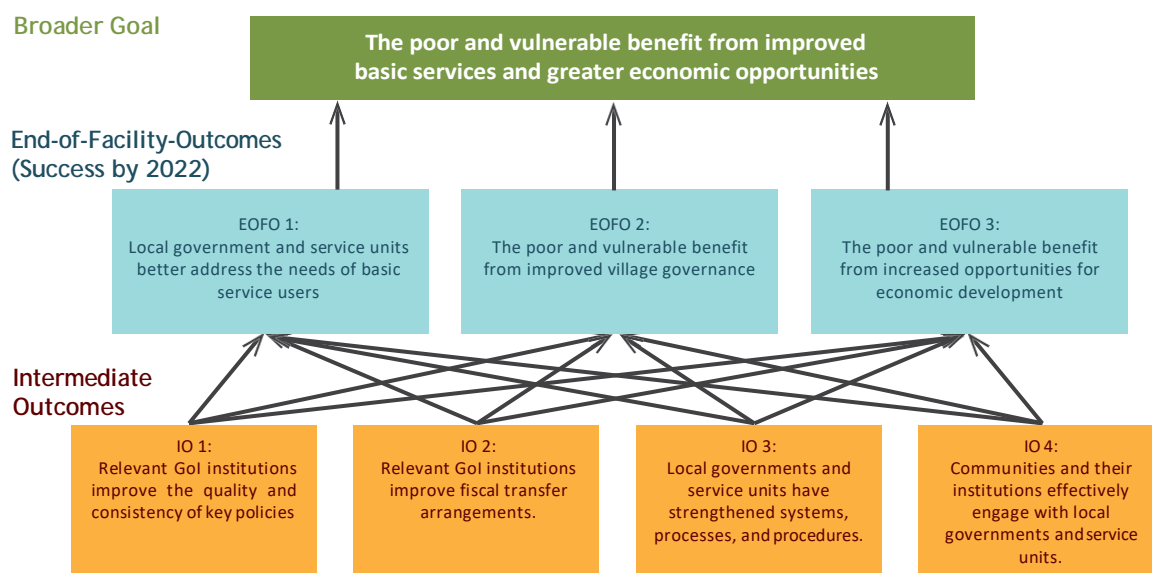


- 10 However, for problems that are more well-defined or better understood (including based on KOMPAK’s experience of testing and learning through implementation since 2015), the situation may be more ‘complicated’ than ‘complex’. For these problems (which are often the focus of one particular area of KOMPAK’s support), KOMPAK is more likely to be able to define probable solutions in advance, although expertise and contextual knowledge will still be needed to design interventions that are appropriate under particular circumstances.
- 11 KOMPAK’s overall programmatic modality as a facility was considered beneficial and fit-for-purpose for KOMPAK in the 2017 IPR. This is because the facility modality provides the necessary flexibility to develop and implement new packages of Activities over time, together with the GoI, including in response to emerging opportunities, changing circumstances, and what is gaining traction. For the 2019 to 2022 period, KOMPAK will continue to work adaptively through a facility modality: both to continue to test new ideas, but also to provide more consolidated support and knowledge base related to promising contextual lessons learned to date.

## KOMPAK'S HIGH-LEVEL RESULTS FRAMEWORK: EOFOS AND IOS

- 12 KOMPAK's high-level results framework, comprising its broader goal, EOFOs, and IOs, is presented in Figure 3.

**FIGURE 3 : KOMPAK'S HIGHER-LEVEL RESULTS FRAMEWORK**



- 13 Each of KOMPAK's EOFOs are described in greater detail below.

