Mid-Term Review Report of Strengthened Indonesia Resilience: Reducing Risks from Disasters (StIRRRD) Activity | 2014 - 2018

Fish market, Papua New Guinea. Credit: MFAT

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Image: from a StIRRRD community project: A Tsunami Evacuation Drill in Seluma, Bengkulu Province on 26 April 2018 to commemorate Indonesia Preparedness Day and 60th Anniversary Indonesia – New Zealand bilateral relations.

Acknowledgements

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Acronyms and Abbreviations

Acronym	English Meaning	Indonesian Meaning
ACFID	Australian Council for International Development	
AES	Australasian Evaluation Society	
AGG	Activity Governance Group	
AMT	Activity Management Team	
Bappeda	Regional Development Planning Agency	*Badan Perencanaan Pembangunan Daerah*
Bappenas	State Ministry of National Development Planning	*Kementerian Perencanaan Pembangunan Nasional / Badan Perencanaan Pembangunan Nasional*
BNPB	National Authority for Disaster Management	*Badan Nasional Penanngulangan Bencana*
BPBD	Regional Disaster Management Agency	*Badan Penanggulangan Bencana Daerah*
DMA	Disaster Management Agency	
DRR	Disaster Risk Reduction	
Gama-InaTEK	UGM Center for Disaster Mitigation and Technological Innovation	
GoI	Government of Indonesia	
GNS	GNS Science Ltd	
HRD	Human Resource Development	
JCfD	New Zealand – Indonesia Joint Commitment for Development	
Kemdikbud	Ministry of Education and Culture	*Kementerian Pendidikan dan Kebudayaan*
Kemendesa	Ministry for Development of Villages, Disadvantaged Regions, and Transmigration	*Kementerian Desa, Pembangunan Daerah Tertinggal, dan Transmigrasi Republik Indonsia*
MFAT	New Zealand Ministry of Foreign Affairs and Trade	
MTR	Mid-term Review	
MoHA	Ministry of Home Affairs	*Kementerian Dalam Negeri*
NTB	West Nusa Tenggara	*Nusa Tenggara Barat*
NTT	East Nusa Tenggara	*Nusa Tenggara Timur*
NZAPSP	New Zealand Aid Program Strategic Plan 2015 – 2019.	
OECD-DAC	Organisation for Economic Cooperation and Development - Development Assistance Committee	
PUPR	Ministry of Public Works and Public Housing	*Kementrian Pekerjaan Umum dan Perumahan Rakyat*
PwD	People with Disability	
StIRRRD	Strengthened Indonesia Resilience: Reducing Risks from Disasters	
UGM	Gadjah Mada University	*Universitas Gadjah Mada*
VfM	Value for Money	

Part One: Executive Summary

Indonesia is one of the most disaster-prone countries in the world[1] with the 12th highest mortality risk from multiple hazards.[2] Natural disasters cause significant loss of life, economic loss and social impacts, and undermine development gains. The estimated annual economic impact of natural disasters in Indonesia is 0.3% of gross domestic product (US$1.5 billion[3]).

Disaster risk reduction (DRR) is a priority for the Government of Indonesia (GoI), and aligns with New Zealand's comparative advantage, and as such is a key focus of the priorities established between the two countries in the New Zealand–Indonesia Joint Commitment for Development (JCfD).

"Strengthened Indonesian Resilience: Reducing Risk from Disasters" (StIRRRD) is a $7.5million, five-year (2014-2019) DRR activity funded by the New Zealand Ministry of Foreign Affairs and Trade (MFAT)[4]. It builds off a successful pilot and is currently at the midterm.

StIRRRD aims to reduce the losses from disasters through strengthening local government disaster resilience in ten districts within four provinces of Indonesia. It's intended outcomes are:

Goal	Reduced Losses from Disasters
Long Term Outcome	Disaster resilience strengthened, and risks reduced
Medium Term Outcomes	✳ DRR strengthening model applied to other districts
	✳ Strengthened DRR planning and implementation by local government
	✳ Improved community DRR practice
Short Term Outcomes	✳ Increased stakeholder awareness and buy-in of DRR approach
	✳ Local government staff have skills and knowledge to support DRR
	✳ DRR Action Plan finalised
	✳ Expert knowledge and skills applied to support DRR
	✳ Improved community awareness of hazards and risks.

StIRRRD is implemented by an Activity Management Team (AMT) led by GNS Science Ltd (GNS) who are responsible for overall activity management in collaboration with the University of Gadjah Mada (UGM) and MFAT. StIRRRD works with a range of Government of Indonesia (GoI) organisations and local Universities to support implementation and government strengthening.

The AMT reports through the MFAT Development Counsellor to an Activity Governance Group (AGG) comprising key national level Ministries who provide strategic leadership and support the replication of the DRR strengthening model to other districts.

The Review

The Mid Term Review (MTR) was commissioned to undertake a comprehensive assessment of StIRRRD performance and make recommendations on modifications to the project to completion and identify potential considerations for ongoing MFAT engagement beyond the life of the current phase.

Overall messages

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[1] World Bank (2011), Disaster *Risk Management Programs for Priority Countries* pp. 154- 164
[2] World Bank (2005), *Natural Disaster Hotspots, A Global Risk Analysis,* Table 1.2
[3] World Bank; *"Indonesia: Advancing a National Disaster Risk Financing Strategy – Options for Consideration": Executive Summary*. 2011
[4] MFAT is responsible for managing the New Zealand Aid Programme.

The StiRRRD partnership is a valuable and innovative initiative that fills a current gap in the DRR sector in Indonesia and delivers strong reputational, institutional and technical benefits to MFAT, GNS, UGM and their downstream GoI partners.

StIRRRD has been well implemented and planned outputs have been delivered to a high standard. Indeed, the uptake of training and mentoring support has exceeded initial plans and expectations.

In a relatively short time, the **partnership has delivered significant outcomes** including the establishment of UGM Gama Ina-TEK as a Centre of Excellence for DRR, the development of the first ever ISO Standards for DRR in Indonesia (flood, landslide and tsunami) and the adoption of the Tsunami Blue Line Evacuation Programme in West Sumatra.

Significantly StIRRRD has demonstrated the importance of a multi-sectoral, multi-stakeholder approach to DRR and created linkages across line Ministries and subnational agencies and has contributed to building capacity of DRR actors at the national and subnational level.

The extent to which these capacities can be institutionalised into the future are affected by several key challenges including complex decentralised governance planning and budgeting arrangements, the relative newness of the subnational DMAs, and high turnover of personnel in key government roles. Further analysis and strategic thinking and planning will be required to seek to explore strategies to address these to maximise StIRRRD's impact.

RECOMMENDATIONS
The MTR makes the following recommendations for consideration for short term strategy for i. the remaining period of StIRRRD implementation and ii. to inform the shape of a any future investment.

Effectiveness
Current term:
 Understanding that sustainability will ultimately be delivered through GoI systems, greater attention and alignment to the political processes associated with planning and budgeting and are required including ensuring that StIRRRD processes align with the government planning cycle.

StIRRRD's progress to outcomes would be significantly strengthened by taking a strategic institutional strengthening / institutional governance lens to capacity building efforts. To maximise training outcomes, consideration should be made to the provision of basic DRR training directly with whole work teams at the district level.

The design and implementation of community projects requires specialist engagement and facilitation from international or local civil society actors for whom community mobilisation, socialisation and beneficiary-based M&E is core business, and to ensure that these are aligned with GoI decentralised planning and budgeting processes.

Future Investments:
Any future programme should develop a capacity building strategy and capacity assessment framework for measuring capacity outcomes at the individual, institutional and systems level.

Future community based initiatives should be positioned within the decentralised governance system, build capacity, support communities to plan in a way that respects the authority and autonomy afforded them by the Village Law and build the capacity of local government agencies to fulfil their role in supporting these processes.

Efficiency

Future investments: Any future investment design should clearly assess the costs and benefits of placing additional management support in-country to enable the UGM technical team to focus on the Faculties strategic development and institutional sustainability model.

Current term: UGM needs to commence long range planning for Gama Ina-TEK in order that it is sufficiently viable to respond to technical support for DRR policy and planning by national and subnational government agencies beyond the life of StIRRRD.

Results Management and Monitoring and Evaluation

Current Term: Stronger investments into the M&E system should be made to support the strengthened collection, analysis and documentation of qualitative evidence to support sense-making and evaluative thinking and to inform strategy development for the remaining life of the programme.

A midterm review of the Results Framework should be undertaken to assess i.e. the appropriateness of current indicators (e.g. increase in financing) and ii. the integration of key learning / evaluative areas to respond to knowledge and data gaps identified by the MTR (e.g. strengthen analysis of capacity building efforts, public diplomacy and attention to gender approaches and outcomes).

Future Investments: A fully resourced M&E strategy and plan should be developed as part of any future initiative. This system should consider the full range of M&E needs from data collection and data management through to sense-making, evaluative reflection and reporting.

M&E Resourcing should align with global good practice for M&E financing at between seven (7) to ten (10) percent of total programme value.

Sustainability
Current Term: A detailed assessment of the political economy and preconditions that underlie success in each of the locations should be undertaken to inform more nuanced approaches to each district as well as inform replication to new areas. This assessment should extend to those non-StIRRRD target districts that are implementing StIRRRD like processes.

Future: Future strategy and design should ensure a governance lens to inform more nuanced approaches to address key barriers and constraints to good DRR governance.

Cross Cutting Issues
Current Term: Resources should be identified to undertake efforts to strengthen the gender and social inclusion lens of the program. These investments should include at a minimum:

a. Both gender sensitisation **and** gender and social inclusion resilience training for all team members;
b. The development of an interim strategy to inform a strengthened focus on gender and social inclusion for the remaining term of the program; and
c. A review of the Results Framework to include both quantitative and qualitative indicators regarding gender and social inclusion outcomes.

Future: Future investments should adopt a gender and socially inclusive approach to resilience and DRR policy and planning, based on sound gender analysis and a clear and resourced strategy for implementation.

Part Two: Midterm Review Report

1. Introduction and Background

1.1. Programming Context

Indonesia is one of the most disaster-prone countries in the world[5] with the 12th highest mortality risk from multiple hazards.[6] Natural disasters cause significant loss of life, economic loss and social impacts, and undermine development gains. The estimated annual economic impact of natural disasters in Indonesia is 0.3% of gross domestic product (US$1.5 billion[7]).

Disaster risk reduction (DRR) is a priority for the Government of Indonesia (GoI), and aligns with New Zealand's comparative advantage, and as such is a key focus of the priorities established between the two countries in the New Zealand–Indonesia Joint Commitment for Development (JCfD).

1.2. Strengthened Indonesian Resilience: Reducing Risk from Disasters (StIRRRD)

"Strengthened Indonesian Resilience: Reducing Risk from Disasters" (StIRRRD) is a $7.5million, five-year (2014-2019) DRR activity funded by the New Zealand Ministry of Foreign Affairs and Trade (MFAT)[8] which builds off a successful pilot and is currently in the second phase.

StIRRRD aims to reduce the losses from disasters through strengthening local government disaster resilience in ten districts within four provinces of Indonesia. Its intended outcomes as outlined in the Results Framework (see Annex 1) are:

Goal	Reduced Losses from Disasters
Long Term Outcome	Disaster resilience strengthened, and risks reduced
Medium Term Outcomes	✶ DRR strengthening model applied to other districts
	✶ Strengthened DRR planning and implementation by local government
	✶ Improved community DRR practice
Short Term Outcomes	✶ Increased stakeholder awareness and buy-in of DRR approach
	✶ Local government staff have skills and knowledge to support DRR
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StIRRRD is implemented by an Activity Management Team (AMT) led by GNS Science Ltd (GNS) who are responsible for overall activity management in collaboration with the University of Gadjah Mada (UGM) and MFAT. StIRRRD works with a range of GoI organisations and local Universities to support implementation and government strengthening.

