

Design for the National NGO Study and Service Centre

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Acronyms

| | |
|---------------------|--|
| AIFDR | Australia–Indonesia Facility for Disaster Reduction |
| AIPD | Australia–Indonesia Partnership for Decentralisation |
| AIPJ | Australia–Indonesia Partnership for Justice |
| AU\$ | Australian Dollar |
| BAPPENAS | <i>Badan Perencanaan Pembangunan Nasional</i> Ministry of National Development Planning |
| CIVICUS | The World Alliance for Citizen Participation |
| CSO | Civil Society Organisation <i>Organisasi Masyarakat Sipil</i> |
| CSR | Corporate Social Responsibility <i>Pertanggungjawaban Sosial Perusahaan</i> |
| DTF | Democracy Trust Fund |
| GoI | Government of Indonesia <i>Pemerintah Indonesia</i> |
| HCPI | HIV Cooperation Program for Indonesia |
| INGO | International Non-Government Organisations <i>Organisasi Nirlaba Internasional</i> |
| KADIN | <i>Kamar Dagang Indonesia</i> Indonesia Chamber of Commerce and Industry |
| Kemendagri | <i>Kementrian Dalam Negeri</i> Ministry of Home Affairs |
| Kemitraan | <i>Kemitraan</i> Partnership The Partnership for Governance Reform |
| KEQ | Key Evaluation Questions |
| Konsil LSM | <i>Konsil LSM Indonesia</i> Indonesian Council of NGOs |
| KSI | Knowledge Sector Initiative |
| MAMPU | <i>Maju Perempuan Indonesia untuk Penanggulangan Kemiskinan</i> Empowering Indonesia Women for Poverty Reduction |
| MEL | Monitoring, Evaluation and Learning |
| MTC | Multi-stakeholders Technical Committee |
| NGO | Non-Government Organisations |
| NSSC | National NGO Study and Service Centre |
| RFP | Request for Proposal |
| The Asia Foundation | A prominent US-based international NGO |
| USAID | The United States Agency for International Development |
| YAPPIKA | <i>Yayasan Penguatan Partisipasi, Inisiatif dan Kemitraan Masyarakat Indonesia</i> The Indonesian Foundation to Strengthen Civil Society Participation, Initiatives and Partnerships |

Glossary

| | |
|-----------------------------|--|
| Enabling environment | The areas that the NSSC will address are ones that impact on NGOs ability to function in those core roles. These enabling environment factors include their own legitimacy, transparency and accountability; connection and collaborations among different groups at different levels; the legal and regulatory environment; recognition and opportunities to interact with other sectors; and adequate resourcing. ¹ |
| NGO | Non-government organisations are part of civil society, ‘a wide and growing range of non-government and non-market organisations through which people organise themselves to pursue shared interests or values in public life,’ according to DFAT’s own Civil Society Engagement Framework. ² Civil society organisations are a space through which the public checks the power of the state and market by advocating for justice in social and economic matters, and by addressing social development needs that the state and market do not or cannot address. Membership in CSOs is voluntary and organisations are self-governing with any profits turned back into the organisation rather than into the hands of private individuals. Under a level of operations framework, CSOs include community-based organisations (<i>organisasi berbasis masyarakat</i>), which operate at a local level and depend on membership contributions to operate, most often in service to those same members. Like the 2012 NGO Sector Review, this design distinguishes NGOs from CSOs by their more complex organisational structure, reliance on paid or voluntary staff, minimum financial base and focus on serving others through direct service, community organising and / or advocacy rather than engaging in self-help. |
| NGO sector | The NGO sector is the collective of NGOs that operate in a given space. Different NGOs serve different functions and different communities but are effected by the same enabling environment, and thus have common interests and challenges. |

1 CIVICUS, 2013

2 AusAID, 2012

Executive Summary

The *National NGO Study and Service Centre* (NSSC) is a facility that first and foremost will help prepare and support the NGO sector for a time when investment from DFAT and other donors will be significantly reduced. Over the last 15 years, Indonesia has undergone several successive democratic transitions of power, seen an increase in decentralised decision-making, and has emerged as a lower middle-income country. Along the way, the NGO sector in Indonesia has been a key driver of political, economic and social reform, including on issues such as women's rights, anti-corruption, freedom of information, and religious tolerance. The NGO sector has also made critical contributions to sustainable economic growth and poverty reduction. Yet Indonesia still faces persistent poverty, exclusion, corruption, regional disparities and low quality human development that threaten sustainable growth and stability.

Meanwhile, many bilateral donors, international foundations and international NGOs have significantly reduced their aid to Indonesia now that Indonesia has achieved lower middle-income status. To date, international donor support for the NGO sector has been integral to the work of NGOs. The rationale for the NSSC is closely aligned to the broader strategic direction of Australia's aid program as well as the frontline approach. A stronger NGO sector will be better equipped to help ensure that the benefits of Indonesia's future growth are available to all. As investment levels are reduced, the ability of the NGO sector to continue playing an active and effective role in Indonesian development and democracy is at serious risk. Before donor support dissipates, it is vital to ensure that Indonesia's NGO sector:

- > has equitable and constructive engagement with government and the private sector;
- > is well governed, independent and accountable; and
- > has adequate, diversified funding.

The NSSC will work towards those three goals. To determine these goals and design the facility, a rigorous research agenda was pursued, as were extensive consultations.³

The NSSC will be responsive and flexible enough to respond to emerging priorities within the NGO sector. At the same time it is important that the NSSC is guided by clear and coherent priority outcomes linked to its goals. The four priority outcomes that emerged clearly from the evidence-based and consultative design process are:

1. more NGOs adopting standards of good governance and accountability in their day-to-day operations;
2. options of accessible domestic sources of funding exist in practice;
3. improved human resources and strong leadership; and
4. strong partnerships, trust and interdependency among NGOs at different levels.

In addition, through the design two priority activities that link several outcomes of the facility were identified: work to support other DFAT programs to engage more effectively with their NGO partners, and a national database of NGOs.

Two important principles guiding the NSSC are ownership by the NGO sector and building on existing, local resources. As such, activities to achieve the priority outcomes will be implemented by NGO partners, selected for their competencies in the relevant technical area. This process will start in all cases with establishment of working groups of relevant stakeholders who will propose the terms and structure for the longer-term work, followed by a procurement process to contract the appropriate partner organisation or network. The NSSC will support partners to enable them to sustain existing

³ Work that contributed to this design began in 2012 with the NGO Sector Review, a stock-take of knowledge on the NGO sector in Indonesia, see STATT, 2012.

functions and provide capacity development support in technical or institutional aspects as deemed necessary.

The ultimate aim of the NSSC is to support NGO partners to contribute to a stronger NGO sector that has the resources needed to continue playing its part in ongoing economic and democratic development in Indonesia without reliance on international donor support. The NSSC is innovative in its approach as an NGO sector support facility, informed by lessons from a number of recent DFAT and other donor programs, as well as relevant literature. The NSSC will also contribute to DFAT's aid program at a strategic level by supporting a range of existing DFAT investments in both Indonesia and the Asia Pacific region.

1 Analysis and Strategic Context

Over the last 15 years, Indonesia has undergone several successive democratic transitions of power, seen an increase in decentralised decision-making, and has emerged as a lower middle-income country. Along the way, the NGO sector in Indonesia has been a key driver of political, economic and social reform, including on issues such as women's rights, anti-corruption, freedom of information, and religious tolerance. The NGO sector has also made critical contributions to sustainable economic growth and poverty reduction.⁴ Yet Indonesia still faces persistent poverty, exclusion, corruption, regional disparities and low quality human development that threaten sustainable growth and stability.

Meanwhile, many bilateral donors, international foundations and international NGOs have significantly reduced their aid to Indonesia now that Indonesia has achieved lower middle-income status. To date, international donor support for the NGO sector has been integral to the work of NGOs. As investment levels are reduced, the ability of the NGO sector to continue playing an active and effective role in Indonesian development and democracy is at serious risk. As a result, prior to a further reduction in international donor funding, the following key challenges to Indonesia's NGO sector require support:⁵

- > **Engagement with government and the private sector:** Despite progressive changes in the openness of government, and to a more limited extent the private sector, engagement between government and private sector with NGOs tends to occur informally and infrequently. Government and the private sector often do not take NGOs seriously as development actors.
- > **Governance and accountability of the NGO sector:** Most NGOs do not pay systematic attention to good institutional governance and leadership and to upwards and downwards accountability. Linkages and networking among NGOs at the national and subnational levels, linkages across NGOs working in different areas and on different issues, and support functions within the sector are weak. Finally, high staff turnover and weak leadership regeneration strategies that would develop the next generation of NGO leaders impacts on the sustainability of the NGO sector.
- > **Funding diversity:** Organisations that work at a national or provincial level tend to be highly dependent on foreign donor funding, while local organisations tend to operate with tiny budgets generated through 'self-funding' activities.

The *National NGO Study and Service Centre* (NSSC)⁶ will help prepare and support the NGO sector for a time when investment from DFAT and other donors will be significantly reduced. The underlying premise of the NSSC's design is that supporting NGOs to build on their strengths and address critical challenges will lead to a stronger NGO sector that will serve the needs and interests of all in Indonesia's development. A strong NGO sector is one that:

- > has equitable and constructive engagement with government and the private sector;
- > is well governed, independent and accountable; and
- > has adequate, diversified funding.

These goals are hallmarks of a mature NGO sector. Moreover they are mutually reinforcing. An accountable NGO sector is more likely to be trusted as a partner and 'friendly critic' by government and the private sector. In addition, an accountable NGO sector is more likely to be able to access a wider range of funding sources, including public sources. Similarly, positive relationships with government and the private sector as well as public and corporate policy environments that encourage

4 The importance of the NGO sector is not an assumption but rather is well documented in DFAT's own program data according to a review done by the NSSC research and design team, as well as other research including Ibrahim, 2006; STATT, 2012 and Fitri et al. 2014. The Government of Indonesia has acknowledged the critical role of civil society organisations in development and democratic process as noted in the the National Middle-Term Development Plan ('Rencana Pembangunan Jangka Menengah Nasional 2015–2019: Buku I Agenda Pembangunan Nasional,' 2014).

5 As has been noted and discussed in the research briefs produced by the NSSC research and design team, the challenges faced by Indonesia's NGO sector are reflective of global trends and challenges.

6 This name should be changed to better reflect the work the facility will do and to be more catchy and easier to pronounce. A brainstorming session during a consultative meeting did not yet yield anything suitable.

openness and transparency will support the NGO sector to be more transparent. This can in turn open up new funding streams. Adequately resourced NGOs are more able to invest in governance, consultations with the public and enact good practices for supporting each other and engaging with other sectors.