### EOFO 1: LOCAL GOVERNMENT AND SERVICE UNITS BETTER ADDRESS THE NEEDS OF BASIC SERVICE USERS

- 14 The overall objective of work towards this outcome is to support the GoI's poverty reduction agenda by closing key accountability loops for better service delivery. KOMPAK does this through a frontline approach that enhances accountabilities at the point of service (i.e. the frontline), through increased responsiveness of government and service units and the engagement of communities.
- 15 Key desired results within this area are likely to include regulatory frameworks that are more aligned; the formulation of new regulations to better finance, deliver and manage performance of basic service delivery; improvements to how public funds are being allocated (fund formulation, fund flows, and financing arrangements) for delivery of basic services; improvements to the ways funds and other resources are managed and used (optimising resources) by local governments, service units and village authorities; and improvements to local accountability and transparency in public spending.
- 16 Future work will build on lessons from key achievements to date under the cross-cutting IOs that contribute to EOFO 1, including:
- Contributions to the reformulation of criteria for access to the District Special Allocation (DAK) and regional Incentive Fund (DID), resulting in increased funds flows to poorer and more remote regions (contributes to IO1 and IO2).
  - Contributions to revisions to the Village Funds formula, which has resulted in the more equitable distribution of funds affecting all 74,574 villages in Indonesia (contributes to IO1 and IO2).

- Piloting of innovative approaches to service delivery increased legal identity coverage, which resulted in 93,555 legal identity applications lodged, and 67,437 documents issued by innovative service delivery models, in 16 KOMPAK targeted districts (contributes to IO3 and IO4).
- Year-on-year increases (from 2016 to 2017) in village budget allocations across KOMPAK-supported villages in five provinces, including 47% for health, 42% for education, and 6% for legal identity (contributes to IO2 and IO4).

## EOFO 2: THE POOR AND VULNERABLE BENEFIT FROM IMPROVED VILLAGE GOVERNANCE

- 17 The overall objective of work towards this outcome is to support GoI to strengthen village and community structures and relations, to promote community-driven development for improved basic services.
- 18 Key results within this area reflect the combination of top down policy support and bottom up locally-driven initiatives. These are likely to include: local governments making formula-based and timely fiscal transfers to villages; village governments becoming more responsive and accountable to the identified needs of their communities, particularly women and the poor and vulnerable; village institutions (e.g. village councils) effectively engaging with village government and service units to address needs of women and the poor and vulnerable; and communities increasingly advocating for their priorities in village development, including access to frontline services.
- 19 Future work will build on lessons from key achievements to date under the cross-cutting IOs that contribute to EOFO 2 (included as identified in the 2017 IPR) include:
- Contributions to four national regulations and other technical guidance on Village Law implementation (contributes to IO1).
  - A total of 262 female village cadres (of 2,524 trained) having taken on higher roles of leadership and responsibility at the village level, including engaging with communities to influence allocations of village resources (contributes to IO3 and IO4).
  - In 18 target villages, social accountability tools supported an increase in allocations between 2017 and 2018 for education, health and community empowerment activities (for a total increase IDR 137 million) (contributes to IO3 and IO4).
  - The establishment of village information systems that include data on populations with disabilities in 291 villages (contributes to IO2 and IO3).

## EOFO 3: THE POOR AND VULNERABLE BENEFIT FROM INCREASED OPPORTUNITIES FOR ECONOMIC DEVELOPMENT

- 20 The overall objective of work towards this outcome is to support GoI in increasing economic opportunities for the poor by increasing options for employment. KOMPAK aims to support the productivity of micro and small enterprises (MSEs) in rural villages. At the sub-national level, KOMPAK will support piloting of active support services for MSEs that can help improve their access to markets and increase their productivity, and assess what works and doesn't work. KOMPAK will also provide policy advice on the scale up of successful initiatives related to local economic development for poverty reduction.
- 21 Key results within this area are likely to include: local governments developing an enabling regulatory environment for MSEs; local governments and private sector working together to create supportive services for MSEs to grow; MSEs gaining the skills, knowledge and networks to grow their businesses, with particular focus on women-owned enterprises; and adoption of the market linkages approach through GoI policies and resourcing.