The AMT reports through the MFAT Development Counsellor to an Activity Governance Group (AGG) comprising key national level Ministries including the Indonesia National Disaster Management Authority (BNPB), the Ministry for Development of Villages, Disadvantaged Regions, and Transmigration (Kemendesa) and the State Ministry of National Development Planning (Bappenas) who provide strategic leadership and support the replication of the DRR strengthening model to other districts.

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[5] World Bank (2011), Disaster *Risk Management Programs for Priority Countries* pp. 154- 164
[6] World Bank (2005), *Natural Disaster Hotspots, A Global Risk Analysis,* Table 1.2
[7] World Bank; *"Indonesia: Advancing a National Disaster Risk Financing Strategy – Options for Consideration": Executive Summary*. 2011
[8] MFAT is responsible for managing the New Zealand Aid Programme.

2. The Review Process

2.1. Purpose and Objectives

The Mid Term Review was commissioned as part of MFAT's routine performance management processes. Its purpose is to undertake a comprehensive assessment of StIRRRD performance and make recommendations on modifications to the project to completion and identify potential considerations for ongoing MFAT engagement beyond the life of the current phase. Specifically,[9] the MTR aims to:

✳ Assess the relevance, effectiveness, efficiency, sustainability, and impact of the StIRRRD Activity, and management and governance arrangements;

✳ Identify strengths and weakness, and describe the lessons learned, on which to base recommendations for the life of the current investment; and inform future strategic opportunities.

In undertaking its assessment, the MTR responds to the **key evaluation questions** (see Annex 2) highlighted against the **five objectives**:

✳ **Objective 1:** To assess the extent to which the StIRRRD Activity remains a priority for the GoI, MFAT, and partner organisations (Relevance)

✳ **Objective 2:** To examine the progress being made in achieving the StIRRRD outputs and short and medium-term outcomes against the results framework, and the relevant indicators (Effectiveness)

✳ **Objective 3:** To evaluate the management efficiency and cost effectiveness of the approach employed to deliver results (Efficiency)

✳ **Objective 4:** To evaluate the current arrangements for governance and management of the Activity to meet objectives and deliver results (Managing for Results)

✳ **Objective 5:** To identify how best to ensure sustainable outcomes from ongoing StIRRRD implementation.

2.2. Scope and Limitations

The scope of the MTR included activity implementation from the commencement of phase 2[10] until the end of 2017. In assessing the overall performance of StIRRRD in strengthening the management of natural disasters in the 10 districts, the key focus of the MTR was on the approaches and outcomes of capacity building efforts including skills and knowledge, needs assessment and planning capabilities, support networks and access to resources[11]); the scope of partnerships and the extent to which StIRRRD has engaged appropriate actors and enabled effective partnerships for DRR as well as the management arrangements.

Due to the wide geographic spread of activities and constraints on time, the MTR only visited three of the ten districts - West Sumatera (Padang and Pesisir Selatan) and Nusa Tenggara Barat (Sumbawa) (see Annex 3 Field Schedule).

3. Approach and Methodologies

3.1. Overarching Principles

The MTR was guided by the principles of MFAT's approach to evaluation (impartiality and independence, credibility usefulness, partnership and participation, forward planning and donor cooperation[12]) which reflect the Organisation for Economic Cooperation and Development - Development Assistance Committee (OECD-DAC) Guidelines for Evaluating Development Assistance[13] as the global standard.

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[9] The purpose and objectives of the MTR are based on an initial ToR developed by MFAT but have been slightly modified as part of the scoping exercise undertaken by the team and in consultation with MFAT and its implementing partners GNS and UGM.
[10] StIRRRD Phase 2 was based on the lessons learned from a 2014 pilot program in West Sumatra. The evaluation/review of the pilot program therefore represents key baseline information and the starting / key reference point for the MTR.
[11] From ADD p. 23
[12] https://www.mfat.govt.nz/assets/Aid-Prog-docs/Tools-and-guides/Evaluation-Policy.pdf
[13] https://www.mfat.govt.nz/assets/Aid-Prog-docs/Tools-and-guides/Evaluation-Policy.pdf

The MTR took a **participatory**, **assets and strengths-based approach** building upon the existing knowledge and collaborative working relationship between MFAT, UGM and their partner. Specifically, the MTR was designed so that it usefully contributes to **consolidating learning** and forward planning by identifying **practical solutions** that are aligned with and proportional to MFAT and partner resources, and implementable.

3.2. Tools and Methodology

The MTR used mixed methods, combining quantitative and qualitative data to provide a sound evidence base, and has drawn upon the reflections of a wide range of actors (see Annex 4). Key processes included
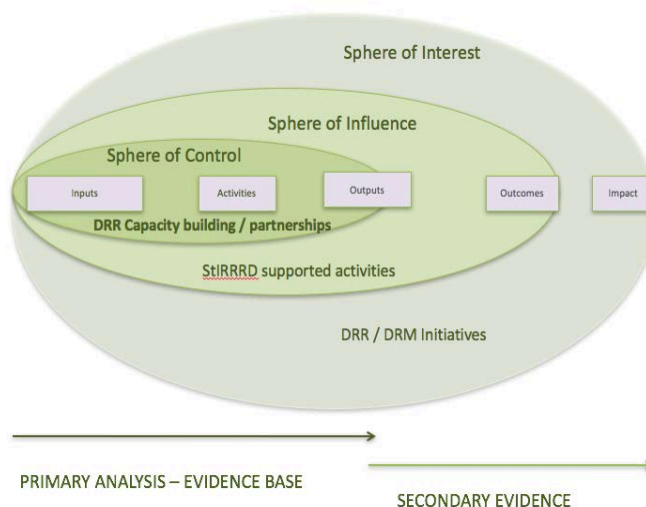
* Document Review: including the StIRRRD design, program documentation; MFAT policy and strategy documents; MFAT monitoring reports; partner reports and data sets;

* Stakeholder Mapping to identify internal, external, direct and indirect stakeholders for consultation;

* Key Informant Interviews in Yogyakarta, Mataram and Jakarta and field visits to Pesisir Selatan, Padang and Sumbawa;

* Telephone interviews with GNS and New Zealand technical advisers;

* A verification workshop with MFAT and UGM at the end of the field mission;

* Verification sessions by skype with GNS at completion of the MTR.

3.3. Analytical Framework

A Chain of Influence lens was adopted to ensure that data collection and analysis focussed on the areas where StIRRRD investments have direct control and indirect influence upon key actors and development outcomes.

This means that the key target groups are StIRRRD's management partners, university partners, national and local government officials engaged in StIRRRD activities and New Zealand technical partners.

An analytical framework (Annex 5) developed in consultation with GNS, MFAT and UGM provides the basis for assessment and collection of evidence against the evaluation criteria and questions.

4. Findings

4.1 Overall performance

StIRRRD is an innovative partnership which mobilises Indonesian and New Zealand DRR expertise to strengthen DRR policy and planning at the subnational level in Indonesia.

StIRRRD has been managed efficiently. **Outputs have been delivered for what would be expected at this stage of implementation** and there is emerging evidence of progress against intermediate outcomes.

The StIRRRD Partnership has:
* Worked directly in 10 disaster prone districts of Indonesia (see Figure 1 below) and provided support to a further 13[14] districts in addition to national agencies;
* Delivered quality and relevant technical support to disaster managers;

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[14] Data provided by UGM Gama-InaTEK team at MTR workshop

* Increased knowledge and capability for DRR planning in selected vulnerable districts of Indonesia;
* Modelled a multi-sectoral approach that fosters linkages between Indonesian disaster management agencies (DMA's) and other agencies with DRR responsibilities;
* Established strong linkages and cooperation between New Zealand and Indonesian DMAs.

Programmatic highlights include:
* The delivery of training and technical support to XX people from XXX agencies[15].
* The development of District DRR policies in 7 districts;
* The establishment of the UGM Center for Disaster Mitigation and Technological Innovation (Gama-InaTEK) as a Centre of Excellence for Disaster Risk Reduction;
* The establishment of a Disaster Risk Management Centre at Mataram University (Engineering Faculty)
* The signing of a Letter of Intent (LoI) to collaborate in disaster risk management related activities and knowledge sharing - between Padang City and the City of Wellington;
* The adoption of 'the Blue Line' tsunami evacuation programme[16] in both Padang and Bengkulu Cities;
* The expansion of StIRRRD like approaches to a further 13 districts and cities in Indonesia;
* Three Study Tours from Indonesia to New Zealand and one tour from New Zealand to West Sumatra as part of the Vision Matauranga[17] process
* The drafting of Indonesia's first ISOs for flood, landslide and tsunami[18];
* Providing a mechanism to support the GoI in its Sendai Reporting commitments.

Figure 1: StIRRRD Geographic Focus

StIRRRD Districts and Provinces, Indonesia

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[15] This data requires some clarification
[16] https://wremo.nz/about-us/initiatives/blue-lines/
[17] https://www.gns.cri.nz/Home/News-and-Events/Media-Releases/Vision-Matauranga
[18] Currently going through final standardisation processes at the time of the MTR.

4.2. Relevance

> **Relevance:** To determine whether StIRRRD objectives are aligned to New Zealand and GoI strategic priorities.

Our measurement of relevance takes into account the extent to which:

* StIRRRD activities are aligned with New Zealand and GoI priorities within said sectors;

* StIRRRD activities are consistent with the priorities of MFAT's implementing partners in this case GNS, UGM, New Zealand public and private sector organisations.

* StIRRRD is responding to capacity and capability gaps at the subnational level.

Policy Alignment

StiRRRD demonstrates a strong strategic alignment with the shared development priorities of Indonesia and New Zealand as established within their Joint Commitment for Development Agreement (JCfD) which itself reflects the priorities established within Indonesia's Medium-Term Development Plan (*Rencana Pembangunan Jangka Menengah Nasional* – RPJMN 2016-2020) and New Zealand's Strategic Framework for Indonesia 2017 – 2022.

Specifically, the StIRRRD programming strategy responds directly to key critical gaps in Indonesia's DRR capability including:
* A critical gap in coordination of disaster risk reduction across sectors and government levels
* Complex DRR governance and regulatory arrangements from the national through to subnational levels, with unclear role definitions;
* Variable and often poor capacity of subnational agencies to fulfil their mandated functions;
* Support for the application of the Sendai Framework for Disaster Risk Reduction (SFDRR) including Sendai reporting;
* A focus on high disaster risk areas, including those in Eastern Indonesia.

StIRRRD makes a highly relevant contribution to capacity building and support for DRR planning at the subnational level which is critical in the context of Indonesia's decentralised governance system. It is however important that the programme model allows sufficient flexibility to ensure that continues to be responsive to shifting policy and the operational needs of subnational disaster management agencies (DMA's), and considering the extent to which these vary from location to location.

Overseas Development Assistance (ODA) Priorities
The investment is specifically strategic and important to the Indonesia DRR sector in that it has provided sustained support at the time that other significant donors to the sector were downsizing and/or reorienting their investments[19].

The approach is also strongly aligned with MFAT's approach of working through bilateral partnerships to strengthen human resource development which in turn contributes to the GoI's strategic priority of strengthening the tertiary education sector as outlined within the RPJMN.

StIRRRD Is also strategically relevant in that it **supports Indonesia to progress and report against its commitments to the Sendai Framework for Disaster Risk Reduction** 2015 – 2030[20].

Public Diplomacy and Bilateral Partnerships

StIRRRD contributes significantly to technical cooperation between New Zealand and Indonesian agencies. A series of MoU's between MFAT, UGM, GNS and key government agencies such as BNPB, BMKG,

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[19] For example, Australian DFAT significantly downsized their AUD 80m investment in DRR science and capacity building in the period 2013 - 2018 and currently has a stronger focus on emergency preparedness.
[20] https://www.unisdr.org/we/coordinate/hfa-post2015

Kemendesa and LIPI for example provide MFAT with important bilateral relationships. Collaborative relationships between Indonesian DMAs and local government in New Zealand seeded through Study Tours and which continue through training, mentoring and ongoing joint co-operation are further evidence of this.