1.1 Rationale for DFAT's investment

The rationale for the NSSC is closely aligned to the broader strategic direction of Australia's aid program: promoting prosperity, reducing poverty and enhancing stability.⁷ A stronger NGO sector will be better equipped to help ensure that the benefits of Indonesia's future growth are available to all. With the reduction in international donor support, NGOs will be increasingly important partners in the Government of Indonesia's own efforts to reduce poverty and inequality, including for the most socially and economically excluded groups. These communities are often difficult for government to reach, making NGOs' grassroots networks critical to achieving the Government of Indonesia's poverty and human development targets. NGOs also play an important role in supporting the development of favourable conditions for economic growth, including through monitoring of government and private sector accountability and transparency, which can foster the climate for investment. Moreover, as Indonesia's democratic institutions consolidate, NGOs will continue to play an indispensable role in monitoring national and subnational elections to ensure that they are free and fair, and advocating on key issues of corruption and legal reform. NGOs play critical roles as development actors in almost all of the areas the DFAT invests in:

- > agriculture, fisheries and water through their work with farmers, fishers and on environmental issues;
- > improving governance effectiveness through their work with national and subnational governments;
- > education and in particular health through work to improve health care access, especially for the most marginalised;
- > providing humanitarian assistance and working to reduce disaster risk in communities;
- > working directly to ensure social protection for individuals, families and communities;
- > working to enhance social protection measures in place;
- > addressing gender inequality and empowering women and girls.

In addition to the positive impact that a strengthened NGO sector will have for DFAT to fulfil its aid strategy, supporting a strong NGO sector is critically linked to protecting the broad legacy of DFAT's development impacts. NGOs have played an important role in the delivery of Australia's aid program in Indonesia and are 'effective partners' in doing so.⁸ In the 2013 / 14 fiscal year, a total of AU\$37 million, 8.5% of DFAT's aid funding in Indonesia, was managed by Indonesian NGOs. This figure has risen over the previous seven fiscal years, both in overall amounts and as a proportion of overall expenditure in Indonesia.⁹ According to DFAT's own quality data¹⁰, aid initiatives working with NGOs represent value for money: these initiatives have been assessed as more effective and more efficient than initiatives without NGO engagement. Evaluation reports for several DFAT programs have also found that using Indonesian NGOs for implementation at the field level was better value for money compared to the alternatives.¹¹

7 Australian Government Department of Foreign Affairs and Trade. (n.d.). Australia's aid program. Retrieved from <http://dfat.gov.au/aid/Pages/australias-aid-program.aspx>

8 Australian Government Department of Foreign Affairs and Trade. (2014, June). Making Performance Count: Enhancing the accountability and effectiveness of Australian aid. Retrieved from <http://dfat.gov.au/about-us/publications/Documents/framework-making-performance-count.pdf>

9 Notably, it also represents approximately 40% of revenue managed by Indonesian national-level NGOs in the same year. This was calculated based on average revenues reported for 2013 by NSSC design survey of national NGO respondents, multiplied by the approximate number of active national and support organisations.

10 Data reviewed by the team was still called 'quality at implementation' data, found in Aid Program Performance Report 2012–2013, Annex C Quality at Implementation Ratings for 2012 and 2011. The same data as of June 2015 is referred to as 'aid quality checks.'

11 Finding in evaluations of ANTARA, LOGICA2, and Building Resilience in Eastern Indonesia.

Finally, the NSSC embodies the approach of adding value and leveraging existing investment¹² as discussed further in the following section on its relationships to other investments.

1.2 Relationships to other investments

DFAT has increasingly focused on ensuring more effective service delivery to the poor and supporting better policy-making. In a context where donor assistance is dwarfed by the size of the Indonesian economy, achieving this has meant providing strategic and technical assistance to more effectively leverage and use resources, including those resources available through the Government of Indonesia's (GoI) budget. The NSSC builds on this approach with a focus on Indonesian NGOs.

A number of DFAT programs have funded institutional strengthening of individual NGOs or networks of NGOs; lessons from these programs relevant to the NSSC are summarised below. However, there has been limited engagement on or coordination among programs to address cross-cutting issues. This parallels a challenge that the frontline strategy under development by DFAT intends to address, namely that individual programs 'already try to address cross-sectoral service delivery challenges but lack the skills and scope to do so effectively'.¹³ As a facility supporting NGOs as a sector, the NSSC will have the expertise to help protect DFAT's legacy across the wide range of programs that rely on NGO engagement, and in which NGOs play a plethora of roles.

The NSSC will be positioned to support DFAT's aid program at a strategic level. Firstly, the NSSC will proactively identify issues that emerge across programs that are more effectively addressed at a NGO sector level rather than on a program-by-program basis. These issues will inform the strategy of the NSSC itself ensuring that its work is complementary to that of other investments. In addition, the panel of NGOs that will help govern the NSSC will be a platform available to DFAT leadership for consultation and coordination with NGOs on country and cross-program coordination strategies.¹⁴ Finally, the NSSC's focus on supporting NGOs across sectors in relation to advocacy, in working effectively with government and the private sector, and to finding evidence-based, local solutions to local challenges is aligned to DFAT's frontline strategy that is currently under development. More detail on specific activities the NSSC might undertake to support other programs is available in Annex 7.

The NSSC will also support a range of existing DFAT investments in Indonesia and regionally in the Asia-Pacific in which NGOs are important stakeholders by:

- > providing evidence-based advice on working as effectively as possible with NGO partners;
- > recommending and supporting activities that will lead to improved sustainability of program outcomes when NGOs are engaged; and
- > helping programs that face similar challenges with NGO partners to better learn from and coordinate with each other in addressing these cross-cutting issues.

By enhancing other programs' effectiveness in working with NGO partners, the NSSC will support the achievement of outcomes across different portfolios.¹⁵ The NSSC will not be involved in technical aspects of delivery in issue-based sectoral programs, as this would be duplication of existing DFAT investments.¹⁶ Rather, it will support and enhance those programs' engagement with the NGO sector. Existing investments that NSSC might work especially closely with in Indonesia include those within the economic governance, health and HIV, justice and democratic governance sectors, and in particular all of those under the governance and social development portfolio. More specific details on

12 See Australian Government Department of Foreign Affairs and Trade. (n.d.). Australia's aid program. Retrieved from <http://dfat.gov.au/aid/Pages/australias-aid-program.aspx>.

13 From the DFAT document *Improving Frontline Health Performance in Eastern Indonesia*, 2012.

14 A function enthusiastically supported by the NGO panel advising on the design process.

15 Though the NSSC staffing model accounts for providing such services and the NSSC will be proactive about doing so, accountability for taking advantage of the advice and resources will ultimately lay with the other programs.

16 Nor will it focus on any one issue-based sector; this is intentional given its focus on cross-cutting issues that affect all NGOs. Direct implementing partners for the facility thus are more likely to be support organisations rather than e.g. health, justice or direct community development organisations. More detail on selection of activities and implementing partners is provided further down in the design.

the NSSC's proposed strategic and operational engagement with other DFAT investments are available in Annex 1.

Regionally in the Asia Pacific, the NSSC will aim to engage with the Australian NGO Cooperation Program, the Australia–Mekong NGO Engagement Platform (AMNEP), and with ongoing efforts to develop opportunities for local philanthropists to invest in development. The NSSC will also aim to coordinate closely with other donor programs that are working on cross-cutting challenges to the NGO sector. The European Union and United States Agency for International Development (USAID) are likely to have complementary investments in this arena. The status of these investments would need to be confirmed when preparations for the NSSC implementation begins.¹⁷ Similarly, the Gol's Democracy Trust Fund (DTF) may be operational by the time the NSSC is launched. The DTF will provide grants to organisations that are working to build democracy and increase civic participation, which corresponds to the NSSC NGO Sector Goals. As of April 2015, a proposal was being developed by the national NGO Kemitraan to manage the DTF and explore funding options from government ministries, private sector sources and public philanthropy (including from *zakat* and *sedekah* religious-based charitable giving).¹⁸

1.3 Relationship to the frontline approach

The NGO sector already plays important roles related to frontline service delivery.¹⁹ Moreover, NGOs tend to work across a range of issues at once and have an understanding of how education, health, community empowerment, social services, human rights, environment might interact in a given local context. As such a stronger NGO sector as a result of the NSSC will further enhance its ability to:

- > help build citizen engagement into local planning and implementation at the service delivery levels;
- > identify what direct and indirect mechanisms allow communities to hold service providers accountable for their performance;
- > enhance access of poor and excluded people and communities to services;
- > encourage them to provide feedback to service providers and government planners;
- > educate and assist service users to have active voices to solve problems;
- > monitor program implementation at the service delivery levels; and
- > work with government to draft policy briefs, monitor progress, and train service providers.

2 Development of the Design

Work that contributed to the NSSC design began in 2012 with the NGO Sector Review, a stock-take of knowledge on the NGO sector in Indonesia.²⁰ The design process began in April 2014, including a rigorous research agenda.²¹ Throughout, more than 440 distinct individuals responded to surveys or interviews, participated in focus group discussions, and / or provided feedback and inputs through

17 While differing procurement systems and timing of the various investments make attempting to co-fund a facility at this time unfeasible, this should be kept in mind as an option later on.

18 DFAT's justice and democratic governance unit may separately provide some support to the DTF.

19 The summary of this section is from the following materials provided by DFAT's Performance and Strategy Unit developing the frontline approach: *Improving Frontline Health Performance in Eastern Indonesia*, 2012; *Improving Frontline Service Delivery in Indonesia*, 2013; 'GOI Policy and Strategy for Improving Basic Services for the Poor and Vulnerable,' 2015.

20 STATT, 2012.

21 In addition to producing this design document, the team will produce several policy research reports for a public audience that will make use of the extensive data produced. One paper will be DFAT-facing containing an overview of DFAT engagement with NGOs and lessons for DFAT programs and management in engaging with NGOs operationally and at a strategic level. The other, a series of research briefs, will include analysis of NGO networks and their networks with other development actors; analysis on funding sources and diversification; analysis on accountability efforts; and other topics. In addition, the data and topical reviews will be handed over, via DFAT, to the NSSC itself for future analysis and use.

individual consultations, or consultative workshops.²² A standing and diverse panel of NGO representatives from throughout Indonesia gave inputs and advice on a routine basis during the development of the design.²³ The panel, the members of which are listed along with contact information in Annex 3, consisted of 21 national and NGOs and 19 sub-national NGOs from 14 Indonesian provinces.²⁴ In addition, the team reviewed documents, and in many cases financial data, from an extensive list of existing programs as well as literature on key topics for the design.

Mixed methods field research: Field research consisted of structured, in-depth surveys of 105 subnational NGOs in seven cities / districts within four provinces and 42 national / support NGOs. In the same seven cities / districts, semi-structured interviews and focus group discussions took place with 214 individuals from district /city government, the private sector and the NGO community. Common findings from across the field sites were identified to inform the design. Building on the 2012 NGO Sector Review and the design team's knowledge of changes since then, the field research covered themes such as:

- > the roles and functions of NGOs;
- > networks and relationships among NGOs;
- > NGOs' relationships with government and private sector;
- > enabling environment of NGOs to achieve policies, services, gender equity and inclusiveness;
- > NGOs' funding levels and sources;
- > NGO accountability and governance structures and processes;
- > human resources, effective leadership and organisational management; and
- > priorities and preferences for an NGO sector support facility.

DFAT review: This activity consisted of structured analysis of the outcomes, financial expenditure and lessons on modalities of 155 DFAT-funded programs that engage with Indonesian NGOs, representing total expenditure of over AU\$905 million from 2007–2014. This work also included limited online survey work, individual interviews and a focus group discussion targeting NGOs that have partnered with DFAT. The design also draws on practical experience of people working on DFAT programs in Indonesia, captured through ongoing interactions and consultation.