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- 22 As highlighted in the 2017 IPR, work on EOFO 3 only started at the end of 2016 and achievements to date have been limited, with a key challenge being how to integrate work related to EOFO 3 with KOMPAK's work related to decentralised service delivery and village development.
- 23 KOMPAK is therefore in the process of designing a new approach to support services that identifies business opportunities which can benefit the poor in rural villages, and connects micro and small enterprises to markets (especially through private sector partnerships), using a creative approach to problem-solving that places the beneficiaries at the centre of activity design, and which learns from experience (including failure).
- 24 Given the current state of this EOFO and the emergent nature of KOMPAK's strategy, a key aspect of KOMPAK's performance will be its ability to not only deliver on expected results, but also to more clearly define expectations and agree on strategies with both DFAT and Gol.

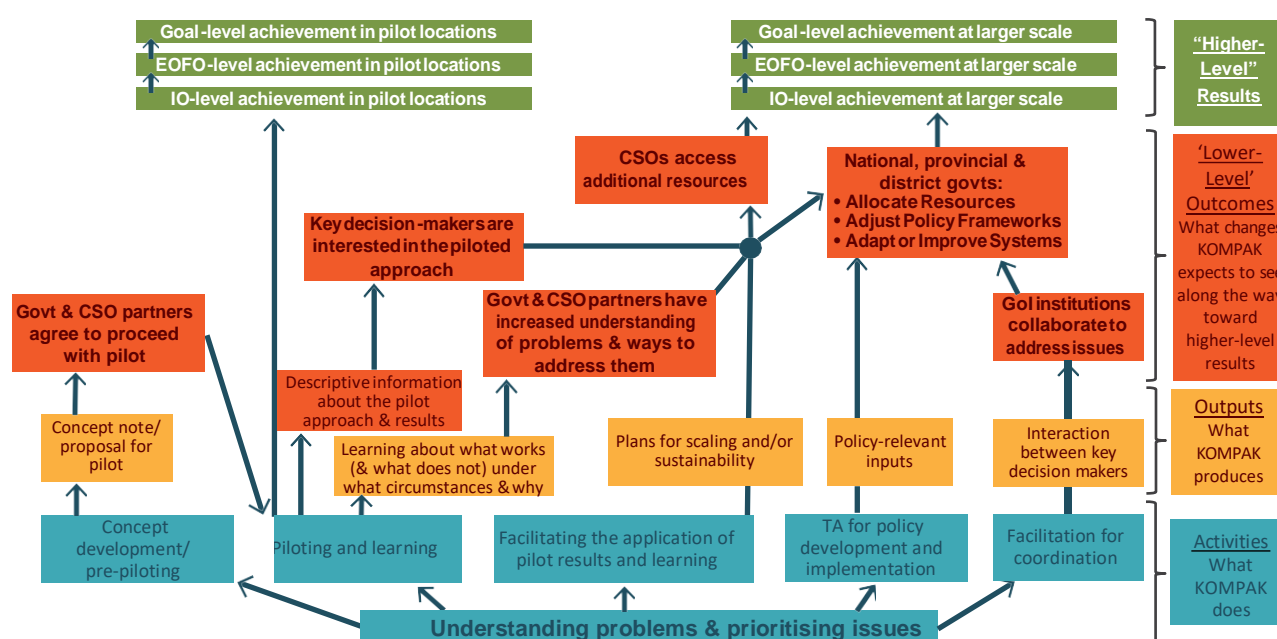
## INTERMEDIATE OUTCOMES

- 25 At its heart, KOMPAK is a governance program focused on improving policy and regulatory frameworks, systems for public financial management in support of service delivery, sub-national capacities for service delivery, and citizen engagement and social accountability for better services. These are therefore KOMPAK's main IOs: the medium-term changes in behaviour, practice, and decisions resulting from KOMPAK's work, contributing to improvements in functionality and coherence between upstream policy, systems, and downstream service delivery (see the framing of key issues in sections 6 and 7 above).
- 26 KOMPAK's IOs can potentially contribute to any of the three EOFOs. This is intentional, as a way to encourage KOMPAK's internal teams to not only focus on one particular EOFO, but to see linkages across service delivery, village governance, and local economic development. To guide teams in working across EOFOs, four IOs are presented below; these replace the five outlined in the 2018 LDD.
- 27 KOMPAK's IOs are as follows:
- **IO1: Relevant Gol institutions improve the quality and consistency of key policies related to service delivery, village governance, and local economic development.** These changes will predominantly be at the national level, but may also be at the sub-national level.
  - **IO2: Relevant Gol institutions improve fiscal transfer arrangements for service delivery, village governance, and local economic development.** These changes highlight the importance of KOMPAK's work on public financial management systems as an enabler of improved service delivery, village governance, and local economic development. These changes may occur at all levels of government from the national level to the village level, and often cut across more than one level.
  - **IO3: Local governments and service units have strengthened systems, processes, and procedures.** These changes are related to increases in regulatory, institutional, human and financial capacities within district, sub-district, and village government institutions, as well as service delivery units.