StiRRRD also builds on the strategic partnership between MFAT and UGM which is enshrined within an MOU, and through which MFAT and UGM implement a range of development cooperation activities. As such, **StiRRRD makes a strong and valuable contribution to MFAT's public diplomacy efforts and the development of people to people connections between Indonesian and New Zealand institutions** (this is discussed in more detail in 4.3.).

4.3. Effectiveness

To determine whether StiRRRD and its associated activities has achieved the intended objectives.

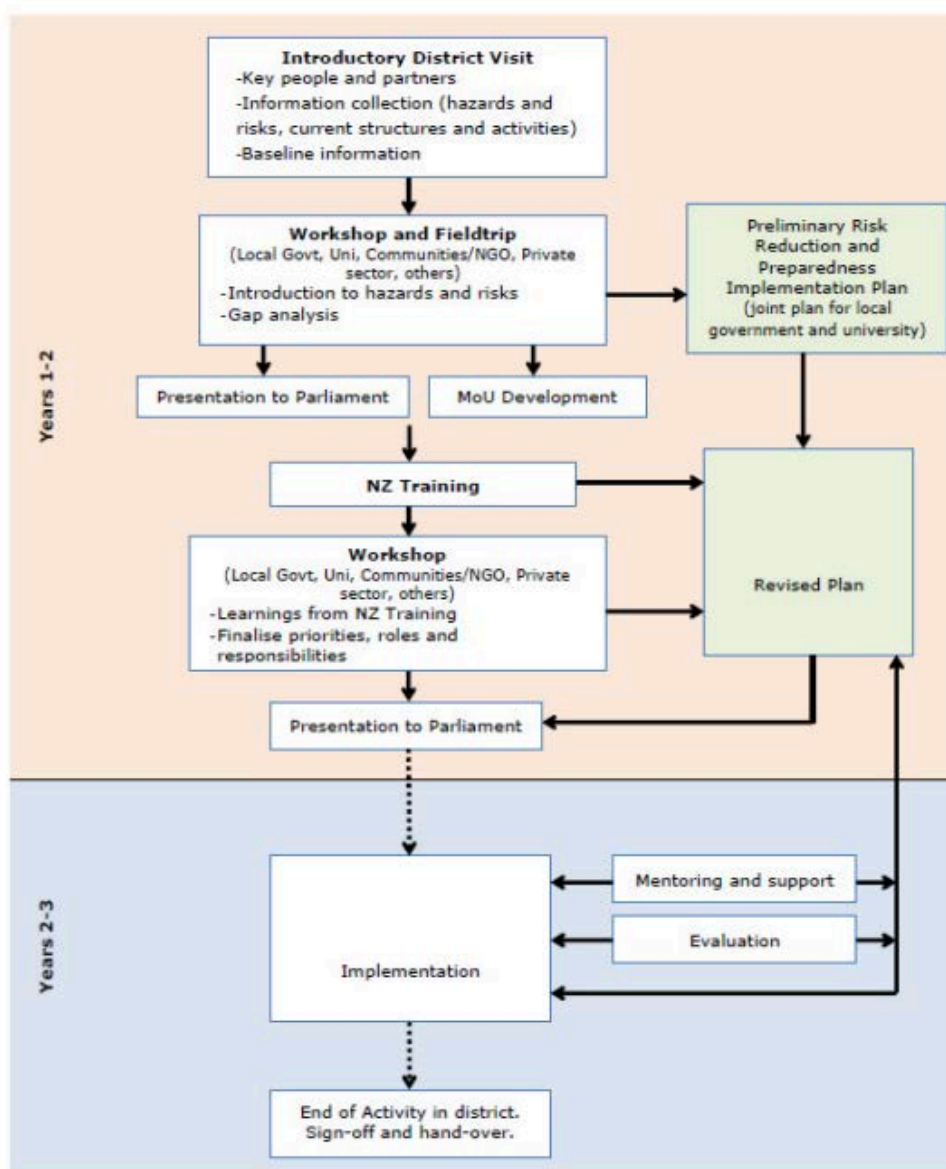Our measurement of effectiveness takes into account the extent to which:

* StiRRRD activities have delivered on their objectives to the extent possible at the mid-term, and are they on track to deliver intended end of program results;
* StiRRRD activities have raised the profile of New Zealand technical co-operation to deliver wider gains;
* Crosscutting issues have been integrated at all stages of the program cycle.

The StiRRRD model (see Figure 2), implemented across 10 districts is based on a multi-sectoral, multi-stakeholder hazard and risk analysis which results in the development of district level DRR Action Plans to be implemented by the relevant agencies. Capability building activities (study tours, training and mentoring) are integrated within all stages of the programme to support implementation and problem solving. Including through regular review of progress with local government partners.

StiRRRD does not provide funding for implementation of Action Plans and as such the ownership and responsibility for implementation of Action Plans lies firmly with the relevant local government authorities. StiRRRD's role is to provide technical support to facilitate the implementation of these plans and build the capacity of local government to plan for and mitigate the risks of disaster. An important characteristic of the model is that it works with both the political arm of government as well as with the civil service in order to establish political will for DRR policy and financing.

In addition to the direct work with local government, a key focus of the programme is the development of strong linkages between regional Universities and local government in order that local Universities can develop teaching and research activities to support DRR in their regions.

Figure 2: The StIRRRD Model

Variability of Outcomes

StiRRRD is on largely on track to delivering its intended outputs and indeed specific activities related to technical transfer, training, mentoring and capability building are exceeding their expected frequency.

Progress against outcomes however is highly variable across the 10 programme locations and there is some suggestion that progress towards outcomes have not been as significant as within the pilot areas (Palu and Padang). This level of regional variation is not surprising and is likely to be influenced by a suite of factors including leadership, age of district, last exposure to a disaster, political economy, access to resources/asset base, demographics, isolation etc. While recognising that regional variations exist, the StiRRRD team has not yet arrived at a detailed analysis that determines a comprehensive set of preconditions that affect the uptake of capability building and technical support. An analysis of this nature would identify patterns and/or preconditions for success that would inform more nuanced strategy development for each location and be extremely valuable to support implementation into the future, assist in identifying specific strategies for replication and provide a sound basis for sustainability.

The key message from this is that while StIRRRD is a DRR programme, it is operating in the context of a process of decentralisation and as such is firmly positioned in the governance space. As such it needs to

apply governance strategies to be successful in terms of the achievement of its long-term outcomes. This is a key issue for the long-term sustainability and is discussed in more detail in 4.6.

Key Approaches and Outcomes

The following section of the report a provides a summary of the relevance and effectiveness of the key technical inputs and approaches[21].

✷ Support for Policy Development

Policy is the foundation from which the governments work can progress, however the policy frameworks for DRR in Indonesia are still emerging, hampered by decentralisation, a focus on disaster response and emergency preparedness in favours of DRR, lack of clarity and role definition for DMA's and other agencies and capacity challenges at subnational levels. **StIRRRD has played a key role in facilitating the development of DRR policy in all locations.** This has resulted in policies being formalised in seven of the ten districts[22].

✷ Assessment and Action Planning

The Action Planning process was innovative in that it brought a range of stakeholders from different local government agencies for specific training inputs (including Risk and Hazard Mapping) and included to a limited degree civil society representatives and specifically vulnerable groups such as women. Once completed the districts presented the action plans to Parliament to gain political support and financing. Action Planning processes are fundamental to the StIRRRD model and provide a platform from which all other supports emerge, ensuring therefore that key inputs technical inputs are relevant.

At this stage of programming 9 districts have completed Action Plans and progress reviews are currently being undertaken meaning that there is yet insufficient analysis to determine effectiveness at this stage of programming.

The key strategic issue relating to Action Plans is the fact that sustainability will ultimately be contingent upon the extent to which DRR is integrated into the GoI whole of government and individual planning and budgeting cycle at each level of government. It is therefore fundamental that programme makes ongoing efforts to align and integrate with these to ensure that key products and processes such as Action Plans do not act as parallel systems or project-based tools.

✷ Capacity Building

Several key approaches have been used to support capability building of key government stakeholders. Three Study Tours have been held and there is evidence that these have been consecutively modified based on lessons learned from the previous. This includes increasing attention to the social and human aspects of DRR. **Study Tours appear to have extremely well planned and managed** and GNS ensured that there was considerable time allocated to the processing of knowledge and consideration of how new insights and knowledge could be practically applied in Indonesian contexts. A key significant outcome of the Study Tours is the adoption of the Tsunami Blue Line project in Padang City, as well as a series of cultural exchange visits been Maori and indigenous communities in West Sumatera to understand how traditional communities communicate and manages natural hazard risks.

Expert training provided by New Zealand and UGM teams in Riskscape[23] and Base Isolation have been provided. These trainings are held in a single location and attended by representatives from each of the districts, national disaster management authorities and line Ministries and local Universities. The purpose of these trainings was to introduce new innovations and knowledge transfer to Indonesian institutions in the hope that some of these approaches would be adopted. Unfortunately, there has been no uptake of either Riskscape or the use of Base Isolation to this stage. Analysis from reporting suggests that this is

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[21] Please note that due to the breadth of activity and the capability of StIRRRD to respond to specific requests, not all activities are represented
[22] StIRRRD Six Month Activity Report – Dec 2017
[23] Riskscape is a risk assessment software that assists to https://www.riskscape.org.nz/

largely due to financial considerations, lack of a risk management culture and capacity. The extent to which the lack of uptake of Riskscape may be due to the use of other similar modelling packages is not clear[24].

Hazard and Risk Mapping training was developed based on assessment of capacity gaps and the need for stronger analysis leading into the Action Planning process. While this training was viewed as positive, all districts visited during the review raised concerns that the norm was to send one or two people from a work team to a training held in an external location and that it would be much more effective and potentially sustainable to provide training opportunities to work teams in their work location.

Mentoring support, training and workshops are provided by the StiRRRD team as required through the life of the program. These activities have been well received and appear to incentivise districts to progress their Action Plans and provides them with a sense of accompaniment and an avenue to discuss challenges and outcomes.

A key theme emerging from the field consultations was of the desire of district teams to have access to 'team based' training in their work locations to address issues for 'elite capture' in training programmes and address some of the gaps created by high turnover of key personnel within BPBD's and other agencies.

✴ Working with local Universities

Working with local universities is strategic. Discussions with local Universities in Mataram and Padang highlighted the considerable value that these universities have gained from their engagement with UGM including access to international research and good practice in DRR management, training, peer review, relationships with local government agencies, joint research and publications. As with local government agencies, local universities cited the contribution of New Zealand consultants were valuable and that their presence often brings about increased attention and focus on local activities and events which helps to build political will for DRR.

Specific outcomes for Universities as a result of cooperation with StIRRRD include the establishment of an earth sciences department in Tadulako University in Palu, Central Sulawesi and the establishment of a Disaster Risk Management Research Centre at Mataram University.

The **capability of local Universities to provide technical support to local government is central to sustainability, however there does not yet appear to be a clear understanding of how local universities will be able to support and monetise this work** in the absence of support through a programme such as StIRRRD. In the same way that the programme needs to consider the long-term vision for UGM Gama-InaTEK as a Centre of Excellence and key provider of technical services to government,

✴ Working Multi-sectorally and Creating Coalitions

StIRRRD's strong focus on multi-sectoral relationships differentiate it from other donor supported DRR activities in Indonesia which tend to target DMA's (BNPB and in turn BPBD's) directly.