Desk research: The team also carried out a structured desk review of:

- > public reports of seven other donors' programs in Indonesia that had significant NGO engagement or a NGO sector approach, focused on programs being implemented between 1999–2015;
- > public reports of 25 related programs in other countries with similar economic or political contexts, focused on programs implemented between 2007–2015; and
- > literature and reports on a variety of relevant topics including the role of international non-government organisations (INGOs), the concept of sustainability, and the strengths and challenges of intermediary and resource organisations in Indonesia.

²² This number is in addition to people consulted as part of developing the 2012 NGO Sector Review report (STATT, 2012).

²³ To form the panel, the design team first solicited nominations / self-nominations from within the NGO sector, with a specific aim to including NGOs doing a diverse range of work, in diverse issue areas, and in diverse areas of the country. As a result of sending the call for nominations through the team's own networks; the contacts database from the 2012 NGO Sector Review; DFAT, USAID and European Union programs; and prominent national and international NGOs, 202 individuals from 29 Indonesian provinces applied for attendance at a series of workshops in December. The team invited 59 people, screening out representatives of defunct organisations and balancing diversity among the participants and the organisations represented. In the two workshops focused on subnational NGOs, the participants themselves identified criteria for selecting panel members and then nominated members for the panel from among workshop participants. For the workshop with national and support NGOs, anyone interested was invited to register for the panel, with the understanding that remote inputs would be solicited from everyone but attendance at future in-person meetings would require a selection process to keep numbers reasonable for discussion.

²⁴ Bali, DKI Jakarta, Jawa Barat, Jawa Tengah, Jawa Timur, Kalimantan Timur, Nusa Tenggara Barat, Nusa Tenggara Timur, Papua Barat, Sulawesi Selatan, Sulawesi Tengah, Sumatera Barat, Sumatera Utara and Yogyakarta.

Workshops and consultations: In-depth and highly participatory consultations were held throughout the design process that included:

- > a consultative workshop in June 2014 with 21 NGO participants;
- > a small workshop with five NGOs in September 2014;
- > one-on-one consultations in September and November 2014 with 12 individuals in the national government / legislature and private sector regarding the concept for the program;
- > an interactive workshop in December 2014 with 31 individuals representing DFAT programs that work with (or are considering working with) NGOs in Indonesia;
- > three other workshops in December 2014 with 85 participants representing almost as many NGOs;
- > consultative workshop with an NGO design panel in April and in August 2015; and
- > meetings and routine engagement throughout with other DFAT aid programs and other donor programs.

For more detailed information see:

- > Annex 2 for an overview of the analytical and consultative work that shaped the NSSC Design.
- > Annex 3 for a list of stakeholders consulted, including a list and contact information of NGO panel members.
- > Annex 4 for a list of programs reviewed.
- > Annex 5 for a reference list of analytical literature cited in the design.

In addition to this design and its Annexes, the design team has produced two stand-alone research products. One is for a DFAT audience that outlines lessons for programs working with NGOs. The other is for an external audience that highlights major findings from the above research relevant to a broad range of stakeholders interested in strengthening the Indonesian NGO sector. These have been submitted to DFAT in August 2015.

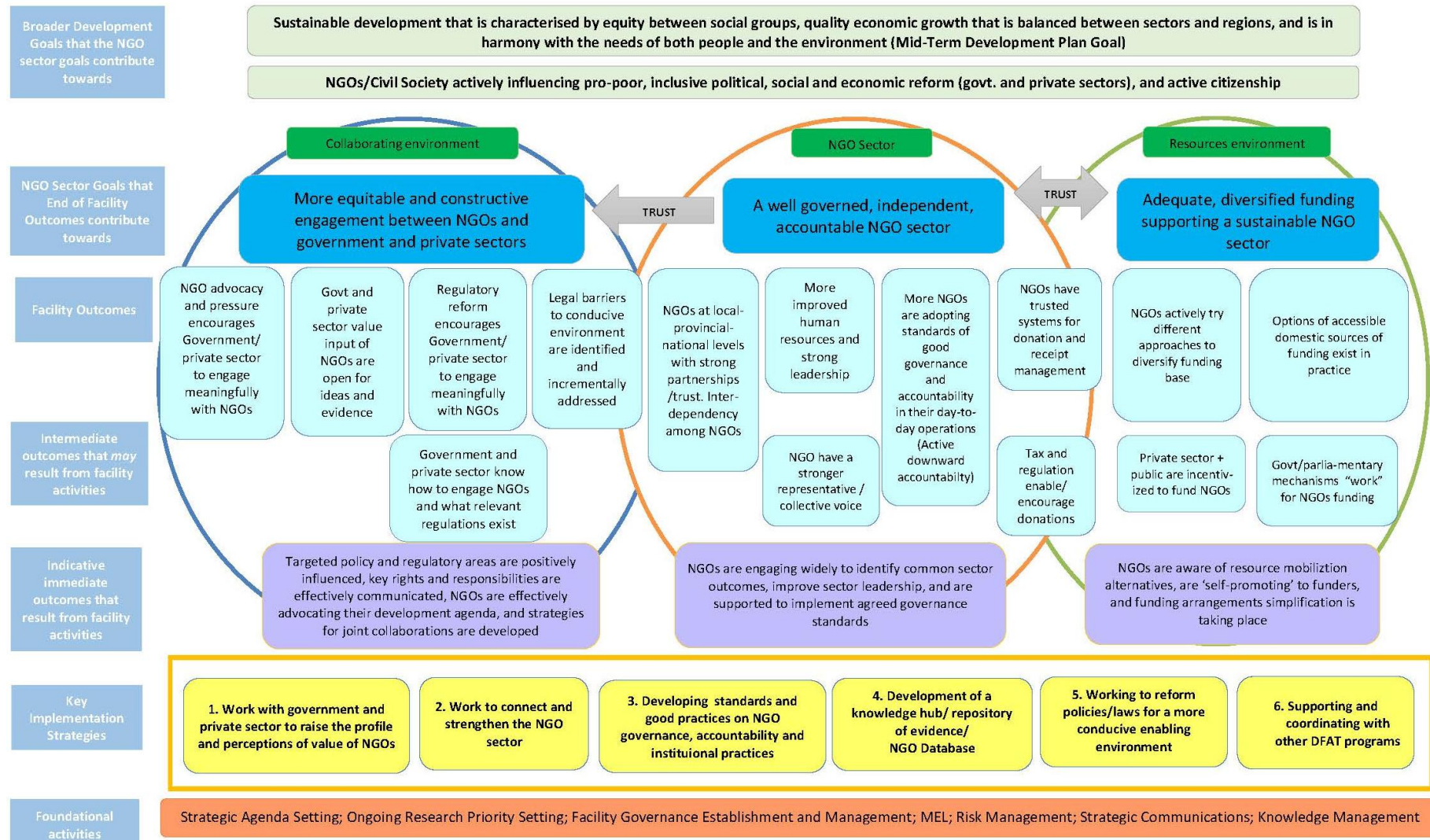
3 What the NSSC will do

This section describes the logic model guiding the NSSC as a facility and its application in practice. Included are the principles and investment criteria, priority facility outcomes and the activities that will be implemented to achieve these. It describes the process and rationale for partner selection for implementing activities and provides an overview of how lessons learned from other programs have informed the NSSC design and lessons relevant to the overall NSSC approach.

3.1 Logic model

The logic model to be used by the NSSC describes a theory of change for the NGO sector in Indonesia. Given that as a facility the NSSC is designed to be flexible and responsive, the logic model provides a 'road map' that lays out potential pathways for contributing to the intended outcomes and goals. This logic model is a tool for planning and decision-making within the NSSC, rather than a comprehensive map of planned outcomes or activities. This 'road map' approach is suitable for a facility logic model, different from a 'program' logic that would limit its content to what the program will actually do. See Figure 1 for a summary version of the logic model narrated below. Annex 6 contains a more complex version that might be useful to members of the NSSC implementation team.

Figure 1 Summary facility logic model



The NSSC will be anchored by broader development goals and three NGO Sector Goals which are unlikely to change during the lifetime of the investment. The NSSC ultimately aims to contribute to the following **broader development goals** captured in the logic model:

- > NGOs / Civil Society actively influencing pro-poor, inclusive political, social and economic reform (government and private sectors), and encouraging active citizenship.
- > Sustainable development characterised by equity between social groups, quality economic growth that is balanced between sectors and regions, and is in harmony with the needs of both people and the environment.

These goals are in alignment with the GoI's five-year development plan, as well as the vision of participants consulted during the design process. Achieving these goals will require contributions from all stakeholders, not just the NSSC.

The NSSC will contribute to the achievement of the broader development goals by orienting its activities towards three **NGO Sector Goals** as follows:

- > more equitable and constructive engagement between NGOs and government and private sectors;
- > a well governed, independent, accountable NGO sector; and
- > a sustainable NGO sector supported by adequate, diversified funding.

These three NGO Sector Goals are aspirational in their scope, as they involve many stakeholders and institutional processes which the NSSC will seek to influence but cannot hope to control. They are, however, the goals towards which all activities will be specifically focussed.

The NSSC will narrow its focus by setting **priority facility outcomes** that will contribute to achievement of the NGO Sector Goals. Given the breadth of the NGO sector logic, not all potential outcomes described in the logic model can be achieved by the NSSC within the budget and timeframe available. Indicative priority facility outcomes are outlined below; however, the NSSC core leadership team and governing bodies will need to revisit these outcomes when implementation begins. Facility outcomes are relatively stable but may change or be refined as implementation proceeds to reflect new understandings, changes in the socio-political context in Indonesia and the emergence of new opportunities.

Achievement of the facility outcomes will be through a set of six broad **implementation strategies**, under which specific activities and approaches to achieve the outcomes are grouped:

- > Work with government and private sector to raise the profile of and improve perceptions of the value of NGOs; for instance by convening forums and discussions, raising awareness of opportunities and rights for policy inputs, and trialling partnership initiatives.
- > Work to connect and strengthen the NGO sector; for instance by strengthening networks NGOs at various levels and from various sectors including those outside of Jakarta, Bandung, and Yogyakarta²⁵, fostering intermediary and other support functions in the NGO sector, and working on strengthening sector identity and voice.
- > Develop standards and good practices on NGO accountability and institutional practices; for instance by trialling governance and accountability standards, advocating for sound, diversified evidence-based programming, and developing leadership regeneration models.
- > Developing a knowledge hub / repository of evidence; for instance by establishing a database on NGOs, serving as information clearing house on all NSSC-generated reports and results, by providing referral services to capacity development organisations, research institutions and conducting research on NGOs and related issues.²⁶

25 Major Javanese urban centres with a disproportionate amount of NGOs. STATT (2012) found that numbers of NGOs in a given area was statistically correlated with GDP.

26 This is a potential area for the NSSC to link with KSI.

- > Working to reform policies/laws for a more conducive environment for NGOs; for instance by working on reforming targeted laws and regulations related to NGO registration, corporate social responsibility (CSR) policy and legislation, and taxation legislation, and by preparing policy briefs and advocating for NGO inclusion in government /private sector strategic planning and budgeting.
- > Supporting and coordinating with other DFAT programs as described elsewhere in the design.

An extensive list of potential activities under these six strategies has been developed (see Annex 7). The list of potential activities is indicative and not all of these activities will be implemented. The selection and prioritisation of activities will be a key step early on in implementation of the NSSC. Meanwhile, an initial set of activities linked to the priority outcomes have been identified and are presented below.