  - **IO4: Communities and their institutions actively engage with local governments and service units for better services, inclusive and transparent village development, and support for local economic development.** These changes cover the quality, depth and intensity of citizen engagement and social accountability (the so-called 'demand side'), including the openness, accessibility, and functioning of the 'deliberative' spaces where interactions between: (1) local governments and service providers; and (2) citizens and communities take place. These changes occur at the sub-national level.

## KOMPAK'S 'LOWER-LEVEL' PROGRAM LOGIC: FROM ACTIVITIES TO IOS

28 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 4. This is referred to as the 'lower-level' program logic of KOMPAK, because it elaborates the presumed cause-and-effect relationships between KOMPAK's work (presented as six generic types of activities), the main outputs of those activities, various 'lower-level outcomes', and finally KOMPAK's 'higher-level results'.

FIGURE 4 : KOMPAK 'LOWER-LEVEL' PROGRAM LOGIC



29 **Activity Type 1: Understanding Problems and Prioritising Issues:** Underpinning almost all of KOMPAK's work are efforts to understand the nature of the (complex) problems related to KOMPAK's main areas of focus, namely: basic service delivery, village governance, and local economic development, and their underlying causes (see sections 6 to 7 above). This also includes an understanding of the political context of such problems, particularly for key actors and their interests and incentives. On the basis of these efforts, KOMPAK then prioritises issues where change is already happening or is likely to happen; i.e. changes which are judged to be technically desirable and politically feasible. Throughout the process of understanding problems and prioritising issues, KOMPAK is guided by its experience to date and its knowledge about the local contexts and sectors in which KOMPAK operates. Key references for these efforts include KOMPAK's toolkit, Sector Strategies, and Provincial Roadmaps (all under development as of August 2018).

30 Based on this understanding of problems and prioritisation of issues, KOMPAK then works in one of two main ways: (1) by facilitating a process of developing and testing new ideas (i.e. 'piloting'); and (2) by providing direct technical assistance and facilitation to Gol institutions. These two ways of working are not mutually exclusive and are in fact often closely related. The process of piloting often reveals the need for further technical assistance or facilitation. Similarly, technical assistance may produce new ideas or approaches that need to be piloted.

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31 KOMPAK defines a ‘pilot’ as ‘the process to test a new or revised approach to address a problem where results and learning are intended to inform larger scale change’. To date, KOMPAK has designed and directly implemented 31 pilots, together with national and/or local government. KOMPAK has also provided technical assistance to 27 government-led pilots.

32 **Activity Type 2: Concept Development:** One aspect of ‘piloting’ is developing an idea to address a problem into a more operational concept, including through preliminary experimentation (i.e. ‘pre-piloting’).<sup>4</sup> The main output of this process is a concept note or other document that describes the new or revised approach, as well as the results it is expected to produce, and the key expected learning from the pilot. This concept then forms the basis of agreement between KOMPAK and government and/or CSO partners to proceed with the pilot.<sup>5</sup>