StIRRRD Governance Arrangements[25] reinforce the importance of multi-stakeholder engagement and planning for DRR and brings key national actors together. While this is significantly relevant, the extent to which this is resulting in strengthened multi-sectoral / cross agency coordination in DRR planning at the national level is as yet unclear and anecdotal at best. Discussions with AGG members indicate that they are having side conversations or cross agency discussions with colleagues and that have a greater awareness of

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[24] A range of modelling investments have been made in Indonesia. Australia for example has put significant funding into the development of ina-Safe and Japan has invested in other products.
[25] StiRRRD is governed by an Activity Governance Group (AGG) which is responsible for agreeing the strategic policy direction for StIRRRD; ensuring alignment with other GoI programmes; facilitating policy development; and approving StIRRRD Activity milestones. The AGG is chaired by BNPB, and member representation includes: Ministry of Home Affairs (MoHA); Ministry of National Development Planning (BAPPENAS); Ministry of Education and Culture (Kemdikbud); Ministry for Development of Villages, Disadvantaged Regions, and Transmigration (Kemendesa); MFAT; UGM; and GNS.

the roles of other agencies with regard to DRR, however there is no evidence that this is yet resulting in interdepartmental planning or policy outcomes.

While the AGG is clearly a programme management / coordination mechanism, there appears to be an unstated objective that it becomes an incubator for strategic dialogue on DRR issues over time. Indeed this would be positive over time, but would require attention to facilitating dialogue beyond issues directly related to the implementation of StIRRRD.

✳ Community Projects

The StIRRRD design provides for the design and implementation of two community projects to be implemented directly by StIRRRD in partnership with relevant local agencies (generally BPBD). These projects are intended to model specific approaches to community based DRR. The design articulates that a key purpose of these activities is in engaging communities in decisions that affect them, and the intent that they have a strong focus on gender and human rights issues.

Two community projects commenced (albeit with minor delays) in the last quarter of 2017. These are

* Seismometers in Schools Community Project – Palu-Koru Fault
* Tsunami Preparedness in Seluma, West Sumatera

A third is currently under design and consultation in Sumbawa Besar.

There are several challenges associated with the delivery of community projects which raise some concern regarding the relevance, effectiveness and sustainability of these activities:

* Relevance: The review found limited evidence that community projects were designed on community identified needs and the established sectoral, geographic and demographic priorities and work plans of the implementing agencies (BPBD). In some cases, projects appear to be 'good ideas' designed outside of the local context[26].
* Effectiveness: Key approaches to community projects are largely based on training and awareness raising activities delivered by external actors. Effective **community mobilisation** requires core skills and an intensity of engagement which are well outside of the skills and capabilities of the StIRRRD and local government partner teams. There is no evidence that strong attention to has been paid to gender equality outside of the participation and/or targeting of women.
* Efficiency: Community projects are insufficiently resourced to enable appropriate and sustained community mobilisation efforts to leave lasting benefit for DRR actors and communities themselves.
* Results management: Community project designs do not sufficiently argue an intervention logic (theory of action) nor do they establish a set of criteria upon which outcomes will be measured nor how they will be sustained.

These issues combined raise concerns regarding the possible sustainability of these activities and do not sufficiently address how these activities will result in strengthened DRR capabilities of the BPBD.

A key issue for community based DRR, that cannot be ignored is the impact of Indonesia's decentralised governance system on demand side development planning and financing. The Village Law (2014)[27], establishes the village as the lowest level of government in Indonesia. Under this system, block grants (*dana desa*) flow from Jakarta directly to villages to implement local development activities (e.g. community health, welfare, economic development activities) in line village development plans delivered through participatory planning and budgeting processes. Indonesia's 70,000 villages are now responsible for determining policy and guidelines to drive the delivery and funding of these services.

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[26] Seismometers in schools for example is based upon projects in Australia, NZ and France and the Tsunami evaluation project is based on a GNS project in Samoa. During consultations with the BPBD in Sumbawa Besar, the BPBD appeared to be unaware of the planning community project in their region.

[27] http://lkbh.uny.ac.id/sites/lkbh.uny.ac.id/files/UU_NO_6_2014.PDF

The reason that this is important is that this system of governance places DRR policy, planning and financing at the local level firmly in the remit of communities themselves. The key implication of this for StIRRRD is that **the current model of piloting top down – supply side driven models of community engagement are inconsistent with the national process of bottom up development planning**.

Discussions with national Ministries and subnational agencies consistently raised community based DRR planning and mobilisation of the *dana desa* as a fundamental priority but identified the absence of an effective model for facilitating this a pressing capacity gap within the sector. There is significant potential for StIRRRD community projects, if effectively resourced, to engage and align with this process and failure to do so is a lost opportunity.

Special attention is urgently required to address the community project model and ensure that these have sufficient downward accountability as well as contribute to StIRRRD outcomes. This can be done by drawing on the wealth of experience[28] in demand driven development in Indonesia and seeking to support communities to plan and finance DRR efforts. For existing projects, revisiting the design and theory of change of activities to ensure that implementation is sufficiently resourced to ensure the delivery of results. UGM's current consideration of utilising the Community Volunteer programme to support implementation of these projects is not recommended. Carefully developed partnerships with international NGOs and/or civil society organisations or donor funded governance programmes for whom **community mobilisation is core business is essential**.

Challenges for implementation

Despite the high quality and relevance of its technical inputs, several significant challenges have a direct and indeed negative impact on StIRRRD progress to outcomes and as a result will require some strategic thinking into the future.

✳   Institutionalisation of Capacity Building Efforts – High Rotation of Government Personnel

Indonesia's decentralised governance system positions the district as the key actor for the implementation of government programmes and basic services including for DRR. A key issue that the StIRRRD model seeks to address is the extent to which decentralisation reforms have outpaced the capacity of local governments to deliver services. This coupled with the fact that BPBD's are relatively new agencies within the government architecture and as such have limited legitimacy and prestige within the civil service, means that there is a significant turnover of staff within them.

The retention and rotation of civil servants is an expected challenge for any governance capacity building programme, and the impacts of this on StiRRRD range from loss of investment in human capital, relationship and institutional commitment and place significant demands on the team in terms of relationship building, supporting the progress of policy and Action Plan implementation.

The current StiRRRD approach focusses on technical skills transfer and does not present a comprehensive systems-based strategy for government capacity building that addresses key systems challenges such as succession and rotation of key civil servants, lack of DRR leadership, absence of merit based promotion etc. Efforts to advocate for competency-based recruitment[29] do not sufficiently reflect the realities of power politics, and activity is insufficiently linked with political decision makers such as the Governor and Mayor's offices who have the authority over civil servant promotions and transfers. Further capacity building and mentoring efforts have focussed (by default if not by design) on individuals who are often the leaders of these organisations, rather than the second tier or whole work groups who are likely to be more engaged with implementation, hence leaving their agencies vulnerable to attrition.

✳   Government Planning and Resourcing and Political Approaches

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[28] E.g. In governance programming as well as within governance approaches to programmes in almost all sectors – including models in DRR.
[29] StIRRRD has done this through the AGG.

Indonesia's government planning system is highly complex. It is important to take a long-term view to influencing policy and resource processes and ensure that programme efforts are feed into the political processes.

StIRRRD seeks to balance its technocratic approach by seeking to establish political support for policy and budget support through local parliamentarians. This has been done by engaging parliamentarians in study tours and training events and working with them to champion Action Plans and policy initiatives through local Parliaments.

This approach to date has largely focussed on specific individuals which does not fully take into account the political processes of planning and budgeting within Indonesia's governance system. While at the drafting stage, budget policy making at local parliament involves political processes in which local politicians are the leading actors, the political alliances of these actors can be subject to rapid change meaning that progress can be lost where individuals shift alliances. Further, the approach does not take in to account the role of Executive government has in budget allocation and implementation once policies are enacted.

Bipartisan support for DRR planning is fundamental in terms of mobilising support and financing for DRR not just within BPBD's but across the sectors. While this was insufficiently addressed at design, the programme has made efforts to **increase engagement with the Executive but is challenged to move beyond symbolic engagement**. A more sustainable and effective approach may be to work with parliamentarians in bipartisan groups such as the Development Commission (*Komisi C*) and Social Welfare Commission (*Komisi D*) which are part of the structure of local Parliamentary Structure. This effort needs to be sustained and extend beyond desired approvals to implementation[30].

Secondly**,** there is space to deepen engagement with the Governor's Office at the Provincial level and the Mayor (Bupati's) office at the District level. A key oversight is that the District Secretary (*Sekretaris Daerah - Sekda*) is the actual political lead of BPBD's and as the office responsible for implementation the political priorities of the government (established with the RJPMD – Mid Term Development Plan) has oversight over DRR policy and significant influence over resource allocation, not only to BPBD's but across the district budget. As such stronger alignment with the RJPMD and engagement with the *Sekda* may offer StIRRRD greater voice and influence in advocating DRR mainstreaming as well as political support for competency-based recruitment of BPBD.

✳ DRR Financing

A final issue with regard to financing is the use of the metric of increased resourcing for DRR in districts budgets as a key metric for StIRRRD presents some challenges.

Government resource allocation is challenging and determined by political processes. Departmental budgets are unpredictable and subject to rapid shifts as allocations are withdrawn or added in line with political imperatives. One senior government official stated that work plans and agencies are rarely fully funded and that his ongoing work is to advocate and secure funding from where ever possible.

While funding to BPBD's is perhaps easier to measure, this does not take into account the multi-sectoral nature of DRR efforts of the funding that is allocated to DRR across the sectors. This is further complicated by the fact that funding for DRR is not separated out from a wider disaster management budget that includes disaster response itself. As a result, DRR budgets are extremely fluid from year to year and therefore challenging as a metric without significant analysis which is beyond the scope of StIRRRD.

✳ Integration of social and "hard" sciences

DRR is an innately multi-sectoral field and progress requires concurrent and integrated attention to technical, natural, political, economic and human centred aspects. Indeed, StIRRRD has been designed to

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[30] UGM has engaged with Komisi D and C twice for each District but this appears to have been at the early stages of the activity and has not continued through implementation meaning that there is likely limited space for lessons learned and sustaining institutional memory.

seek to bring together the wide range of sectors and the team has taken affirmative steps to bring social scientists into the team to redress the potential risk of a technical / 'hard' science focus. This has been very positive and the social scientists on the team have been able to strengthen consultative processes, planning and training content by brining human centred dimensions to the technical work.

Despite this positive progress, there is some risk that this work can be siloed within the team, and there remains scope to strengthen the multi-sectoral practice across the whole team ensuring that it is a team-based responsibility to demonstrate good practice by paying attention to key social considerations including gender, social protection, minority groups, conflict etc.

The extent to which StIRRRD will be able to foster stronger integration of hard and soft sciences within regional universities will be a key area of interest.

Visibility and Influence – The Partnership Approach

A strength of the StIRRRD approach is the extent to which the partnership approach has mobilised the comparative advantages of Indonesian and New Zealand DRR specialists to deliver on shared interests and priorities. Collaborative working relationships have been developed between UGM and GNS and these have extended to wider GoI agencies **providing MFAT with significant visibility for a modest investment**.

The key strength of the model is that each partner brings unique assets (see list below) which contribute to successful implementation and progress towards outcomes which arguably would not be achieved otherwise.

<table>
<tr><th>UGM ASSETS</th><th>GNS ASSETS</th></tr>
<tr><td>

* Reputation as one of Indonesia's top Universities
* Extensive alumni network across Indonesia
* Access to and influence with policy makers
* MOU's with provinces and universities
* Contextual knowledge - political economy, policy environment, cultural issues
* Strong networks particularly in Asia.

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* New technology and science innovation
* International ethics standards, research and opportunities for international publication
* Access to New Zealand institutions
* Analytical and reflective approach to processing knowledge and learning.

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Outcomes that may not have been achieved outside of this partnership include:
* New Zealand influence in Indonesian DRR policy making;
* Development of International Standards Organisation (ISO) Standards;
* Joint publications on resilience between Indonesian and New Zealand academics;
* Collaborative partnerships between local governments in New Zealand and Indonesia which have led to tangible outcomes such as the adoption of the Blue Line programme in Padang and exchange between Maori and indigenous communities in Agam, West Sumatera.