Finally, the NSSC itself will be supported by **foundational activities**, which relate to both preparatory and on-going work of the NSSC core leadership team and governing bodies.

3.2 Engagement principles

The following general engagement principles will influence all aspects of implementation for the NSSC:

- > **A systems approach** to the NGO sector, keeping a holistic view of the enabling environment and going beyond the NGO sector itself to influence the 'system' within which it functions.
- > **Collaboration** with NGOs in particular and complementing and supporting the work they do rather than taking on roles directly or competing with them.
- > **Sustainability**, by paying attention to how every activity that should be sustained will be sustained, and planning implementation with sustainability as a prerequisite for selection.
- > **Directed by NGO priorities**, which started during the design process as described in section 2, and will be expressed in implementation through a representative advisory panel as described in section 4 below.
- > **Evidence-based**, adopting a broad definition to include the evidence accessible through local sources of knowledge and an emphasis on triangulation among various forms of evidence.
- > **Learning-focused**, with a monitoring, evaluation and learning (MEL) system that focuses on the continual refinement of processes, mechanisms and outcomes as described in section 5 below.
- > **Representative** of all development-focused NGOs engaged in a broad range of crosscutting issues at all levels of the local – national / service provision – advocacy spectrums, and from the diversity of NGOs including those from diverse areas of the country.

These engagement principles require that NGOs are actively committed to being involved. Such commitment was evident during the design process, based on both reactions to the idea of such a facility by research respondents as well as the active participation throughout the whole design process from a diverse group of NGOs including the standing NGO advisory panel. The panel, whose participation was voluntary and explicitly without commitment for future funding or grants, and others from the NGO sector have enthusiastically supported the idea of the facility. Member of the panel have expressed a sense of ownership as well interest to be involved in the NSSC's work. NGOs will continue to be directly involved in the NSSC in all aspects of implementation, from strategy-setting to operations through a range of formal and informal mechanisms:

- > Formal, strategic arrangements on governance (see part 4.3 below) will rely on the involvement of a NGO Advisory Panel.

- > A range of feedback mechanisms will be established to ensure broader inputs and feedback from those outside the NGO Advisory Panel, in line with the examples below. These will be implemented in accordance with the implementation planning flowchart below, i.e. potentially directly implemented or involving NGOs or NGO practitioners when appropriate:
 - complaint mechanism;
 - MEL activities,
 - forums, workshops, or small group/one on one consultations relating to key issues as they emerge; and
 - on-going data collection (e.g. short form surveys, focus group discussions) as needed.
- > Core as well as support activities will be directly implemented or involve NGOs or NGO practitioners when appropriate. Decisions related to this will be determined in line with the implementation arrangements flow chart presented in Figure 3 of Section 3.8 below.

3.3 Investment criteria

The NGO sector logic model described above provides a broad sense of the ‘road map’ for the implementation of the NSSC, from which strategies and activities should be selected and against which their pathways to achieving outcomes should be mapped. The NGO sector logic model is a planning tool rather than a prescriptive course for the whole of the facility. To focus the NSSC’s work and ensure concrete outcomes, the NSSC core leadership team and governing bodies will select several priority facility outcomes, with clear deliverables and work plans laid out for accomplishing each within the seven years planned for implementation.²⁷ These decisions, and revisiting them in annual planning processes, should be made in accordance with two sets of investment criteria described below. Decision-making will be supported by accumulated evidence of progress and opportunities for improvement from the MEL system as well as cross-cutting needs and opportunities identified by other DFAT programs, the NGO panel advising the NSSC and other stakeholders.

One set of investment criteria will be applied at the NSSC’s portfolio level and another set will be applied at the individual activity level. These criteria are tools for the NSSC core leadership team to apply to the engagement principles and ensure the NSSC is aligned with the NGO Sector Goals in practice. The NSSC core leadership team and government bodies will need to formalise these criteria and clarify the mechanisms, timing and responsibility for their application in practice. This will need to be an early task reflected in the first year work plan.²⁸

Portfolio Investment Criteria

- Balances quick, tangible results with actions aimed at longer-term change
- Diversity in the range of NGO partners is evident, including geographical diversity
- 75% of investment at any one time is on agreed priorities, while 25% of investment responds to emergent opportunities that will contribute to achieving the broader NGO Sector Goals
- Social innovation / novel ideas and concepts are reflected
- Activities do not duplicate or compete with those of other institutions – including their resources and capacities
- No activities that are politically partisan or that fund political parties or violent or extremist groups²⁹

²⁷ As of June 2015 the working assumption guiding the design was a three-year initial investment, with additional four-year extension beyond that.

²⁸ The indicative priorities above will fit easily within the assumption of an initial AU\$10 million budget over three years and similar funding levels over a four-year extension, invested via a stand-alone facility implemented by the winner of a competitive tender process. The priority outcomes and the scope of the activities can be expanded or contracted with additional or reduced funding.

²⁹ The NSSC might potentially identify a need to engage with political parties; they are a vital part of the Indonesian civil society landscape and an important part of the political landscape in which NGOs operate and conduct advocacy and attempt to influence government service delivery in communities. However, risks around doing so would need to be carefully managed. So would the appropriate relationship between NGOs and the political parties, as was emphasised by the NGO panel advising on the design: NGOs should not to be co-opted by political parties, but can be effective partners for working with political parties to strengthen democratic process both at the community and the political parties (institutional) levels. This can be achieved through activities including political education and *kaderisasi* of political party members and consultations in certain areas – e.g. policy briefs, community organizing.

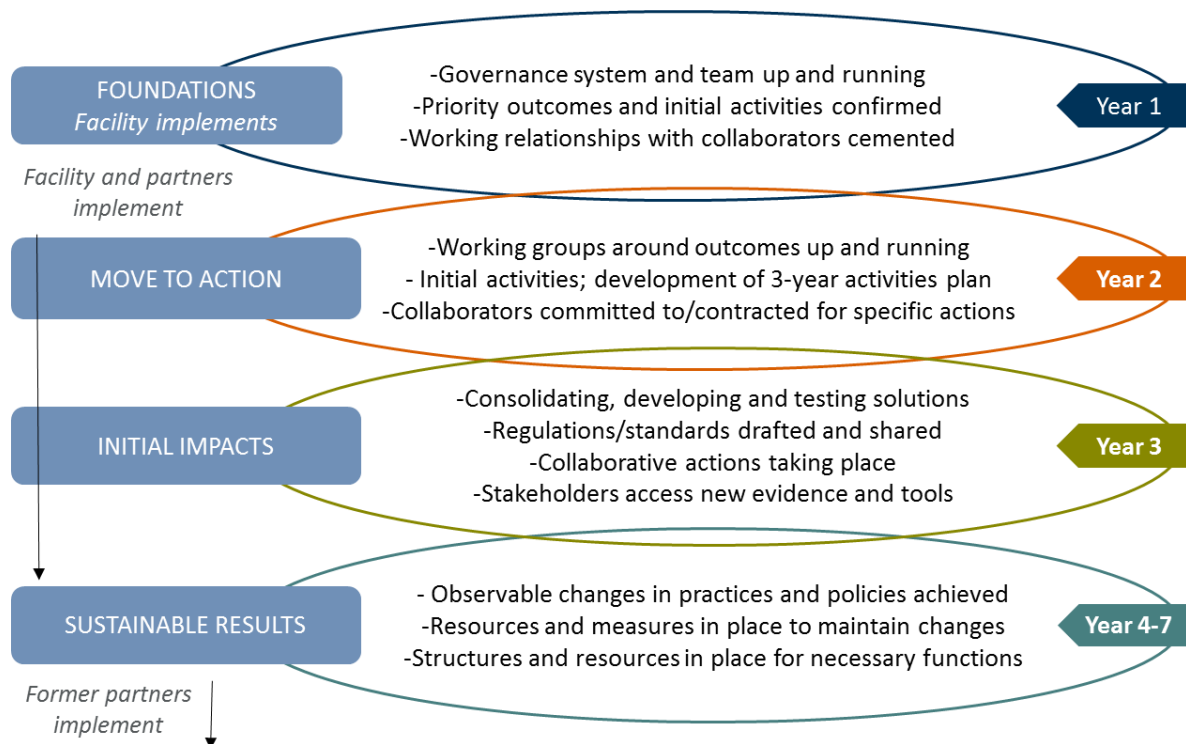
Individual Activity Selection Criteria

- A demonstrated link to an NGO Sector goal
- Addresses sustainability adequately with a high probability of a lasting legacy
- Reflects a demand from NGOs (greatest utility)
- Activities must demonstrate gender equity outcomes or justify appropriately why not
- Activities must demonstrate inclusivity outcomes (pro-poor, disability, geographically isolated etc.) or justify appropriately why not
- Close alignment with DFAT program sectors / locations / priorities where feasible
- Evidence-based – both of the need for the activity, and, where possible, the likelihood it will work
- Activity approaches represent value for money

3.4 Activity timeframes

The overall timeframe proposed by DFAT for NSSC funding is an initial three years of funding with a commitment of a proposed additional four years. A working assumption of the design process is that the NSSC itself will build on the relationships with stakeholders and networks with NGOs developed during the design process (and preceding it in 2012's NGO Sector Review). Lessons from other DFAT programs that have an NGO-focused approach have strongly highlighted the need for sufficient time to set up and establish working relationships with stakeholders, even when those stakeholders are heavily involved in the design process.³⁰ This understanding underpins the change timeframe reflected in Figure 2.

Figure 2 Change timeframe



Additional progress markers towards these targets in each year can be found in the implementation plan proposed below in section 4.6. Also described in the implementation plan is that NSSC priority outcomes and activities will be confirmed by month 3 of the NSSC. This will be followed by a period of time in which working groups hosted by the NSSC will complete the foundational work for the activities, including further mapping of existing and past efforts related to the priority outcomes, the key stakeholders, and key good practices identified to date. The working groups will recommend to the

³⁰ e.g. the *Empowering Indonesian Women for Poverty Reduction Program* (MAMPU, based on its Indonesian name) the *Knowledge Sector Initiative* (KSI), and *Australia – Indonesia Partnership for Justice* (AIPJ)

NSSC core leadership team the terms and the mechanisms for longer-term implementation of the activities as well as quality standards that should be applied by the activity implementer. This will be followed by a contracting process for the organisation or network that will ideally carry out the activity through the lifetime of the NSSC.³¹ The process for identifying the activity implementer is described in more detail in section 3.8 below.

3.5 Priority outcomes and activities

The four indicative priority outcomes for the NSSC identified from the possible outcomes in the NGO sector logic model are as follows:

- > more NGOs adopting standards of good governance and accountability in their day-to-day operations;
- > options of accessible domestic sources of funding exist in practice;
- > improved human resources and strong leadership; and
- > strong partnerships, trust and interdependency among NGOs at different levels.

An evidence-based, iterative process was used to develop potential outcomes for the facility, as described above in section 2, as well as to identify these priority outcomes and develop proposed activities. The process included dedicated consultations with the panel of NGOs advising on the design. It considered NGO, DFAT and other stakeholder priorities, NSSC time and budget constraints and political risks to DFAT. The four priority outcomes listed above were consistently rated as highest priority. Although the NSSC will need to re-endorse these priority outcomes at implementation, it is strongly recommended that these be included.