*Example from KOMPAK’s work to date: KOMPAK developed a concept for a pilot to address the problem of weak community facilitation for implementation of Village Law, identified by the Ministry of Villages. The concept was a smart phone application ‘Ruang Desa’ that targeted community facilitators contracted by MOV. The application provided facilitators with a smart and mobile solution to mentor village officials, as well as access learning resources to increase their knowledge and understanding about Village Law. The concept was pitched to the Minister, endorsed, and a pilot carried out in three provinces in partnership with MOV.*

33 **Activity Type 3: Piloting and Learning:** As the pilot is implemented (either directly by KOMPAK, or by government or CSO partners with support from KOMPAK), it produces results related to KOMPAK’s higher-level results framework: at the IO-level, EOFO-level, and potentially even goal level. However, these results occur on a limited scale, and only in the locations where the piloting process takes place. The piloting process therefore produces two other outputs that are important as the basis for informing sustainable change within those locations and/or larger scale change beyond those locations. First, it produces **descriptive information about the pilot**: what steps were taken as part of implementation, what results were observed, and what problems were encountered. Secondly, and equally importantly, it produces **learning about what has worked (and not worked), for whom, under what circumstances, and why**.<sup>6</sup> These two outputs help inform larger-scale change in different but equally important ways: the information about pilot implementation and results helps to generate **interest and motivation among key decision-makers about the piloted approach**; while the learning serves as the basis for an **increased understanding among government and implementing partners about problems and potential ways to address them**. KOMPAK’s role as a facilitator is also important in contributing to these outcomes: partners’ and counterparts’ active involvement in the piloting and learning also generates and reinforces their interest, motivation, and understanding.

*Example from KOMPAK’s work to date: Since 2015, KOMPAK has supported Papua and West Papua provincial governments to implement LANDASAN, an Activity aimed at improving delivery of basic education and health services. LANDASAN pilots how to improve the use of local fiscal resources, planning and budgeting processes, leadership and management, and the quality of community participation. Facilitating the sharing and learning about what has worked and why has led to increased local government in the program, ultimately resulting in the allocation of government resources to scale a number of LANDASAN initiatives, including to scale village administration and information systems from KOMPAK’s 15 target villages to a total of 190 villages.*

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<sup>4</sup> Depending on the context and nature of the problem, concepts for pilots may be developed using either a ‘top-down’ approach (i.e. at the national level) or a ‘bottom-up’ approach (i.e. within a particular local context at the sub-national level).

<sup>5</sup> See section 42 to 48 for further information on the process of developing and appraising Activity Concept Notes prior to Activity implementation.

<sup>6</sup> The ‘for whom’ part of this learning is especially important for KOMPAK, considering its focus on the poor and vulnerable and also on GESI.



- 34 **Activity Type 4: Facilitating the Application of Pilot Results and Learning:** In some cases, where decision-makers are highly motivated and interested, and partners have a deep understanding of the problem, this may be enough for them to take the results forward. However, KOMPAK has learned that additional support is often needed to facilitate the application of pilot results and learning. This may take the form of **plans for applying pilot results or learning** at larger scale, or for institutionalising the piloted approach within a particular organisation or location.<sup>7</sup> In certain cases, learning may also inform what not to do: for example, where a pilot has not produced the desired effects under certain circumstances or for certain target populations, this may indicate that it should be scaled carefully or even not at all. Support from KOMPAK is also important because learning processes are iterative: the results of one piloting process may generate ideas for new or revised approaches, which themselves need to be further tested.

*Example from KOMPAK's work to date: KOMPAK developed an Activity concept, Universitas Membangun Desa (UMD), which used Indonesia's Kuliah Kerja Nyata (KKN) program to contribute to village development. This Activity contained four pilots, each implemented with a university under the guidance of Ministry of Villages. To institutionalise the pilots, KOMPAK has facilitated MOUs between the pilot universities and local governments, developed Training of Trainer (ToT) modules for scaling the initiative within other universities, and facilitated the sharing of learning and results with MOV, Ministry of Religious Affairs, and Ministry of Higher Education for collaboration to expand the initiative. However, the pilot also demonstrated the importance of active support from university rectors, indicating that the program was not necessarily appropriate for all universities.*

- 35 Although piloting is a key part of the KOMPAK approach, not all of KOMPAK's work is related to piloting. In some cases, KOMPAK also provides assistance and facilitation to government institutions at the national, provincial, or district level.