While **partnership is both a key approach and outcome of the StIRRRD programme, it is insufficiently articulated as an objective** and as a result is not measured in a meaningful way. As such it may be difficult to capture the full breadth not only of outcomes but also impacts of this partnership over time. This idea is revisited again in 4.5 Monitoring and Evaluation.

Recommendations: Effectiveness

Current term:
Understanding that sustainability will ultimately be delivered through GoI systems, greater attention and alignment to the political processes associated with planning and budgeting and are required including ensuring that StIRRRD processes align with the government planning cycle.

StIRRRD's progress to outcomes would be significantly strengthened by taking a strategic institutional strengthening / institutional governance lens to capacity building efforts. To maximise training outcomes, consideration should be made to the provision of basic DRR training directly with whole work teams at the district level.

The design and implementation of community projects requires specialist engagement and facilitation from international or local civil society actors for whom community mobilisation, socialisation and beneficiary-based M&E is core business, and to ensure that these are aligned with GoI decentralised planning and budgeting processes.

Future Investments:
Any future programme should develop a capacity building strategy and capacity assessment framework for measuring capacity outcomes at the individual, institutional and systems level.

Future community based initiatives should be positioned within the decentralised governance system, build capacity, support opportunities to plan in a way that respects the authority and autonomy afforded them by the Village Law and build the capacity of local government agencies to fulfil their role in supporting these processes.

4.4. Efficiency

To determine whether the activity was managed to get the most out of the inputs of funds, staff and other resources, including continual management of risks.

Our assessment of efficiency takes into account the extent to which:

* MFAT and partners are appropriately and sufficiently resourced to deliver on STIRRRD objectives;
* Transaction costs are commensurate with the investment, are not over burdensome or present obstacles to the efficient delivery of services or maintenance of good relationships with other partners;
* Partners have efficient, accountable and transparent systems in place to manage program and risk
* The model represents the best use of resources for New Zealand to support partnerships between New Zealand and Indonesian public and private sector organisations.

The StIRRRD partnership model mobilises the comparative strengths and assets of both GNS and UGM and offers an effective and innovative approach to delivering on New Zealand's and Indonesia's shared interests.

StIRRRD's program architecture comprises a lean management structure with GNS providing strategic, project and contract management with part time in-country Secretariat support for day to day implementation from UGM. The size and scope of the project combined with a new international partnership raised some early issues for GNS management systems, especially in terms of the integration of UGM and GNS financial reporting and health and safety systems, however effective workarounds have been established and efficiency has clearly improved throughout the life of the programme. This process has been supported by clear definitions of roles and responsibilities and strong lines of communication between GNS and UGM.

Distance management is also an issue, not only in terms of the New Zealand – Indonesia management relationship but also because the GNS team itself is not co-located within New Zealand. This has direct cost implication in terms of increased expenditure for travel, communication challenges (especially language

and contextualisation in the early years) and potentially the loss of windows of opportunity to move forwards on specific issues as they arise in-country. Distance management and a devolved management structure also exacerbates language issues which were identified by all parties as a challenge to the efficiency and effectiveness of StIRRRD implementation.

Investments to address the challenges of distance management have been made and include establishing a schedule of regular meetings, using communication technologies such as WhatsApp Groups and Skype, maximising the use of field visits to Indonesia to address management and administrative as well as technical functions and paying strong attention to building strong and open working relationships between the UGM and GNS teams, as well as with MFAT. These investments are strongly evident with GNS and UGM reporting that administrative management is running smoothly, and MFAT confirming that their expectations are being met to an appropriate standard.

Despite these efforts, **the distance management model raises some potential issues in terms of efficiency and value for money especially as the program develops and expands into the future.** A key objective of StIRRRD by design, is to increase the demand for effective multi-stakeholder DRR policy, planning and service delivery, and this is reflected within its Results Framework. UGM are in many ways a victim of their own success and this is in some small part due to their involvement in StIRRRD which has enabled them to extend their influence and networks within the DRR sector. **The increased demand on UGM resources however has the potential to disrupt the current program model if additional resources are unable to be mobilised or services monetised to enable growth or flexibility in the team**. Given that the management lead for UGM is also the technical lead, this has the potential to put additional pressure on the team in terms of strategic planning, resource management and institutional growth into the future.

Consideration of how the expansion – replication of UGM's efforts can be monetised into the future needs some careful consideration for the remainder of the programme term, and specifically into the future, should MFAT determine to invest in an ongoing partnership.

Recommendations - Efficiency

Current term:

Any future investment design should clearly assess the costs and benefits of placing additional management support in-country to enable the UGM technical team to focus on the Faculties strategic development and institutional sustainability model.

UGM needs to commence long range planning for Gama Ina-TEK in order that it is sufficiently viable to respond to technical support for DRR policy and planning by national and subnational government agencies beyond the life of StIRRRD.

GNS and UGM have effective systems and processes in place to manage risk. The risk register is regularly updated, and risk is discussed in team management meetings and with MFAT. The MTR did not identify any significant programmatic, political or reputational risks.

While the StIRRRD team has largely been stable throughout the life of the programme, high turnover of MFAT personnel in Wellington and to a lesser degree Jakarta have had some implications such as delay in the finalisation of Memorandum of Cooperation between NZ and BNPB which resulted in downstream issues at implementation.

4.5. Results Management – Monitoring, Evaluation and Learning

To determine whether STIRRRD investments are based on sound technical analysis and continuous learning, and that the activity's M&E system can effectively measure progress towards objectives.

Our assessment of MEL takes into account:

* An M&E system is in place and corresponds to MFAT and partner standards and requirements.
* The M&E system provides a clear statement of objectives and explains clearly how these will be measured.
* MFAT and partners are able to assess and provide sufficient evidence to demonstrate the extent to which STIRRRD investments are i. based on sound analysis and ii. delivering on their objectives and intended outcomes and make adjustments as appropriate.

The Results Framework

The StIRRRD results framework clearly states the objectives and which at the time of design was linked to MFAT's high results and indicators. It provides a clear and logical theory of change and informs a realistic theory of action. The key challenge within the Results Framework does not lie in the logic of the intervention but rather in the appropriateness of some of the key indicators (discussed below).

A key characteristic of the Result Framework is that has the potential to assist Indonesia with its own SDRRR reporting, although this is not currently being optimally utilised.

Reporting Arrangements

GNS and UGM jointly submit regular monthly, six monthly and annual reports to MFAT. Early challenges in terms of integrating UGM and GNS financial information have been overcome. While on face value the monthly reporting requirement appears burdensome, these monthly 'updates' were initially instigated to strengthen communication between MFAT, GNS and UGM, and ensure that all parties had an understanding of current events and activities. Both GNS and UGM report that monthly reporting has made the preparation of six and twelve-month reports easier.

The **extent to which the AGG members are receiving or reviewing StIRRRD reports is a point of concern** for the team and while potentially beyond the control the program, affects the extent to which GoI partners understand the program and are to identify and act upon strategic opportunities for replication.

The M&E System: Data Collection and Sense Making

While reporting is adequate, and GNS collects and reports the required quantitative data, programme reports are largely focussed on outputs and contain limited analysis or qualitative evidence of progress against outcomes. This weakness in the M&E system is brought about by the quantitative nature of the Results Framework, and a lack of resourcing for M&E, which are key factors to be considered in the design and resourcing of any future investment. In making this assessment it is important to recognise that while the initial design provided for additional resources for M&E, these were **removed by MFAT** and integrated into project management arrangements to reduce the costs at implementation. Further, while a focus on outputs is a characteristic of the MFAT Results Management system, in development programming there is a significant need to strengthen M&E and learning at the outcome level.

Currently the M&E function sits within UGM administration and the GNS Activity Manager and the key M&E functions relate to the collection and reporting of quantitative data. While the team has successfully employed a range of processes used to for analysis and reflection throughout the program cycle (e.g. post workshop/field visit debriefs, province coordinator meetings, high level workshops in NZ and Indonesia) **the absence of a system to collect and capture emerging analyses is a weakness of the M&E system**. While there is evidence that these reflections have been used to make adjustments to efficiency, targeting and

process issues, the programme is challenged in collecting and analysing sufficient data to inform strategy around specifically complex issues such as capacity attrition due to high turnover of government officials within subnational agencies and addressing the complexity of DRR financing (see discussion in 4.3 Effectiveness[31]).

While the StIRRRD team has made the most of poor resourcing in this area, there is an overall need to strengthen the StIRRRD M&E system to enable the **systematic** collection, analysis and documentation of quantitative and qualitative data which extends beyond activity reporting and contributes in a meaningful way to sense-making and informs strategy development. Attending to this in the final two years of the programme would not only strengthen StIRRRD's evidence base and incentivise replication but would also make a significant contribution to developing a strategy and recommended approaches for support to the sector beyond the life of the current activity.

Capacity building is a key area in which data and analysis is insufficient to evidence outcomes. Pre-and post-tests have been used as a key metric for Study Tours and training activities. These are however generally tools to measure the effectiveness of training processes and do not provide evidence of changed capacity. Similarly, outside of participation in a WhatsApp group and incidental contacts, the UGM team reported that there is currently no tracking of alumni of capacity building events such as Study Tours and training[32].

The Local Government Self-Assessment Tool (LG-SAT) was developed to measure changes in capabilities and/or capacity of DRR organisations. The utility of this tool has however been limited by its use at start-up and planned use at the end of the programme, meaning that it represents only an evaluative tool for baseline and end line, rather than for its capacity to monitor capacity development outcomes through the life of the programme. As such **there is an insufficient evidence base to measure the uptake and institutionalisation of this new knowledge**.

Contribution to Public Diplomacy and NZ – Indonesia Connections

Contributing to sound relationships between New Zealand and Indonesia is a key priority for New Zealand's aid program in Indonesia. StIRRRD has played a key role incubating fostering working relationships between Indonesian and New Zealand government and academic institutions (see 4.2 and 4.3), however these public outcomes are not currently articulated as specific objectives of the investment and as such are not measured in a meaningful way. It would be valuable for MFAT, GNS and UGM to consider how StIRRRD contributes to New Zealand's public diplomacy outcomes and see to find a way to ensure this is captured through the Results Framework.

Recommendations: Results Management and Monitoring and Evaluation

Current Term:

Stronger investments into the M&E system should be made to support the strengthened collection, analysis and documentation of qualitative evidence to support sense-making and evaluative thinking and to inform strategy development for the remaining life of the programme.

A midterm review of the Results Framework should be undertaken to assess i. the appropriateness of current indicators (e.g. increase in financing) and ii. the integration of key learning / evaluative areas to

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[31] The key question here is given the complexity of DRR financing, is increased DRR budget allocation a realistic indicator.
[32] NOTE: This is a contested assessment. The Evaluator is waiting for clarification on this. Team members in Indonesia were unable to report on the ongoing engagement of those attending Study tours and training. GNS on the other hand reports that it maintains a training attendance spreadsheet which tracks individual alumni at key capacity building events and that it maintains a register of key staff movements across different local government agencies to keep an eye on rotation.

respond to knowledge and data gaps identified by the MTR (e.g. strengthen analysis of capacity building efforts, public diplomacy and attention to gender approaches and outcomes).

Future Investments:

A fully resourced M&E strategy and plan should be developed as part of any future initiative. This system should consider the full range of M&E needs from data collection and data management through to sense-making, evaluative reflection and reporting.

M&E Resourcing should align with global good practice for M&E financing at between seven (7) to ten (10) percent of total programme value.

4.6. Sustainability

Sustainability: To determine whether STIRRRD investments have appropriately addressed sustainability so that its benefits will continue.

Our assessment of sustainability takes into consideration the extent to which:
* Opportunities exist to effectively scale up and/or replicate interventions;
* Opportunities exist to integrate StIRRRD supported research into Indonesian policy and regulatory guidelines.