Under each of the four indicative priority outcomes this section describes:

- > the priority outcomes' linkages to the NGO Sector Goals;
- > relevant research findings³²;
- > indicative activities for achieving the priority outcomes; and
- > expected achievements at one year, three years and seven years of the facility.

At the design stage, the specific plans for how to implement each activity still remain to be developed. These will be developed according to the timeframes described in the implementation plan below in section 4.6. This is because the NSSC is a facility, which should inherently be flexible and responsive, and is one that should be NGO-led to the extent possible. For this reason the governance structures of the facility itself should first validate and approve the priorities, and the working groups of NGOs in each priority outcome area should develop the specific approach and plans to be pursued. It is expected that all activity plans reflect an enabling environment perspective include consideration of the political and stakeholder environment necessary to achieving the outcomes, rather than just or principally NGO organisational level factors.

3.5.1 Priority outcome: NGOs adopting standards of good governance and accountability

Work towards this outcome will contribute to the NGO Sector Goal of a more accountable NGO sector, and the trust and goodwill that it generates will in turn contribute to more sustainable NGOs and more equitable engagement with government and the private sector. Achieving this priority outcome requires the NGO sector itself to consolidate and mainstream governance and accountability standards, as well as establish mechanisms for enforcing these standards.

³¹ Given the initial commitment of three years for the NSSC with a four year extension, these organisations would initially only be contracted for the duration of the NSSC head contract. Contracts would need to reflect approved initial funding period and have a clause stating potential for four-year extension. Accordingly, outcomes / work plans would need to reflect the first three years.

³² More detail on which can be found in the NSSC research and design team's research reports submitted to DFAT in August 2015 and the original research data that will be handed over in September 2015.

Good governance standards, in which decisions in an organisation are made transparently and in accordance to the organisation's social mission, is closely related to accountability. Accountability entails not just financial accountability but also accountability to the public that the organisation claims to serve. By several different indicators, NGOs' accountability toward beneficiaries and the public was still uneven according to the survey of NGOs conducted for the NSSC design.³³ Almost all local and national NGOs reported having a mechanism or way to collect information on progress and outcomes, but only a third of local NGOs and less than half of national NGOs use the information to support their advocacy work and less than two-thirds use the information to improve organisations and to develop annual program planning. NGO personnel themselves identify lack of clear measurement to evaluate progress and impacts as a weakness. National NGOs shared their financial report and outcomes more often to the public than sub-national organisations. Of the NGOs that conducted audits, national NGOs were much more likely to report doing so for intrinsic rather than donor-driven reasons than the few sub-national NGOs that did so. Sub-national NGOs were much more likely to do so because donors required it.³⁴

It should be noted that the work towards achieving this priority outcome will lead to potentially several sets of standards and systems for enforcing them, owned and accepted by diverse types of NGOs that subscribe to them. It is not realistic to expect Indonesian NGOs to buy into one sole set of standards or entity to monitor and assess compliance. Although such a system has worked in other country contexts, for historical reasons the Indonesian NGO sector is particularly resistant to systems that appear to be top-down or have potential for one voice dominating decision-making.³⁵ This is true even for systems that are created within the NGO sector, without Gol involvement. In addition, standards and enforcement systems will need to take into account the different sizes, funder requirements and relationships to communities among NGOs at the district, provincial and national levels. As such, it is particularly important that a collective of diverse NGOs representing different types of organisations manage the implementation of activities aimed at contributing to this outcome. It should be noted as well based on experiences in Cambodia and with the International NGO Accountability Charter³⁶ that if these sets of standards are overly formal or onerous they will not succeed; they should be established and NGOs supported to adhere to them to the extent appropriate to the context of the NGOs involved. In addition a key aspect of any of the standards and integrating them into NGO sector practice should be 'downward accountability,' i.e. accountability and transparency to citizens.

Table 1 Indicative achievements for NGOs are adopting standards of good governance and accountability

| Indicative Achievements after One Year | Indicative Achievements after Three Years | Indicative Achievements after Seven Year |
|---|--|---|
| <ul style="list-style-type: none"> ▪ Several sets of standards drafted based on previous initiatives ▪ Relevant NGO working group has gotten broad based inputs to identify preferred enforcements mechanisms | <ul style="list-style-type: none"> ▪ NGOs agreement on the scope of standards for a diversity of NGOS ▪ Pilot standards trialled among diverse NGOs ▪ NGOS promoting use of standards among themselves ▪ Governance of standards is in place | <ul style="list-style-type: none"> ▪ Day to day use of standards result in NGOs that are more trusted by constituents and partners ▪ Donors / funders prioritising support for NGOs' meeting standards, for instance links to standards and concrete benefit (e.g. tax exemption, preferred service provider status from government and private sector) |

3.5.2 Priority outcome: accessible domestic sources of funding exist in practice

Works towards this outcome will contribute to achieving the NGO sector goal of having adequate, diversified funding. Achieving it will require changes in the funding environment that will yield financial benefit and diversified funding sources for NGOs. Changes could include:

33 Material describing research findings is drawn from a brief in the NSSC Research Series (Scanlon and Alawiyah, 2015).

34 Audits are not an ideal way to gauge transparency or accountability because they are expensive and they are unlikely to be appropriate for organisations operating on tiny budgets. However, hard data on different proxies for accountability is notoriously difficult to find. It should also be noted that legal status is not a workable indicator of accountability in the Indonesian context (see e.g. STATT, 2012; Scanlon and Alawiyah, 2015; and Aritonang, Yusran, Taufik, and Promedia, 2009.)

35 See Warren and Lloyd, 2009 for some context on civil society self-regulation globally

36 J.Clark, personal communication. 21 July 2015

- > practice changes by wealthy individuals, CSR units or government agencies;
- > policy changes in the tax code, government procurement or CSR regulations³⁷;
- > attitude changes on the part of the general public or target groups (high net worth individuals; CSR managers; politicians); and
- > increased shifts towards membership fees and other income generation activities by NGOs.

According to research, most revenue coming into NGO sector in Indonesia comes from international donor agencies or INGOs.³⁸ Should NGOs have other funding sources, they still rarely have a diverse range of them – NGOs reported a reliance on one source of funding for their activities. City / district NGOs that are located more remotely from major cities or urban areas in district or provincial capitals tend to rely mostly on self-financing activities, with around 45% stating that their own self-funded or earned-income activities were the most important funding source.³⁹ Few city / district NGOs report major funding from international donor agencies / INGOs (15%). This contrasts with NGOs located in provincial capitals, which rely primarily on international donors (around 45%) or national NGOs for their funding (around 15%). National NGOs are even more heavily skewed towards relying on international donor agencies / INGOs (70%) for their funding. Very few NGOs at any level report significant income from Indonesian local or national government sources or from the private sector.

Efforts to transition to more diverse and domestic sources of funding, even by prominent and visible national organisations, have had at best mixed results suggesting strongly that an expansion in the funding and funding options available, rather than primarily a change in fundraising tactics. (The latter will also be important; though not endorsed as its own priority outcome during the design phase it will need to be considered during implementation of activities that will help to diversify funding options. See section 3.7, on outcomes to reconsider upon starting implementation. It should also be noted that not every funding source is appropriate for every NGO and vice versa. Advocacy, environmental and good governance/election monitoring NGOs in particular must be careful about the funding relationships that they have in order to maintain credibility in their core work. This makes opening up several funding sources alternate to international donors important.

Achieving each of the potential changes listed above would require a different set of activities to the others. In order to decide which activities are going to be the most cost effective, the potential time, effort and political risk of pursuing each option should be assessed against the potential financial benefit to the NGO sector.⁴⁰ To do so requires a financial modelling that was beyond the scope of the design, and thus is the starting point activity under this priority outcome. The specific activities the NSSC will fund in pursuit of this outcome will be based on the results of the financial modelling.

Table 2 Indicative achievements for accessible domestic sources of funding exist in practice

| Indicative Achievements after One Year | Indicative Achievements after Three Years | Indicative Achievements after Seven Years |
|--|---|--|
| Starting point: Determine based on financial modelling which avenue out of several are the most cost effective to pursue | If practice changes: <ul style="list-style-type: none"> ▪ Alternative practices identified; and ▪ Initial meetings with relevant change targets | Change achieved and measurable increase in funds flowing from the targeted funding sources to NGOs |

37 Note that HCPI ends in 2016 and has done quite a lot with Bappenas, MoF and MoHA to address regulatory limitation for government funding to finance NGOs.

38 Material describing research findings is drawn from a brief in the NSSC Research Series (Davis, 2015). The research findings show that NGO budgets vary dramatically. Average budgets differ substantially for NGOs between the city/district (IDR 20 million or AU\$2,000), provincial (IDR 500 million or AU\$50,000) and national level (IDR 2.2 billion or AU\$220,000). The majority of NGOs in Indonesia manage relatively small budgets. A 2009 survey of 551 NGOs (mostly on Java) suggested that around 75% of Indonesian NGOs manage budgets of less than IDR 200 million (AU\$20,000) annually and almost 90% manage less than IDR 500 million (AU\$50,000).

39 In Indonesian, 'swadaya' or self-help or self-reliant activities. This included, but was not limited to selling merchandise, opening a coffee shop, renting space for meeting, etc.

40 See Rosser and Edwin, 2010 for a discussion on the politics of changing CSR regulations and practice in Indonesia.

| Indicative Achievements after One Year | Indicative Achievements after Three Years | Indicative Achievements after Seven Years |
|--|---|---|
| | <p>If policy changes:</p> <ul style="list-style-type: none"> ▪ Alternative policies drafted; and ▪ High level meetings with relevant institutions <p>If attitudes changes:</p> <ul style="list-style-type: none"> ▪ Strategic communications strategy developed; and ▪ Field tests showing measurable improvements in attitudes <p><i>*The approach may involve a combination of the above.</i></p> | |

Starting points for the financial modelling of alternative funding sources can be information gathered during the NSSC research and design process about the incentives of the private sector and government to fund NGOs. Further information can be found in the research series produced by the NSSC research and design team and submitted to DFAT in August 2015, as well as original data that will be handed over to DFAT in September 2015. The following box provides a summary of the incentives and barriers that two important potential funding sources have for providing funding to NGOs, according to interviews and focus groups with representatives from these sectors.

Private Sector Incentives:

- > Both NGOs and the private sector have similar community programs.
- > NGO personnel have specific expertise on civic engagement that could help reach communities in the area that might get affected by companies' operations. This include the ability of some NGOs to facilitate during conflicts between the business operations and communities
- > Personal relationships.
- > Trust established through documented track record of success by the NGO

Barriers

- > Lack of data or information on what NGOs are doing and how they are doing it
- > Misperception between NGOs and the private sector on the roles and functions of each sector and on the role, function and operations of CSR programming.
- > Lack of clear policies and regulations (including CSR, corporate philanthropy, and tax exemption for NGOs) that increase engagement and support from the private sector to NGO and provide conducive institutional philanthropic activities.
- > Lack of strategic mechanisms to engage with and raise fund/donations from the private sector (including lack of ways to acknowledge donors and private sector's contributions to NGOs).
- > Lack of trust engendered by differences between NGO and private sector values and norms
- > Private sector experience interacting with organisations that have been created for the purpose of getting project funding rather than because of the intention to do meaningful work in communities⁴¹
- > Lack of NGO transparency.