- 36 **Activity Type 5: TA for Policy Development and Implementation:** On high priority issues linked to KOMPAK's problem areas, KOMPAK may provide technical assistance related to GoI systems, processes, rules, laws, and regulations. This includes support provided by KOMPAK technical staff at the national, provincial, and district level, as well as assistance provided by short-term or embedded advisers. Through this work, KOMPAK produces or facilitates **a variety of policy-relevant inputs**, which include (but are not limited to) policy papers, draft language for key policies, technical guidelines, presentations, and advisory memos.

*Example from KOMPAK's work to date: In collaboration with the World Bank and the National Team for the Acceleration of Poverty Reduction (TNP2K), KOMPAK has provided technical advisory services (TA personnel) and advocacy to the Ministry of Finance and Bappenas on revisions to the formula for allocation of village funds under the Village Law (No. 6/2014), resulting in a more equitable (pro-poor) distribution of funds affecting all 74,574 villages in Indonesia.*

- 37 **Activity Type 6: Facilitation for Coordination:** In certain cases, especially where coordination between government institutions is a key aspect of addressing problems, KOMPAK plays an important brokering role. This may also include efforts to facilitate coordination between other development programs. This results in **formal or informal interaction between relevant decision-makers**, which then enables and encourages **collaboration between their institutions**.

<sup>7</sup> This can be thought of as 'scaling up' (informing policy), 'scaling out' (spreading implementation to a larger number of locations or organisations), or 'scaling deep' (targeting more sustainable change in the same locations or organisations). See for example: Riddell and Moore (2015), Scaling Out, Scaling Up, Scaling Deep: Advancing Systemic Social Innovation and the Learning Processes to Support it.

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*Example from KOMPAK's work to date with government: KOMPAK supported the Coordinating Ministry for Human Development (PMK) in the development of a cross-ministry roadmap for implementation of Village Law, coordinating work plans of MOHA, MOV, MOF, and BAPPENAS. One key output of coordination on work planning was the signing of a Joint Ministerial Decree between four ministries (SKB) in December 2017 on improvements in implementation of Village Law.*

*Example from KOMPAK's work to date with donor programs: KOMPAK worked with MAHKOTA and the Papua Provincial Government to design a universal child grant program called BANGGA PAPUA. KOMPAK had been helping the Papuan Government to review and improve their locally-specific programs funded with special autonomy funds (otsus). The Papua Provincial Government valued KOMPAK's technical assistance, and the engagement was very strong. When the Papuan Government started to seek more ideas to redesign the otsus-funded programs for poverty reduction, KOMPAK took the opportunity to facilitate productive discussions with MAHKOTA and the Australian Embassy that led to the universal child grant idea. With KOMPAK and MAHKOTA support, BANGGA PAPUA will be piloted in three districts in 2018, with full funding from local government (IDR 110 billion or AUD 11 million). Building on each program's respective strengths, KOMPAK provides technical assistance to set up the regulatory and institutional mechanisms, while MAHKOTA focuses on the technical design and operational plans for implementing the pilot.*

**38 Outcomes that Contribute to Achievement of Higher-Level Results:** As depicted in Figure 4, the activities undertaken by KOMPAK are all assumed to contribute to two intermediate results that enable KOMPAK to achieve its IOs, EOFs, and broader goal at a larger scale.

**39** First, by ensuring that key decision-makers are interested in piloted approaches, and that government partners have an increased understanding of problems and potential ways to address them, by providing policy-relevant inputs, and by facilitating collaboration between relevant institutions, **government institutions at the national, provincial, and district level are more likely to take appropriate action to address problems.** Such 'action' is likely to include allocating resources; adjusting policies, laws, and regulatory frameworks; and taking specific steps to adjust or improve systems for service delivery or citizen engagement.