StIRRRD has by design, a strong focus on sustainability particularly through its key approaches which include:

* Support for the development of multi sectoral – multi stakeholder linkages between for example:
  + GoI DRR leadership, UGM and New Zealand DRR actors;
  + GoI agencies with DRR responsibilities;
  + Subnational DMA's with local Universities;
  + Subnational DMA's with other line departments;
  + Political leaders with DMA's at the subnational level and others.

* Capacity building of:
  + Key GoI DRR personnel, particularly subnational DMAs;
  + Political and bureaucratic leadership at the national and subnational level;
  + Local Universities.

* Introduction of new technical solutions and approaches to DRR policy and planning
  + Action planning
  + Expert training - Riskscape, Base Isolation and Risk and Hazard Mapping training;
  + The piloting of community initiatives; and the
  + Development of policy and standards.

The inherent logic of the StIRRRD model suggest that sustainability lies in several key areas:

* The ability of UGM and local Universities to provide quality, timely technical advice and support to DMA's at the national and subnational level; and
* The ability of government to develop policy and resource and implement programme.

As such the two-key metrics for the sustainability of StIRRRD will be

1. The extent to which UGM Gama InaTEK and local Universities will able to monetise its ongoing technical support to local government beyond the life of StiRRRD; and
2. The extent to which approaches, and capabilities are institutionalised and ultimately up scaled and/or replicated within local government DRR planning, financing and programming.

The first has been addressed previously within this report (see 4.3 and 4.5). The second highlights the fundamental challenge for the current strategy going forward. While the quality of technical support and capacity build efforts within StIRRRD are excellent, the program faces several challenges in terms of the uptake of StIRRRD approaches at the subnational level.

As StiRRRD is a DRR program that is seeking governance results, **it is critical that activities are design with a strong governance lens with attention to ensuring the institutionalisation of capacity**.

The UGM and GNS teams are acutely aware of overall challenges which undermine progress to outcomes (e.g. high turnover of civil servants, complex government financing arrangements, a lack of clarity of roles and responsibilities within a decentralised governance structure). Further, the fact that UGM Gama Ina-TEK is receiving (random) requests for support from non-StIRRRD districts is positive. While the team has identified regional variations, it does not yet appear **to have determined a comprehensive set of preconditions that affect the uptake of capability building and technical support**.

As the programme moves through the midterm, the need to examine these sustainability challenges in detail and identify clear strategies to support better institutionalisation become more pressing. **Detailed political economy and governance analyses** would likely identify patterns and/or preconditions for success that would inform more nuanced strategy development for each location and be extremely valuable to support future implementation, as well as assist in identifying specific strategies for replication. is Similarly, more detailed analyses of civil service strengthening initiatives undertaken by other governance programmes will likely assist in identifying effective strategies for addressing current threats to sustainability.

StIRRRD Toolkit Development

GNS and UGM have commenced early work on the conceptualisation of a StIRRRD Toolkit. Initially indicated in the design, the Toolkit will be a web-based platform which provides a range of downloadable resources to support the replication of StIRRRD approaches to DRR planning and implementation. Resources are expected to include overview of the StIRRRD model, including flow charts; case studies and good practice examples from StIRRRD districts; and a range of tools and templates used at StIRRRD implementation such as templates for Action Planning and Vulnerability Profiling, LG-SAT tools etc.

The current GoI focus on DRR will continue to drive both national and subnational demand for quality and timely technical support for DRR and as a **result the availability of an adaptable model and set of tools which can be complimented with technical inputs from national and local Universities will be a valuable asset**.

Recommendations Sustainability

Current Term:
A detailed assessment of the political economy and preconditions that underlie success in each of the locations should be undertaken to inform more nuanced approaches to each district as well as inform replication to new areas. This assessment should extend to those non-StiRRRD target districts that are implementing StIRRRD like processes.

Future Investments:
Future strategy and design should ensure a governance lens to inform more nuanced approaches to address key barriers and constraints to good DRR governance.

4.7. Cross Cutting Issues

> **Cross Cutting Issues:** To determine whether STIRRRD partnerships have advanced New Zealand policies and safeguards relating to the environment, gender and human rights.

Our assessment of cross cutting issues takes into account the extent to which:

* STIRRRD partnerships are informed by, and actively promote MFAT strategy and policy frameworks and specifically those relating to the environment, gender and human rights.

* Partners have equal opportunity frameworks in place that pay attention to removing obstacles to the participation and equitable access to the benefits of development for women and girls;

* StIRRRD partnerships consider and actively mitigate risks to the environment;

* StIRRRD partnerships consider and activity ensure the protection of all human rights.

Cross cutting issues are being addressed to varying degrees but are not yet fully integrated within the StIRRRD programming approach.

Gender

Disasters affect women and men in different ways, and in many parts of Indonesia, gender inequality constrains the extent to which women have influence and control over decisions that affect them. Women are more likely to be disproportionately affected by disasters, including increased loss of livelihoods, gender-based violence, and even loss of life during, and in the aftermath of, disasters. Hence, the empowerment of women is a critical ingredient in building disaster resilience[33].

While gender disaggregated data is generally available, and the team do informally promote the participation of women, gender disaggregated data is not being reported against all indicators and modest participation targets (where these exist) are not being met. **The key weakness is the absence of a clear and integrated strategy for how gender will be implemented across the programme.**

The StIRRRD design presented a range of approaches and activities which if fully implemented would have provided important ground work fully integrating gender equality across the whole programme and developing an important lens for addressing inclusive DRR planning overall.

Gender analysis planned as part of program inception process was not undertaken. While this was reportedly due to contracting delays, which meant that the Massey University gender specialists proposed to undertake this work were no longer available, the fact that alternate arrangements were not put into place suggest that this foundational gender analysis was not deemed as a key priority. As a result, the program does not benefit from a comprehensive gender analysis to inform its activities. While focus groups discussing gender and other vulnerabilities were undertaken as part of the Action Planning process, there was insufficient resources and time allowed to process the results and as a result Actions Plan do not clearly articulate the specific needs and vulnerabilities of women.

In the absence of this analysis and strategy, GNS and UGM have undertaken some efforts to consider gender within the program. They have brought two social scientists into the team to seek to provide a more equal balance between engineering, earth and social sciences. FGDs were also held as part of the Action Planning process and the development of community projects, and gender training or workshops have been delivered in some districts. The key concern is however that unless linked to a clear strategy these efforts are likely to continue to be ad hoc and/or opportunistic and fall under the radar.

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[33] https://www.unisdr.org/we/advocate/gender

GNS has paid attention to ensuring some gender balance within the team as well as in the pool of short term technical advisers. While this is positive, strong gender programming requires a sound understanding of gender inequality and commitment and capability to integrate gender analysis into all stages of the programme cycle. There is **a low level of understanding and ownership of gendered and socially inclusive approaches to DRR within the StIRRRD team**, and the responsibility for pursuing gender outcomes is vest in a small number of team members rather than viewed as the overall responsibility of the team. This also means that team members do not actively promote the importance of gender inclusive planning as critical to effective DRR planning.

> *Inclusive DRR not only reduces the likely impacts of disasters for particular individuals and groups but further supports improved democratic governance through greater citizen participation, better identification and use of assets and resources, improved gender and social equality and more accountable and transparent service delivery*[34].

Given the extent of its influence and networks, a program such as StIRRRD has the potential to play a significantly greater role in supporting the GoI to better plan for and deliver on inclusive DRR approaches that equally address the differing vulnerabilities of women and men, girls and boys. **The lack of an affirmative gender inclusion message beyond the participation of women is a lost opportunity**.

Human Rights

Human rights have been considered to the extent to that StIRRRD and its associated research and community development activities have gained appropriate ethics approvals that take into count human rights safeguards at design and implementation.

Several human rights issues commonly arise at different points of implementation and include social conflict (ethnic and religious conflict and/or exclusion), displacement, transmigration, land ownership etc. While these issues are openly discussed there is no evidence of affirmative strategies to address the inequities faced by populations affected by these issues within policy and planning initiatives, training modules etc.

Disability inclusion is not a key focus of the programme, although the team has presented on disability inclusion at the mid-term seminar in 2017. Given that we would expect 15% of any population group to experience some form of disability[35], and that people with disability are particularly vulnerable to natural disaster, disability inclusion is a key consideration for effective DRR policy and planning:

> Including the needs and voices of persons with disabilities at all stages of the disaster management process, and especially during planning and preparedness, can significantly reduce their vulnerability and increase the effectiveness of Government response and recovery efforts. However, despite an increasing worldwide focus on DRR as opposed to mere disaster response, most city and related Government agencies fail to adequately plan for – or include – persons with disabilities in their disaster management activities. This causes severe inequities in access to immediate response, as well as long-term recovery resources for people who have disabilities prior to the disaster and those who acquire a disability as a result of the disaster.[36]

As with gender, StIRRRD has significant potential to strengthen attention to inclusive DRR and not doing so would be a further lost opportunity. Planned community projects may be one avenue to strengthen attention to gender and social inclusion for the remaining term of the activity, however sub-designs for these activities do not articulate any gender or social inclusion considerations or focus.

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[34] Shatifan, N; Social Inclusion Analysis for Australia Indonesia Facility for Disaster Risk Reduction
[35] http://www.who.int/disabilities/world_report/2011/report/en/
[36] https://www.un.org/development/desa/disabilities/issues/disability-inclusive-disaster-risk-reduction-and-emergency-situations.html

Environment

Environmental safeguards are critical to good DRR and inherently considered as part of StIRRRD's technical approach including within training events, within action plans and within key outputs such as ISO and technical guidelines etc.

Recommendations – Cross Cutting Issues

Current Term:

Resources should be identified to undertake efforts to strengthen the gender and social inclusion lens of the program. These investments should include at a minimum:

a. Gender sensitisation and gender and social inclusion resilience training for all team members;
b. The development of an interim strategy to inform a strengthened focus on gender and social inclusion for the remaining term of the program; and
c. A review of the Results Framework to include both quantitative and qualitative indicators regarding gender and social inclusion outcomes.

Future Investments:

Future investments should adopt a gender and socially inclusive approach to resilience and DRR policy and planning, based on sound gender analysis and a clear and resourced strategy for implementation.

4.8. Innovation

> To determine whether STIRRRD investments demonstrate innovative strategies to address their objectives.

Our assessment of innovation explores the extent to which:

* StIRRRD employs innovative processes and strategies to achieve desired outcomes (in program design, delivery processes, M&E, public diplomacy) including those that have not been used in the region;
* StIRRRD demonstrates innovative partnerships and collaboration;
* Partners have the space and flexibility to attempt innovative practices and failure is accepted.

StIRRRD demonstrates a range of innovations ranging from an innovative partnership model, through to innovative approaches and tools for DRR and a flexible approach to programming planning and implementation.

The StIRRRD partnership model itself is innovative in its efforts to establish collaborative multi-sectoral working relationships between:

* Indonesian and New Zealand Universities and technical institutions,
* Indonesian DRR agencies and politicians;
* Indonesian national and subnational DRR agencies,
* Indonesian and New Zealand government and local government authorities;
* Indonesian national and regional Universities; and
* Regional networks.

Specific examples of innovation in the building of relationships include the facilitation of exchange between Indonesian and Maori communities to share indigenous knowledge on natural hazards as part of the Vision Matauranga project[37] and the fostering of city to city connections such as between Padang city and

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[37] https://www.gns.cri.nz/Home/News-and-Events/Media-Releases/Vision-Matauranga

Wellington which has resulted in Padang adopting the Blue Line programme as well as other initiatives and exchanges.

Innovative approaches, that have not been used previously in Indonesia or have been adapted specifically to address the Indonesian context include the Yomenkaigi Action Plan development process and the comparative risk assessment and risk ranking SMG approach[38] as well as the Local Government-Self Assessment Tool (LG-SAT) all of which were adapted for use in Indonesia.