Government Incentives:

⁴¹ This phenomenon is well documented; see the discussion in the NSSC Research Series introductory brief (Scanlon and Alawiyah, 2015 as well as e.g. Ibrahim, 2006, Ibrahim, et al., 2009, or McCarthy and Kirana, 2006).

- > Common priorities
- > Personal relationships.
- > Trust established through documented track record of success by the NGO
- > The role of the third parties (e.g. donors; support organizations) in NGO-government relationships help increase support for funding from government
- > Willingness from government (e.g. through successful bureaucracy reforms) that provide entry-points for NGOs to receive government funding through consultancies or contracts for services. Examples are services provided by NGOs for legal aid funded by the Ministry of Law and Human Rights.

Barriers:

- > Regulations on government contracts and procurement process. Example is regulation to contract with for-profit organizations (using a legal entity called PT – *Perseroan Terbatas*) hinder some NGOs (not-for profit organizations) to access government funding.
- > Difficult procedures to access funding including reporting requirement, timing, and planning issues.
- > Turnover of government personnel create difficulties to NGOs and hinder the process to move forward since NGOs often has to start over and rebuild relationships with new personnel.
- > Lack of information and coordination
- > Government experience interacting with organisations that have been created for the purpose of getting project funding rather than because of the intention to do meaningful work in communities

3.5.3 Priority outcome: improved human resources and strong leadership

Work towards this outcome will contribute to the NGO Sector Goal of a well-governed, independent and accountable NGO sector. According to research⁴², across the board NGOs in Indonesia still face human resource management issues including high rate of staff turnover, centralized decision making, and ineffective or uneven leadership regeneration. While large and national NGOs employ professional, paid staff, provide trainings, mentoring, and capacity development, and create pathways for career development, smaller and NGOs at the district levels tend not to do these things even if funding or other resources would make it possible.

To achieve this outcome, the main activity will be initiating a leadership development hub. The hub will draw on resources and practices developed by a wide range of existing NGOs and support organisations, and *Maju Perempuan Indonesia untuk Penanggulangan Kemiskinan* (Empowering Indonesia Women for Poverty Reduction (MAMPU) attempts to foster leadership among women's rights organisations. The hub will provide referrals and access to information on existing practices rather than providing services that other programs or organisations already provide.

Table 3 Indicative achievements for more improved human resources and strong leadership

| Indicative Achievements after One Year | Indicative Achievements after Three Years | Indicative Achievements after Seven Years |
|---|--|---|
| Establishment of networks, identification of key actors, existing resources | <ul style="list-style-type: none"> ▪ Framework and trialling for leadership development hub ▪ Set of leadership values / civic virtues developed by diverse representative group, including regeneration strategies for sector | <ul style="list-style-type: none"> ▪ Fully functional independent, sustainable development centre (not funded by NSSC) ▪ Emergence of new leaders ▪ Public debate on values and leadership |

42 Material describing research findings is drawn from a brief in the NSSC Research Series (Alawiyah, 2015).

3.5.4 Priority outcome: strong partnerships, trust and interdependency

Work towards this outcome will contribute to achievement of the NGO sector goal of a well-governed, accountable NGO sector. Achieving this outcome requires strengthening vertical linkages among national and subnational NGOs as well as horizontal linkages among subnational NGOs. According to research, national NGOs tend to repetitively work with the same, relatively small set of subnational partners. Overall, there is a lack of opportunity for networking among subnational NGOs from different areas of Indonesia and many subnational NGOs work in relative isolation as a result. Moreover, the networks that do exist are heavily dependent on international donors or INGOs to exist at all.⁴³ Strengthened linkages will increase the mutual support and information sharing different NGOs are able to offer each other. In addition, it will strengthen the downward accountability of national NGOs that will have improved information and inputs from the grassroots work of the subnational NGOs to which they are linked.

In addition to facilitating informal and formal networks and funding intermediary functions, other support functions within the NGO sector also need strengthening. In a mature NGO sector these functions include capacity development and information sharing services, research and advocacy on behalf of civil society organisations, and linking different types of organisations within the NGO sector and with other sectors. Research shows that there are few NGOs providing these sorts of services in Indonesia, their reach is limited and they have the same financial dependence on donor agencies as other types of national NGOs.⁴⁴

Even more than for the other NSSC priority outcomes, achieving strong partnerships, trust and interdependency will require experimentation and piloting. As a result, it is recommended that activities are implemented through an 'innovation grants' model such as has been used to achieve interesting results recently in MAMPU.⁴⁵ In such a model, the process of selecting and developing the activities is a significant achievement in and of itself, with partners receiving grants and technical support to identify and plan innovative approaches to strengthening partnerships, trust and interdependency in the NGO sector.

There are several factors to consider in planning these activities. First, attempting to strengthen relationships among NGOs as an end in and of itself will not be effective; relationships in this context need a purpose. As such it is recommended that activities selected to achieve strengthened linkages among NGOs have dual purposes. One purpose should be to achieve another facility outcome captured in the NGO sector logic model guiding the NSSC. This might be one of the other three priority outcomes already identified in the NSSC design, or another that can be mapped to the NGO sector logic model. The other purpose of the activities will be to achieve that outcome *through* strengthened or new relationships among NGOs or strengthened support functions within the NGO sector. An important criterion for selecting activity implementing partners will be whether they have innovative ideas for fulfilling the latter function.

A second factor to consider in planning these activities is that there is a perception among subnational NGOs that national NGOs work from the top-down rather than the bottom-up.⁴⁶ According to this perception, national NGOs either ignore or reduplicate subnational efforts, or mandate activities that fail to align with local priorities or context. As such, the relevant working group proposing the approach for achieving this outcome should be representative of different types of NGOs. This will help ensure

43 Lassa and Li (2015) conducted a social network analysis for the NSSC research and design; their paper provides more detail on the status, weaknesses and vulnerabilities of Indonesia's NGO networks.

44 See Scanlon and Alawiyah, 2015; this has been well documented for Indonesia -- see also Synergos Institute, 2002; Ibrahim, 2006; STATT, 2012; USAID, 2012; Fitri et al. 2014. Management Systems International was supposed to conduct an updated review for USAID in 2014 and Konsil LSM conducted an updated Civil Society Index in April 2015 (as of August 2015 the report has not been shared publically but is expected to be released later in 2015).

45 AIFDR, the UNDP Multi-donor Strengthening Indonesia's Democratic Elections Program both had innovation funds mechanisms, though the quality of proposals submitted presented challenges. This adds weight to the approach of providing support to the organisations applying in developing their proposals. The Partnership Fund for HIV/AIDS also has an innovations grant mechanism but this has mostly been managed by district and provincial AIDS commissions rather than NGOs.

46 Notably, this is a challenge in branch-based organisations in which national umbrella secretariats work with local branches as well as for national NGOs that use independently established local partner organisations.

proposed activities represent diverse experiences. There will also be a need for strong facilitation in planning discussions from facilitators who are trusted by a broad range of NGOs.

A final factor to consider is that lack of funding is a main barrier to broader outreach and networking among NGOs, and a challenge for achieving adequate support and intermediary functions in the NGO sector. Sustainability planning as part of work planning for any of the activities undertaken to achieve this priority outcome is particularly critical early on.

Table 4 Indicative achievements for strong partnerships, trust and interdependency

| Indicative Achievements after One Year | Indicative Achievements after Three Years | Indicative Achievements after Seven Years |
|--|---|---|
| <ul style="list-style-type: none"> ▪ Proposals developed with support from NSSC ▪ Activities selected on basis of innovate proposals | <ul style="list-style-type: none"> ▪ Increase in local organisations that establish relationships with each other or with national or provincial organisations ▪ Collaborative campaign across all levels <p><i>Plus achievements as planned for the 'primary' function of the activity, related to other facility outcomes</i></p> | <ul style="list-style-type: none"> ▪ Emerging pattern of collaborative campaign by NGOs across all levels (local to national) ▪ Network efforts that require funding have identified alternative sources of funding |

3.6 Other key activities

Potentially linked to all of the NGO Sector Goals is **support to other DFAT programs and DFAT management**. This activity was a mandate for the facility from DFAT and was endorsed as a function by the NGO panel advising on the design. The overview and objectives of this support is outlined in the section above on the relationship of the NSSC to existing DFAT programs. Annex 1 provides further detail on how the support could be implemented under the NSSC. As mentioned above, findings from a review of existing DFAT programs was submitted to DFAT by the NSSC design team in August 2015. The paper contains a broad range of lessons relevant to DFAT programs working with NGOs, as well as a table of existing DFAT NGO partners.

The development of an **NGO database** is another key NSSC activity linked to all the NGO Sector Goals. One barrier for other stakeholders to connect and engage with NGOs, and for NGOs to connect with each other, is a lack of information about what organisations exist and what they do. The database will help reduce this barrier. A NGO database was identified as a popular and highly strategic tool by a wide range of stakeholders, including NGOs themselves, potential partners in government and the private sector, and DFAT managers and program personnel. Local government and CSR representatives reported that having access to such a database would be a useful tool for expanding their networks with NGOs working in areas of interest to them. In addition, the database can act as a platform through which NGOs show evidence of their governance and accountability practices; for instance, in linking with activities supported by the NSSC to mainstream accountability standards.

The database was identified as a 'fast track' activity for the NSSC to undertake. Data gathered through the 2012 NGO Sector Review is the most comprehensive existing dataset of Indonesian NGOs. Moreover, this database was developed with a view to it becoming an interactive online tool. As such a framework for the NSSC's database already exists. Data collected through the NSSC design process increased the amount of available data. DFAT has the 2012 data, and 2014 data will be handed over in September 2015. As such it is expected that by year 1 of the NSSC, the database will be fully up and running. By year 3:

- > various stakeholders will be actively using the database (including other DFAT programs);
- > the model for disseminating accurate and up-to-date information will be operating fully effectively; and
- > the long-term 'home' of the database will be determined and fully transitioned to a self-sustaining activity with identified alternative sources of funding.

The database can start with the data gathered during the NGO Sector Review and NSSC research and design processes. However, to keep the NSSC database relevant the NSSC will need to consider what sources of data should be moving forward and what mechanisms will be in place to screen and validate self-reported data. The database should include opportunities for organisations that are included to share their certifications and credentials. Thorough thought should be given to which such certifications and credentials might be relevant to recognize, and the standards of verification required for NGOs to report this information. In addition the database should not be limited to registered *yayasan* (foundations) or *perkumpulan* (associations)⁴⁷ but open to broader forms of civil society organisations according to self-definition. However, there should be a mechanism for screening out organisations that are organisations in name only, and are not active contributors to the community. This could be through a referee or nominee system, or through a process of submitting evidence of activities.

3.7 Outcomes to revisit

Other outcomes that should be given further consideration closer to the time of implementation are captured in the table below. These outcomes highlight the flexible nature of the NSSC and *could* become priorities depending on assessment of context and NGO sector priorities at the start of implementation. They also represent potential areas for scale-up depending on available resources.