*Example from KOMPAK's work to date: KOMPAK technical assistance and piloting of activities to strengthen the role of the sub-district have resulted in the revision of Government Regulation No. 17/2018, which clarifies the role of the sub-district head (camat) as an anchor in improving coordination of basic services (including health, education and CRVS) and bringing these services closer to communities. As of June 2018, this regulation has been implemented in 12 out of KOMPAK's 26 target districts.*

**40** Second, by facilitating CSO partners' active engagement and learning in pilot processes, **civil society partners are more likely to access the additional resources they may need to apply learning or implement programs at larger scale.** This may include receiving funding from government institutions or other development partners.

*Example from KOMPAK's work to date: Through the CRVS pilot aimed at increasing coverage of legal identity documentation, PUSKAPA and KOMPAK have managed to secure financing from village funds to support village registrars in helping communities to apply for and obtain their identity documents.*



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## KOMPAK'S WAYS OF WORKING

- 41 In implementing the approach described above, KOMPAK adheres to a number of key principles, several of which were also highlighted as being critical to KOMPAK's success in the 2017 IPR. These ways of working, which are just as central to KOMPAK's performance as the achievement of its results, include:
- Paying active attention to local institutional contexts as well as political sensitivities and nuances, and incorporating these into plans and decisions.
  - Playing a facilitation role (helping counterparts to learn) rather than an advisory one (telling counterparts what they should know).
  - Prioritising joint learning and problem-solving between stakeholders.
  - Collaborating with other DFAT programs.
  - Being sensitive to and actively promoting gender equality and social inclusion (GESI) considerations.

## ACTIVITY DESIGN AND APPRAISAL

- 42 As described above, KOMPAK works flexibly and adaptively, identifying opportunities, building on previous lessons, and responding to changing circumstances. A final key aspect of KOMPAK's performance is therefore its ability to design and appraise Activities in a way that maximises the chances of achieving KOMPAK's high-level results. The process is presented in Figure 5 and described briefly below.
- 43 KOMPAK appraisal process for new Activities happens twice a year: (1) as part of annual work planning; and (2) as part of the mid-year review. This aligns the introduction of new Activities with KOMPAK governance mechanisms (particularly when approval for large Activities is required), as well as with the annual performance cycle.
- 44 The first step for new Activities is problem identification. As an adaptive and problem-driven facility, KOMPAK's approach is to solve problems rather than provide solutions. Implementing teams work with government partners (or KOMPAK Partners) to: define the specific problem, understand the problem (including the relevant incentives and motivations of key actors), and review learning and results to date (either from KOMPAK or other partners and programs) that can inform Activity design.