These **innovations are supported by a reasonably flexible programme design and management arrangement that allows GNS and UGM to be responsive to locally identified needs and emerging issues**. Regular and transparent communication with MFAT and the fact that MFAT sees itself as a key member of the partnership are also factors that enable innovation and flexible and adaptive approaches to programming, while still ensuring accountability.

5. Summary and Recommendations

The StiRRRD partnership is a valuable and innovative initiative that fills a current gap in the DRR sector in Indonesia and delivers strong reputational, institutional and technical benefits to MFAT, GNS, UGM and their downstream GoI partners.

StIRRRD has been well implemented and planned outputs have been delivered to a high standard. Indeed, the uptake of training and mentoring support has exceeded initial plans and expectations.

In a relatively short time, the partnership has delivered significant outcomes including the establishment of UGM Gama Ina-TEK as a Centre of Excellence for DRR, the development of the first ever ISO Standards for DRR in Indonesia (flood, landslide and tsunami) and the adoption of the Tsunami Blue Line Evacuation Programme in West Sumatra.

Significantly StIRRRD has demonstrated the importance of a multi-sectoral, multi-stakeholder approach to DRR and created linkages across line Ministries and subnational agencies and has contributed to building capacity of DRR actors at the national and subnational level.

The extent to which these capacities can be institutionalised into the future are affected by several challenges including complex decentralised governance planning and budgeting arrangements, the relative newness of the subnational DMAs, and high turnover of personnel in key government roles. Further analysis and strategic thinking and planning will be required to seek to explore strategies to address these to maximise StIRRRD's impact.

The following is a summary of the key recommendations emerging from the discussion within the body of this report:

Effectiveness
Current term:
 Understanding that sustainability will ultimately be delivered through GoI systems, greater attention and alignment to the political processes associated with planning and budgeting and are required including ensuring that StIRRRD processes align with the government planning cycle.

StIRRRD's progress to outcomes would be significantly strengthened by taking a strategic institutional strengthening / institutional governance lens to capacity building efforts. To maximise training outcomes, consideration should be made to the provision of basic DRR training directly with whole work teams at the district level.

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[38] http://www.aees.org.au/wp-content/uploads/2018/02/51-Michelle-Daly-v3-et-al.pdf

The design and implementation of community projects requires specialist engagement and facilitation from international or local civil society actors for whom community mobilisation, socialisation and beneficiary-based M&E is core business, and to ensure that these are aligned with GoI decentralised planning and budgeting processes.

Future Investments:
Any future programme should develop a capacity building strategy and capacity assessment framework for measuring capacity outcomes at the individual, institutional and systems level.

Future community based initiatives should be positioned within the decentralised governance system, build capacity, support communities to plan in a way that respects the authority and autonomy afforded them by the Village Law and build the capacity of local government agencies to fulfil their role in supporting these processes.

Efficiency
Future investments: Any future investment design should clearly assess the costs and benefits of placing additional management support in-country to enable the UGM technical team to focus on the Faculties strategic development and institutional sustainability model.

Current term: UGM needs to commence long range planning for Gama Ina-TEK in order that it is sufficiently viable to respond to technical support for DRR policy and planning by national and subnational government agencies beyond the life of StIRRRD.

Results Management and Monitoring and Evaluation

Current Term: Stronger investments into the M&E system should be made to support the strengthened collection, analysis and documentation of qualitative evidence to support sense-making and evaluative thinking and to inform strategy development for the remaining life of the programme.

A midterm review of the Results Framework should be undertaken to assess i.e. the appropriateness of current indicators (e.g. increase in financing) and ii. the integration of key learning / evaluative areas to respond to knowledge and data gaps identified by the MTR (e.g. strengthen analysis of capacity building efforts, public diplomacy and attention to gender approaches and outcomes).

Future Investments: A fully resourced M&E strategy and plan should be developed as part of any future initiative. This system should consider the full range of M&E needs from data collection and data management through to sense-making, evaluative reflection and reporting.

M&E Resourcing should align with global good practice for M&E financing at between seven (7) to ten (10) percent of total programme value.

Sustainability
Current Term: A detailed assessment of the political economy and preconditions that underlie success in each of the locations should be undertaken to inform more nuanced approaches to each district as well as inform replication to new areas. This assessment should extend to those non-StiRRRD target districts that are implementing StIRRRD like processes.

Future: Future strategy and design should ensure a governance lens to inform more nuanced approaches to address key barriers and constraints to good DRR governance.

Cross Cutting Issues
Current Term: Resources should be identified to undertake efforts to strengthen the gender and social inclusion lens of the program. These investments should include at a minimum:

a. Both gender sensitisation **and** gender and social inclusion resilience training for all team members;
b. The development of an interim strategy to inform a strengthened focus on gender and social inclusion for the remaining term of the program; and
c. A review of the Results Framework to include both quantitative and qualitative indicators regarding gender and social inclusion outcomes.

<u>Future:</u> Future investments should adopt a gender and socially inclusive approach to resilience and DRR policy and planning, based on sound gender analysis and a clear and resourced strategy for implementation.

6. Annexes:

Annex 1: StIRRRD Results Framework

Long-term outcomes

Goal: Reduced losses from disasters

Disaster resilience strengthened and risks reduced

Effective DRR activities – improved practice (buildings, land-issues, etc)

Medium-term outcomes

DRR strengthening model applied to other districts

Strengthened DRR planning and implementation by Local Government

Improved community DRR practice

Short-term outcomes

Effective implementation of DRR Action Plans

Improved community awareness of hazards and risks

Local Government staff have skills and knowledge to support DRR

Increased stakeholder awareness and buy-in of DRR approach

DRR Action Plan finalised

Expert knowledge and skills applied to support DRR

Outputs

1. Activity Toolkit - guidance, methodology developed and training workshop provided (P2)

2. Risk Reduction Network support – incl. seminars and workshop (P2)

3. Coaching and mentoring support provided to districts (P2)

4. District vulnerability assessments and profiles produced* (P1)

5. LG SAT adaptation and application (P1)

6. DRR Action Plan support provided (P1)

7. Finalising DRR Action Plan Workshop – incl. Study Tour learnings (P1)

8. Study Tour (and extension training) provided (P1)

9. Expert training in Base Isolators and RiskScape (P1)

10. Community projects – design and implementation (P2)

*Includes introductory visits, vulnerability assessments, preliminary workshops, etc.

Annex 2: Key Evaluation Questions

The MTR responds to the **key evaluation questions** highlighted against the **five objectives**:

✳ **Objective 1:** To assess the extent to which the StIRRRD Activity remains a priority for the GoI, MFAT, and partner organisations (Relevance)

- ✦ To what degree is the StIRRRD Activity aligned with New Zealand's agreed priorities for delivery of official development assistance in Indonesia as outlined in the JCfD?

- ✦ Is the StIRRRD Activity designed and managed in a way which makes it relevant and accessible to partner organisations?

- ✦ What changes, if any, could be made the Activity to strengthen JCfD alignment, and make the Activity more relevant to current and future partner organisations?

✳ **Objective 2:** To examine the progress being made in achieving the StIRRRD outputs and short and medium-term outcomes against the results framework, and the relevant indicators (Effectiveness)

- ✦ To what degree has StIRRRD achieved the outputs and outcomes specified in the Results Framework?

- ✦ What unintended negative or positive outcomes have resulted from the StIRRRD Activity? What changes could be made to the management and implementation of StIRRRD to reduce unintended negative impacts, and capitalise on positive impacts?

- ✦ To what degree has StIRRRD been successful in mainstreaming key cross-cutting issues, particularly the environment, human rights, and gender equality? What changes could be made to management and implementation to strengthen mainstreaming of these issues?

- ✦ What are examples of tools and best practices used in this Activity that could be replicated elsewhere in other MFAT Activities in Indonesia, and wider MFAT programmes?

✳ **Objective 3:** To evaluate the management efficiency and cost effectiveness of the approach employed to deliver results (Efficiency)

- ✦ Does the approach provide value for money (VfM) in the achievement of delivered outcomes?

- ✦ What changes could be made to management and implementation to improve management efficiency, cost effectiveness and VfM?

✳ **Objective 4:** To evaluate the current arrangements for governance and management of the Activity to meet objectives and deliver results (Managing for Results)

- ✦ To what degree are current management and governance arrangements appropriate to the Activity, and do they facilitate delivery of effective, efficient, and sustainable results? Within the AMT, are GNS, UGM and MFAT clear on their roles and responsibilities, and do they coordinate and collaborate effectively? Is the AGG of this Activity effective and coordinated? Are GNS and UGM sufficiently resourced to effectively manage the Activity, and to meet their roles and responsibilities?

- ✦ What additional support could be provided to GNS and UGM to improve the effectiveness and efficiency of Activity management and governance, to promote long-term sustainable impact? Is the monitoring and review (M&E) plan, as specified in the Results Framework, realistic and appropriate to measure progress of the Activity? Are the reporting and monitoring requirements appropriate and realistic for project partners? What changes could be made to streamline and strengthen reporting and M&E?

- ✦ Is the current communications strategy for the Activity effective? What should be done to better communicate StIRRRD to demonstrate results?

✳ **Objective 5:** To identify how best to ensure sustainable outcomes from ongoing StIRRRD implementation.

✦ To what degree are the outcomes achieved sustainable in the long-term?

✦ What changes could be made to the implementation or management to improve the sustainability of outcomes?

✦ Are there any specific considerations that should be taken into account in determining the ongoing investments beyond the life of the current program?

✦ What changes could be made to implementation or management of the Activity to ensure enduring linkages   with   New Zealand?

Annex 3: Field Schedule

Day/ date	Time	Activities	Venue
Tue, 6 Feb	am	Arrival in Yogyakarta	
	pm	Briefing with StIRRRD team	UGM campus
Wed, 7 Feb	am	Meeting with UGM vice-rektor	UGM Campus
	pm	Yogyakarta - Mataram.	
Thu, 8 Feb	am	Meeting with DRM Centre staff at UNRAM	UNRAM, Province BPBD
	pm	Mataram-Sumbawa	
Fri, 9 Feb		Meetings in Sumbawa	BPBD offices
Sat, 10 Feb		Travel Sumbawa-Mataram-Jakarta	
Sun, 11 Feb			
Mon, 12 Feb	am	Meetings in Jakarta	MFAT, Bappenas, BNPB, MOHA, Kemendesa, etc
	pm	Meetings in Jakarta	
Tue, 13 Feb	am	Meetings in Jakarta	
	pm	Jakarta to Padang Travel to Pesisir Selatan	
Wed, 14 Feb	am	Meetings in Pesisir Selatan, Travel	BPBD
Thu, 15 Feb		Meetings in Padang Evening return to Jakarta	BPBD and Bappeda, Andalas University,
Fri, 16 Feb		Jakarta Meetings with MFAT	
Sat 17, Feb		Yogyakarta - Jakarta	Report Writing?
Sun 18 Feb		Yogyakarta	Report Writing?
Mon 19 Feb		Plan for workshop	
Tue, 20 Feb		Workshop with StIRRRD team	

Annex 4: Stakeholders

AGENCY	WHO	POSITION/ROLE	Comments	Format
MFAT				
MFAT	• Indonesia Program Team – NZ based			
	Courtney Rose			
	Simon Webber			
	• Indonesia Post			
	Mehaka Rountree			
	Firliana Purwanti			
	Ambassador Matheson			
IMPLEMENTING PARTNERS				
GNS	• GNS Management Team			teleconf/ skype call at intervals
	Michele Daly	Project Director		
	Phil Glassey	Deputy Project Director; Province Coordinator, Bengkulu		
	Sylvia Riches	Project Manager/ Project Administrator		
UGM	• UGM Management Team		☐	Briefing and Validation workshops
	Faisal Fathani	Project Director		
	Wahyu Wilopo	Deputy Project Director; Province Coordinator, Bengkulu		
	Fransisca Ediningtyas	Project Manager/ Project Administrator		
GNS	• GNS Implementation Team			Feedback via notes from internal workshop (+ maybe teleconf with Kelvin Berryman)
	Kelvin Berryman	Project Advisor, AGG Member		
	Nico Fournier	Province Coordinator, NTB		
	Geoff Kilgour	Province Coordinator, West Sumatra		
	Richard Woods	Province Coordinator, Central		