Table 5 Outcomes to revisit

| Outcomes | Assessment |
|--|--|
| Legal barriers to conducive environment for NGOs are addressed | These were assessed by the design team as potentially risky for DFAT to fund and as difficult to see achievements in seven years. However, they were prioritised highly by the NGO panel. They will need special consideration approaching the time of implementation to weigh political risk as well as the context at the time regarding whether investments in these areas would be effective and appropriate. Analysis on the legal and policy environment in which NGOs operate that can help inform the work of the NSSC in this area, if it is to be pursued, can be found in sources such as the Research Series produced by the NSSC research and design team; in the International Center for Non-Profit Law's website (http://www.icnl.org/research/monitor/indonesia.html); and in sources that provide a score for the enabling environment for NGOs such as CIVICUS (2013 and 2015) and Fitri et al. 2014. |
| Regulatory reform that encourages government and private sector to engage meaningfully | |
| Government and private sector value input of NGOs and are open to engagement | These overlap substantively with work already happening in DFAT programs that work with NGOs. The NGO panel advising on the design recommended several potential ways that the NSSC could encourage better NGO-private sector collaboration: Building further on research done in 2012 and 2014, assess and map out the social roles of the private sector including mapping relevant regulations and identifying specific points of potential interaction; <ul style="list-style-type: none"> ▪ Support dialogue through forums and meetings that are important to increase a common understanding and trust between the two sectors; ▪ Support companies to comply with international and national rules and standards to operate. This includes to ensure the private sector are socially and environmentally responsible and protect human and community rights. ▪ Support improvement in regulation related to CSR rules and policies and corporate philanthropy including mapping this regulation and how that impacts NGO sector funding. |
| Advocacy and pressure that encourages government and private sector to engage meaningfully | |
| NGOs have trusted systems for funds donation and receipt management | This was not ranked highly by either the design team or the NGO panel. While there are no overlapping donor efforts (other than to some extent the BAPPENAS DTF – see section 1), these are developing somewhat within the sector on their own and will likely continue to do so as a corollary of efforts to expand funding sources, NGO sector accountability and support functions. As such this area of work likely does not need targeted funding from the NSSC. However, this should be re-assessed in context closer to the time of implementation. |

47 These are the two forms of legal identify for non-state, non-profit organisations in Indonesia. Registration under the 2013 Law on Mass Organisations (*UU Ormas*) is required, but the law does yet not have clear implementation regulations or regulations on a district-level registration process. Ten articles of the law including that on registration have been deemed unconstitutional and voided by the Constitutional Court ruling. See 'MK Kurangi Peran Negara Terhadap Ormas', 2014 for detail.

| Outcomes | Assessment |
|---|---|
| NGOs actively try different approaches to diversify funding | This was identified as a priority by the design team in part because of its potential for 'quick wins'. However, the NGO panel was not enthusiastic. Functionally speaking, NGOs will have to try different approaches in order to access the new sources of funding being opened up so activities related to this outcome likely do not need a separate funding stream. If this activity were to be pursued, the activity indicated is the identification and mainstreaming of existing funding mobilisation good practices within Indonesia's NGO sector and in comparative country contexts. Another way to approach it might be making it a category in an innovation fund. This would guarantee some attention is paid to exploring new funding sources and creative ideas can be tested in a small scale way with minimal risk. |

3.8 Approach to activity implementation

The NSSC's engagement principles (see part 3.2 above) include sustainability and building on existing, local resources. These principles will be critical to the process of selecting appropriate implementation arrangements for NSSC activities, illustrated below in Figure 3. The process illustrated is similar to a checklist for recipient executed grants under the World Bank. In addition, DFAT's *Australia–Indonesia Facility for Disaster Reduction (AIFDR)* had a similar process at a broader level; that is, identify partners whose objectives coincide with the facility outcomes, and where capacity does not exist, build capacity to help them implement.

The NSSC core leadership team will choose between three mechanisms when determining implementation arrangements for any given activity:

- > direct implementation by the NSSC;
- > direct implementation by a local institution (usually a NGO or network) that meets the pre-established capacity standards required⁴⁸; and
- > direct implementation by a local institution with capacity development or technical assistance from the NSSC.

Selection will be based on best fit to context and activity, rather than to achieve any particular ratio of potential arrangements. The working group will firstly determine whether an activity needs to be sustained beyond the life of the NSSC. If not, it can be implemented directly by NSSC core personnel. However, if the activity is to be sustained beyond the life of the NSSC, the implementing partner should be a local institution.

Activity implementing partners will be selected based on their experience conducting such activities and capacity to implement the activity to the required standards. If existing organisations do not have the appropriate experience, selection should be from among organisation for which the activity aligns with their orientation and mission. NSSC funding should not be used to convince NGOs to undertake activities that would distract them from their own, existing missions. At the same time, in keeping with the NSSC engagement principle of doing evidence-based programming, attention should be paid by the working group and in selection of partners that implementing partners are actually relying on evidence-based good practices, or innovative ideas supported by good research. Partners should not repeat what they have always done if the latter is not backed up in some way to show it is the most effective option available. MAMPU is one program that can serve as a model for working with partners to push for evidence-based innovative program designs.

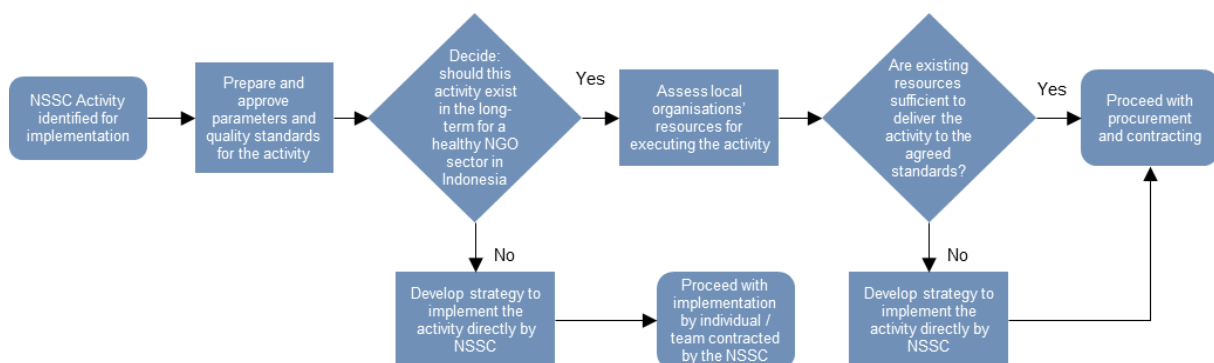
To minimize the potential negative impact on collaboration and cooperation among NGOs, the NSSC should attempt to use practices like the following, recommended by the NGO panel advising on the design:

⁴⁸ In all cases, it is recommended that organisations partnered with the NSSC participate in peer learning exercises about their experience. This can also serve as a space for activity monitoring and identification of achievements. This reflects lessons learned on MAMPU, in which all partners have benefited from a degree of support and injection of new ideas (B. Elson, personal communication. 10 July 2015)

- > Inform NGOs widely about the bidding process to ensure all NGOs have an equal access to the selection process and opportunity to submit a proposal, to ensure the selection process is as transparent as possible.
- > Attempt to broaden network to non-traditional NGO partners – there is a tendency that DFAT more engaged with ‘usual suspect’ NGO partners in each region.
- > Provide necessary technical assistance to support NGOs to comply with donor requirement (e.g. administrative process, types of projects and grant proposals).
- > Utilise current research or conduct a baseline study to assess local NGO’s capacity to deliver and execute programs based on regional levels and issues.
- > Where appropriate, request and support national NGOs who win the selection process to engage or work with local NGO partners.
- > Allow for consortium of partners to submit proposals (this was worked effectively under MAMPU).

If existing organisations do not meet the capacity standards, NSSC will provide capacity development required for the organisation to pursue the relevant NSSC outcome. In line with good practices for building sustainability, capacity standards should be weighted to emphasise an organisation’s ability to work effectively with other relevant stakeholders and to navigate the policy and political environment relevant to the activity.⁴⁹ It should not focus solely on internal processes and management capacity. Based on experience from programs in which NGO partners have taken the lead on designing their own approaches, rather than being contracted for specific tasks identified by the program, the NSSC should be prepared to support potential partners’ development of proposals and activity design as part of the process of activity implementation.⁵⁰

Figure 3 Implementation planning and partner selection



Procurement arrangements for contracting the relevant institutions will proceed on the basis of the above selection process, in line with relevant DFAT and implementing partner policies. In addition to any necessary technical capacity development support, all approaches will be accompanied by sustainability planning to ensure that the impacts from the investment outlast the funds themselves.

Role of International NGOs in Activity Implementation

The role of international NGOs (INGOs) had special consideration by the design team and NGO panel. Using the definition from the 2012 NGO Sector Review, INGOs report to and receive financial support from headquarters based outside Indonesia though operate here in a range of capacities in relation to Indonesian NGOs. Certain strategic INGOs, in particular The Asia Foundation and Hivos (a prominent Netherlands-based international NGO), have special knowledge of the Indonesian context, their own extensive networks and strategic relationships and a strong track record in service delivery and advocacy. However, the NSSC aims to build the sustainability and independence of Indonesian NGOs. As such the focus should be on them rather than institutions with access to international funding and support. INGOs should be involved in the

49 USAID, 2013.

50 In particular MAMPU, PNPM Peduli, AIFDR, and the UNDP Multi-donor Strengthening Indonesia’s Democratic Governance Program. The latter two had disappointing experiences with the proposals received when an innovations grants window was opened up.

implementation of the facility as a special resource, rather than implementation of any of the primary functions in governing or implementing facility activities. According to the NGO panel advising on the design appropriate roles for INGOs as 'friends' of the Indonesian NGO sector are to:

- work with donor agencies in Indonesia so that donor funded programs are implemented according to the vision for the NGO sector;
- bridge NGOs and relevant GoI ministries;
- open channels and linkages for Indonesian NGOs with the international stage.

This approach is supported by international trends and thinking on the role of INGOs in relation to home grown NGO sectors.⁵¹

3.9 Lessons

As described in part 2 above, significant reviews of other development programs were undertaken as part of the development of the NSSC design. Annex 4 provides a summary of all of the programs reviewed. Lessons identified from the program reviews have been reflected throughout the design on an iterative basis.⁵² The researchers conducting them were integrally involved in drafting the design. Additionally, several contributors to the design brought prior knowledge and information on lessons learned from their work on other programs. The design was particularly influenced by lessons from several DFAT Indonesia programs with significant elements of NGO engagement: *Australian Community Development and Civil Society Strengthening Scheme (ACCESS)*, AIFDR, the *Australia-Indonesia Partnership for Justice (AIPJ)*, *HIV Cooperation Program for Indonesia (HCPI)*, *Knowledge Sector Initiative (KSI)*, MAMPU, and Reform the Reformers.

This section highlights lessons from other programs that are relevant to the overall approach of the NSSC. Given that the NSSC's approach to working with NGOs as a sector is innovative, there are very few models for the NSSC overall as a NGO sector support facility.⁵³ An exception is KSI, lessons from which are discussed below. The design also builds on recent trends and good practices for donors in supporting civil society globally, in particular:

- > Attention to local systems and relationships among local actors.⁵⁴ UK Department for International Development (DFID) has been encouraging NGOs to analyse theories of change rooted in political economy analysis, stressing that social and political change requires a comprehensive mapping of stakeholders and a long-term plan on how to influence them. USAID globally is emphasising the need for local solutions to development challenges.
- > Attention to the complexity of factors that contribute to strong NGO sectors, such as The World Alliance for Citizen Participation's (CIVICUS) Enabling Environment Index, a system for ranking countries based on governance, sociocultural and socioeconomic environments.
- > Other good practices identified in research for donors in building sustainability and capacity of civil society⁵⁵:
 - build on what is already there;
 - take time to build trust and long-standing relationships;

51 Cooper, 2012; FSG, 2013; The International Civil Society Centre, 2013; Jayawickrama, 2010; Jayawickrama and McCullagh, 2009; Kavazanjian and Jayawickrama, 2010; Roche and Hewett, 2014; Slim, 2013; Smedley, 2014; TRoCAIRE, 2011.