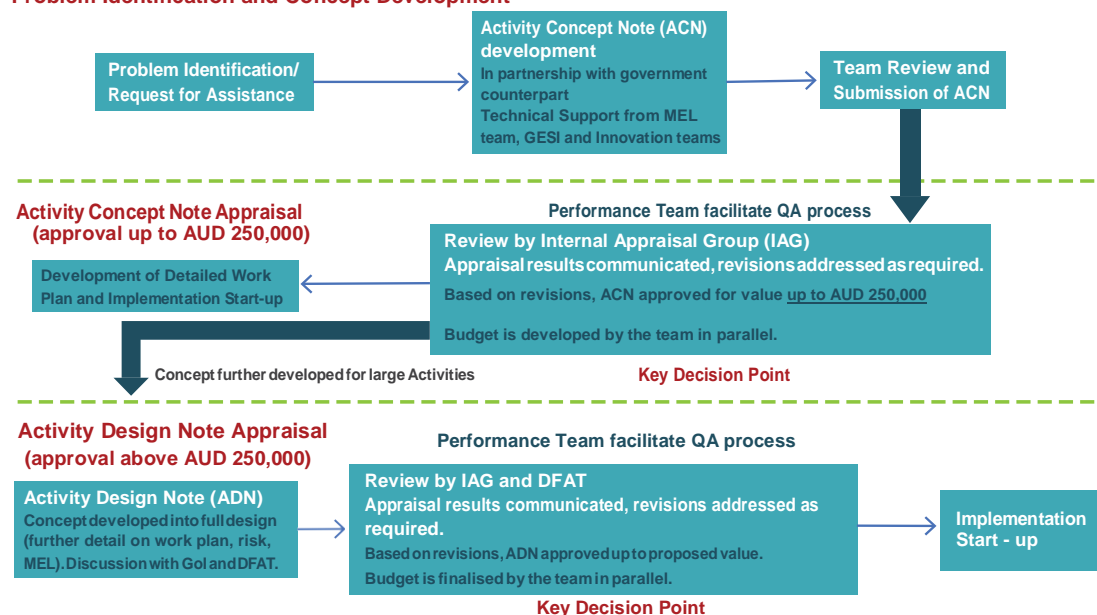
### BOX 1: INVESTMENT CRITERIA FOR NEW ACTIVITIES

- Contribute towards KOMPAK's IOs and End-of-Facility Outcomes linked to Sector Strategies.
- Contribute towards GoI's development priorities.
- Contribute towards solving local development problems (applicable for locally-implemented initiatives).
- National and/or sub-national government (and other relevant stakeholder) commitment to the activity.
- KOMPAK has the capabilities and a comparative advantage over other development actors.
- Clearly defined project/activity description, which provide information about:
  - Linkages to the above
  - Ability to describe what success look like
  - Sustainability and Exit strategy identified
  - Strategy for how to achieve policy impact, replication, institutionalisation and scale up
  - Strategy for programming for gender equality and inclusion
  - Identification of indicators and approach to monitoring and learning/adaptation
  - Timeline for implementation
  - Estimated costs.

- 45 Activity Concept Notes (ACNs) are developed by implementing teams for new Activities, which are reviewed and appraised through KOMPAK's quality assurance (QA) process. An ACN provides information about the proposed Activity against KOMPAK's Investment Criteria for New Activities (Box 1). Approved ACNs of up to AUD 250,000 become officially part of the Provincial Roadmap or National Work Plan.
- 46 Proposed Activities greater than AUD 250,000 require a more detailed Activity Design Note (ADN) following approval of an ACN. An ADN includes more detailed information on the proposed design, scheduling of activities, risk analysis and the logic, and the related monitoring, learning and evaluation on performance. An ADN is developed in consultation with GoI and DFAT and formally approved by DFAT as an investment valued above AUD 250,000. Approved ADNs become officially part of the team's Provincial Roadmap or National Work Plan.
- 47 KOMPAK forms an ad hoc Internal Appraisal Group (IAG) for the purpose of reviewing and appraising ACNs and ADNs. To promote high quality design and invite contestability, KOMPAK's IAG includes both senior KOMPAK staff as well as external experts. The Implementation Director or Deputy Director chairs the IAG for ACNs and the Team Leader chairs for ADNs. The IAG appraises ACNs and ADNs against KOMPAK's Investment Criteria for New Activities, which was approved by the Steering Committee in March 2018 (see Box 1).
- 48 The appraisal of ACNs and ADNs provide a decision point at which a concept or design may be approved; may be recommended for revisions for improvement; or may not be approved. The introduction of the IAG represents a modification to previous processes of activity review and approval, which KOMPAK will test and refine in 2019.

**FIGURE 5 : KOMPAK ACTIVITY DEVELOPMENT AND APPRAISAL PROCESS**

**Problem Identification and Concept Development**



- 49 This document provides the overall goal and scope of KOMPAK, which includes the higher-level results framework and lower-level program logic. It is intended to be read together with KOMPAK's 2018 PMF which takes the core information on the scope and nature of KOMPAK and details out the performance management systems and processes at the Activity and Facility level to be applied. Specifically it outlines how KOMPAK manages the four main components of performance management, namely: monitoring; learning, reflection and adaptation; reporting; and evaluating.



# KOMPAK

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