		Sulawesi		
UGM	• UGM Implementation Team			Briefing and Validation workshops
	Iman Satyarno	Project Advisor		
	Agung Setianto	Province Coordinator, Central Sulawesi		
	Esti Anantasari	Province Coordinator, NTB		
	Arry Retnowati	Province Coordinator, West Sumatra		
UGM	• UGM Leadership		☐	meeting/interview
	Paripurna Poerwoko Sugarda	AGG Member, Vice Rector for Cooperation and Alumni		
Indonesian Government Partners				
AGG	Bernardus Wisnu Widjaja (Pak Wisnu)	BNPB (AGG Chair)	Regular AGG attendee and Chair	meetings/interview (individually or in groups?)
	Lilik Kurniawan Suwadji (Pak Lilik)	BNPB, Director Risk Reduction	NZ Study Visit Participant	
	Medi Herlianto (Pak Medi)	BNPB, Director for Preparedness	NZ Study Visit Participant	
	Suprayoga Hadi (Pak Yoga)	Bappenas (ex Kemendesa), senior advisor	Founding member of StIRRRD (involved since Pilot project)	
	Kuswiyanto (Pak Kuswiyanto)	Bappenas	NZ Study Visit Participant	
	Aruminingsih Sudjatma (Bu Arum)	Bappenas	Regular AGG attendee - only female	
	Sumedi Andono Mulyo (Pak Sumedi)	Bappenas, Director of Transmigration, Disadvantaged Regions and Villages		
	Moh. Zain Afif	MOHA, Head of Section for System, Organization, and Procedures	Regular AGG attendee	
	Yoga Wiratama (Pak Yoga)	MoHA, Section for System, Organization, and Procedures, NZ Study Visit Participant	Regular AGG attendee; NZ Study Visit attendee	

	Dr. Elvius Dailami	MoHA, Director for Fire and Disaster Management	new to the AGG	
	Prof. Dwikorita Karnawati (Ibu Rita)	BMKG, Head	Founding member of StIRRRD, former UGM Rektor (has been involved since the pilot - originally project director of StIRRRD when she was in the Env Engineering dept. Faisal has this role now.)	
Indonesian Government / Partner Organisations				
Sub-national Government Agencies	• Provincial Partners			field visit/ meetings
	Hefdi	Secretary of Bappeda, West Sumatera		
	Eliyusman	Secretary of BPBD, West Sumatera		
	Wedha Magma Ardhi	Head of PU Agency, NTB		
	• District Partners			
	Prinurdin	Head of BPBD, Pesisir Selatan		
	Marpaung	Head of Preparedness, BPBD Pesisir Selatan		
	Rudy Rinaldy	Head of Bappeda, Padang	NZ Study Visit Participant (pilot)	
	Edi Hasymi	Head of BPBD, Padang		
	Zainal Abidin	Head of BPBD, Sumbawa		
	Lalu Budi Suryata	Head of Parliament, Sumbawa	NZ Study Visit Participant	
	Mukmin	Dept Transportation (former Head of BPBD)	NZ Study Visit Participant	
Universities	• University Partners			field visit/ meetings
	Eko Pradjoko	UNRAM, Head of Disaster Management Centre	NZ Study Visit Participant	
	Yusron Saadi	UNRAM, former Dean of Engineering Faculty	NZ Study Visit Participant	
	Ni Nyoman Kencanawati	UNRAM, Engineering Dept	NZ Study Visit Participant - one of few	

			females	
	Abdul Hakam	UNAND	NZ Study Visit Participant	
	Fauzan Nukman	UNAND		
	Tesri Maideliza	UNAND		
New Zealand Implementing Partners				
	• NZ Public & Private Sector Partners			
	David Whittaker	Beca	Specialist training	
	Kate Crowley	NIWA	Specialist training	
	Iain Dawe	Greater Wellington	Technical advisor (on visits to Indonesia)	
	Michael Goldsmith	Block Seven (previously Otago Regional Council)	Province coordinator (part of GNS delivery team)	
	Joe McLeod	StIRRRD Kaumatua	NZ Study Visits (Maori cultural advisor). Participant in visit to Agam for a sister-project.	

Annex 5: Analytical Framework

The following framework and lines of inquiry informed both the inquiry and the analysis of MTR findings.

Analytical Framework	Fields of Assessment
Relevance: To determine whether StIRRRD objectives are aligned to New Zealand and GoI strategic priorities.	
Our measurement of relevance takes into account the extent to which: ✳ StIRRRD activities are aligned with New Zealand and GoI priorities within said sectors; ✳ StIRRRD activities are consistent with the priorities of MFAT's implementing partners in this case GNS, UGM, New Zealand public and private sector organisations. ✳ StIRRRD is responding to capacity and capability gaps at the subnational level.	✳ To what extent are the program goals, objectives and activities aligned with MFAT policies and New Zealand Government priorities development assistance? Are there any conflicts? Are there any gaps? ✳ To what extent are the goals, objectives and activities aligned to GoI development priorities at the national and subnational levels? Are there any conflicts or gaps? ✳ To what extent are the goals, objectives and activities aligned to partner's missions and core business? Are there any conflicts or gaps? Is MFAT working with the right partners/actors? ✳ Is StIRRRD implementation arrangements sufficiently flexible to respond or adapt to changing development priorities – e.g. GoI, New Zealand or JCfD priorities.
Effectiveness: To determine whether StIRRRD and its associated activities has achieved the intended objectives.	
Our measurement of effectiveness takes into account the extent to which: ✳ StIRRRD activities have delivered on their objectives to the extent possible at the mid-term, and are they on track to deliver intended end of program results; ✳ StIRRRD activities have raised the profile of New Zealand technical co-operation to deliver wider gains; ✳ Crosscutting issues have been integrated at all stages of the program cycle.	✳ What outcomes are being achieved by StIRRRD partners? E.g. Have new DRR assessment and planning systems been implemented? What capabilities have been built? ✳ How are the different stakeholders benefitting from investments/outcomes? ✳ What approaches are being used effectively? ✳ What programming challenges exist and how are they being addressed? ✳ Has StIRRRD established effective partnerships with key stakeholders to achieve its intended outcomes? Is the partnership model supporting the achievement of outcomes? ✳ To what extent have StIRRRD investments enabled New Zealand to deepen its engagement and gain visibility and influence? What relationships have been built between GNS, UGM and New Zealand partners? ✳ To what extend are different stakeholders included in and benefitting from the program e.g. people with

	disability (PwD), women, young people?

Efficiency: To determine whether the activity was managed to get the most out of the inputs of funds, staff and other resources, including continual management of risks.

Our assessment of efficiency takes into account the extent to which:	✳ What role does each actor take in the delivery of STIRRRD? Are there other things that either partner could/should be contributing?
✳ MFAT and partners are appropriately and sufficiently resourced to deliver on STIRRRD objectives;	✳ What factors impact the capacity and capability to effectively and sustainably deliver the intended results?
✳ Transaction costs are commensurate with the investment, are not over burdensome or present obstacles to the efficient delivery of services or maintenance of good relationships with other partners;	✳ What resources (finances, human resources) are available? Were these appropriate and sufficient to support the goals, objectives and activities of the programs?
✳ Partners have efficient, accountable and transparent systems in place to manage program and risk;	✳ Did the model represent the best use of resources to deliver the intended outcome?
✳ The model represents the best use of resources for New Zealand to support partnerships between New Zealand and Indonesian public and private sector organisations.	✳ Were efficient management processes in place to coordinate/manage partnership/s? Are business processes proportionate to the investment?
	✳ How do partners (MFAT, GNS and UGM) manage risk?
	✳ Are effective two-way communication systems in place?

Monitoring, Evaluation and Learning: To determine whether STIRRRD investments are based on sound technical analysis and continuous learning, and that the activity's M&E system can effectively measure progress towards objectives.

Our assessment of MEL takes into account:	✳ Is there a clear statement of the objectives shared goals, which explains clearly how partners will measure these?
✳ An M&E system is in place and corresponds to MFAT and partner standards and requirements.	✳ Is the M&E/Results Framework linked to MFAT performance and communications frameworks?
✳ The M&E system provides a clear statement of objectives and explains clearly how these will be measured.	✳ Are partners collecting the right mix of data and evidence (considering a quantitative/qualitative mix).
✳ MFAT and partners are able to assess and provide sufficient evidence to demonstrate the extent to which STIRRRD investments are i. based on sound analysis and ii. delivering on their objectives and intended outcomes and make adjustments as appropriate.	✳ Does reporting meet MFAT information needs? Are reporting mechanisms sufficient or over burdensome?
	✳ What analysis is being undertaken at all stages of the program cycle? How do these influence decision-making and planning?

	* Do M&E systems capture lessons learned in experiments with innovation (e.g. case studies)

Sustainability: To determine whether STIRRRD investments have appropriately addressed sustainability so that its benefits will continue.	
Our assessment of sustainability takes into consideration the extent to which: ✳ Opportunities exist to effectively scale up and/or replicate interventions; ✳ Opportunities exist to integrate StIRRRD supported research into Indonesian policy and regulatory guidelines.	✳ Is there evidence that beneficiaries involved in STIRRRD will continue to reap the benefits of StIRRRD supported initiatives beyond the funding period? ✳ Is there evidence of changes to DRR planning systems and increased capacity as a result of StIRRRD investments? ✳ Is there local ownership over STIRRRD investments – e.g. government, communities and are all relevant stakeholders engaged? ✳ Is there a clear exit strategy?

Cross Cutting Issues: To determine whether STIRRRD partnerships have advanced New Zealand policies and safeguards relating to the environment, gender and human rights.	
Our assessment of cross cutting issues takes into account the extent to which: ✳ STIRRRD partnerships are informed by, and actively promote MFAT strategy and policy frameworks and specifically those relating to the environment, gender and human rights. ✳ Partners have equal opportunity frameworks in place that pay attention to removing obstacles to the participation and equitable access to the benefits of development for women and girls; ✳ StIRRRD partnerships consider and actively mitigate risks to the environment; ✳ StIRRRD partnerships consider and activity ensure the protection of all human rights.	✳ How are programs aligned with MFAT policies for cross cutting issues? How does StIRRRD selection processes take into account the key cross cutting issues – e.g. is gender analysis or environmental analysis undertaken? ✳ What capacity building is provided to partners on cross cutting issues? ✳ To what extent is gender parity achieved in terms of managers / governance, grantees, participants? ✳ How has StIRRRD activities supported gender inclusive development? Has a gender analysis been undertaken and informed programming? ✳ Are there other cross cutting issues that have received or not received specific attention – e.g. disability and social inclusion, human rights and the environment etc. ✳ Is disaggregated data provided sufficiently to measure outcomes on cross cutting issues? ✳ Are there any specific gender, environmental or human risks that have not been considered?

Innovation: To determine whether STIRRRD investments demonstrate innovative strategies to address their objectives.	
✳ StIRRRD employs innovative processes and strategies to achieve desired outcomes (in program design, delivery processes, M&E, public diplomacy) including those that have not been used in the region; ✳ StIRRRD demonstrates innovative partnerships and collaboration; ✳ Partners have the space and flexibility to attempt innovative practices and failure is accepted.	✳ What innovative processes have partners engaged with in this program which they were not already familiar? Of these, what lessons have been learned? ✳ Are there specific innovations undertaken around cross cutting issues? ✳ Have new partnerships been formed through engaging with the STIRRRD program? ✳ To what extent have partners had the flexibility and space to innovate in program delivery and collaborations? Have these been worthwhile and/or yielded positive results or learnings? How can these be further supported? ✳ How are STIRRRD innovations (successes and failures) documented? Are lessons learned from failures as well as successes? Are case studies developed?