52 In addition there are dozens of lessons gathered during the design development process that should inform operational aspects of the NSSC. Detailed analysis of these lessons will be available in a separate research deliverable that will be submitted to DFAT in August 2015.

53 Immediately following the fall of Suharto, several donor initiatives in Indonesia had a broad focus but at that stage were concerned with supporting nascent NGOs around basic organisational management and capacity building, including The German Federal Ministry for Economic Cooperation and Development's Support for Good Governance (SfGG, 2000–2009) and Japan International Cooperation Agency's Community Empowerment Program (CEP, started in 1999), primarily aimed to improve service delivery and public sector accountability. SfGG partnered with the GoI Ministry of Administrative Reform (KemPAN) while CEP worked with BAPPENAS, Sekretariat Negara Republik Indonesia (Ministry of State Secretariat of The Republic of Indonesia), and local governments in eastern Indonesia. One of the only initial programs to address civil society advocacy for political reform was USAID's Civil Society Strengthening Program (CSSP, 1999–2004), but again CSSP devoted most of its time to training new NGOs on financial and grants management..

54 USAID, 2013.

55 Study done by the Oxford-based International NGO Training and Research Centre (Lewis, Boateng, and Hayman, 2015)

- adopt a long term vision of what will be left behind;
- provide funding for institutional capacity development; and
- facilitate partnership among civil society and between donors.

In addition, the NSSC will take on board relevant lessons from DFAT and comparative programs regarding organisational capacity development for the NSSC's activity implementation partners including the following:

- > Adapt tools to the local context. Tools available for Indonesia include the Organisational Capacity Performance Assessment Tool methodology developed by YAPPIKA and used by MAMPU and the civil society index used by ACCESS.
- > Make use of peer learning. This lesson was identified by the global NGO support organisation INTRAC and there are emerging examples of encouraging peer learning among partners in programs such as KSI, MAMPU, AIPJ, and DFID's Accountability in Tanzania program.⁵⁶
- > Adapt approaches to ensure that capacity development is appropriate and useful to the NGO involved. In particular, small, local CSOs with limited staff and informal organisational management structures cannot fully absorb technical assistance tied to institutional capacity building unless it is specifically adapted to their institutional context. This was a lesson highlighted by USAID's Kosovo Civil Society Strengthening program.
- > Diverse institutions should be used to implement capacity building activities rather than one sole provider. Negative reactions to the selection of one peer institution as a capacity development provider are a recognised challenge in the Indonesian NGO sector as well as in other countries. Similar to MAMPU, the NSSC will conduct regular assessments of individual partner NGOs who then enact and carry out individual capacity development plans, including identifying their own preferred providers. This will occur as part of the approach described above in which partners suitable to carry out priority activities are selected according to pre-determined capacity standards.

Finally, experience from KSI has suggested specific approaches that the NSSC should consider during implementation. KSI is taking an approach very similar to that of NSSC by working to strengthen the 'knowledge sector' made up of institutions involved in supplying and demanding evidence-based policies, and is one of the only such models available for the NSSC.

- > Focus on addressing the enabling environment and longer-term constraints to building an effective NGO sector through emphasis on regulatory, policy and analytical actions. At the core of the NSSC's approach is a focus on the priority goals of the NGO sector for improving the enabling environment.
- > Be clear on how the range of activities that the facility is carrying out fit together and how they link to the facility's priority outcomes. As described above, the NSSC will set clear priority outcomes mapped to the NGO sector logic model and NGO Sector Goals. It will also select strategies and activities based on evidence of what will help to achieve those outcomes. A central function of the NGO Advisory Panel and the NSSC core leadership team will be to ensure that coherence is maintained across the NSSC portfolio.
- > Treat grants to any given activity implementation partner as part of the overall NSSC investment rather than as an end in itself. While core funding and funds for capacity development should be built into the grants made to activity implementing partners, capacity development or the financial sustainability of the individual NGOs will not be the central purpose of the grants. Core funding will be provided as a form of management fee which the organisation can use to support core organisational operations necessary for it to carry out activities. Capacity development will be provided as required to achieve the goals of the NSSC-supported activities and to ensure outcomes are sustained beyond the life of the NSSC grant.

⁵⁶ Ibid.

- > Rely on a team with senior Indonesian staff with strong existing networks and an understanding of the dynamics and political economy of the NGO sector. This is reflected in the section on staffing below.

4 Investment Delivery

This section describes the delivery approach and resourcing assumptions for the investment including management and governance structures as well as core personnel and roles for DFAT in implementation. Finally it outlines an initial implementation plan.

4.1 Delivery approach

An open request for tender is the preferred option for identifying DFAT's implementing partner for the facility. This could result in a Managing Contractor, International NGO, possibly an Indonesian NGO, or a consortium of different types of institutions managing the investment. Of the options available, an open tender process provides the best balance of acceptability of the implementing partner to NGO partners, market competitiveness, DFAT retaining a say in the facility's strategic approach, likelihood of neutrality of the implementing partner and transparency of the selection process.

Through an open tender there is a strong possibility of a for-profit entity winning the contract, which is a concern to many NGO representatives who would prefer a non-profit entity implement the NSSC. However, based on experiences in other programs provided individual personnel involved can build trust and goodwill, activities can proceed effectively and based on the principles of the NSSC. (See part 4.3 below for personnel specifications.) Moreover, there is no limit on the selection criteria that can be included in a Request for Tender. This can help ensure the process and final selection is as palatable as possible to a broad range of stakeholders.⁵⁷ For the NSSC to be successful, whichever institution or institutions are responsible for delivery will need to be able to provide space for NGOs to take a primary role in determining the NSSC's priorities and activities, rather than doing it for them in line with the NSSC's engagement principles outlined in section 3.2. Indicative criteria that emerged from the research and consultations were:

- > Proposed structure and budget should reflect high amounts of ownership of the NGO sector in the NSSC, as is clear in other parts of the NSSC design, and how this will be balanced with operational pressures.
- > Proposals should clearly outline the rationale for the choice to use or not use a consortium to manage the NSSC, and the ability of any NGO members of a consortia to make up for any potential lost grant funding that might otherwise be available to them as an implementing partner for specific activities (rather than as a contractor managing the facility overall).
- > Proposals should clearly indicate how the institution itself subscribes to the engagement principles of the NSSC, and provide supporting documentation from relevant operating policies.
- > Proposals should describe the institutions and named personnel's critical knowledge of Indonesia's NGO sector, and their existing networks with Indonesian NGOs. It should also describe the approach they will use to expand beyond those existing networks and ensure broad representation of diverse types of NGOs in the NSSC.
- > Proposals should clearly outline how implementation of the NSSC will build on previous work including the 2012 NGO Sector Review and the research and consultations carried out during the 2014–2015 NSSC design process.

4.1.1 Other options considered

Several other options were considered and rejected:

⁵⁷ Though this would need delegate approval and would be hard to get approved, something else worth considering is having some pre-payment of the contract value. (Procurement processes usually lead to contracts that are paid on reimbursable costs only, but approval for pre-payment might be possible with a strong value for money argument.) This at least in theory would open the field to some national NGOs if they want to pursue the contract.

- > Grants for delivery of the NSSC could be awarded via a competitive request for proposals (RFP). These grants are typically pre-paid, and there is no formal limit on the amount that can be granted or to the type of organisation that can win them. However, they are intended to support organisations to achieve their own goals and in practice usually go to national or international NGOs. Guaranteeing the grant for implementation of the NSSC to such an institution, rather than opening the field up to managing contractors, creates a risk of having an implementing partner that will not be perceived as neutral by other NGOs. They may be perceived to be biased towards their own longstanding existing networks or as being directly involved with the often complicated politics of the NGO sector. Moreover any investment over \$500,000 requires special approval to be handled outside a procurement process. With a direct, non-competitive grant, the benefits of a competitive, transparent process are lost.
- > Approval for a closed RFP is difficult to obtain. In any case, such a process is by definition less transparent than an open RFP, which risks damaging potential trust between NGOs and the selected implementing partner.
- > Given the primary focus on NGOs and the NGO sector, and the engagement principle emphasising ownership by NGOs, it is not envisaged that activities will be implemented through Gol systems. However, the Gol will have high-level approval power for the facility's budget and work plans, and representatives of national and subnational bodies will be involved in setting strategy for the facility. (See part 4.3 on governance.)
- > Use of the Aid Advisory Services standing offer panels limits bids to a restricted number of institutions and therefore has the same issues as a closed RFP.

4.2 Resources

As of June 2015, the NSSC is expected to be funded at the level of AU\$10 million over three years, with an extension at similar funding levels for four additional years. While a detailed budget will be prepared by the contractor in the bidding process and again during contracting, indicative expenditure over the three years and major spending categories of the facility appear in Table 6. All figures are listed in Australian Dollars (AUD).

Table 6 Indicative budget breakdown, years 1–3

| | Year 1 | Year 2 | Year 3 | TOTAL |
|--|------------------|------------------|------------------|-------------------|
| Core personnel (other than MEL) | 765,000 | 652,200 | 652,200 | 2,069,400 |
| MEL (including personnel) | 232,705 | 271,011 | 496,284 | 1,000,000 |
| Operations and governance, management fee, and contingency | 393,015 | 525,371 | 1,299,632 | 2,218,018 |
| Programming | 528,595 | 962,194 | 2,821,793 | 4,312,582 |
| DFAT costs | 50,000 | 100,000 | 250,000 | 400,000 |
| TOTAL | 1,969,314 | 2,510,777 | 5,519,909 | 10,000,000 |
| Percentage of total | 20% | 25% | 55% | |

There are several salient points to note about the indicative budget breakdown included above:

- > In line with the change timeframe described below for the seven years of the facility, spending would start relatively low and increase over time. The relatively high core personnel costs in year 1 reflect the need for specialists to develop strategies for the NSSC in the early period of implementation.
- > It is proposed that 10% of the total be allocated to MEL, in line with a rule of thumb on similar programs with a strong learning and evidence-based approach.
- > Included in the programming line is a 'flexible fund' of around 25% of the whole programming budget, reflecting the facility nature of the investment and the draft investment criteria for the facility

described above in the design. This fund can be used for responding to emergent priorities and opportunities and aligns with lessons from DFAT programs including KSI that would have benefitted from the flexibility to increase the resources available to certain activity areas as needed or to respond to emergent priorities.⁵⁸

- > Also included in the programming line are funds for support to other DFAT programs as outlined in section 1.1 and Annex 1 (Personnel for this work is included in the core personnel estimates). The effectiveness of the NSSC's role in providing cross-sectoral support will depend on the availability of resources for activities such as workshops and the production and dissemination of materials.
- > DFAT costs include an independent completion report and funds for DFAT personnel to participate in field monitoring, workshops, events, etc.
- > An estimated management fee of 15% was included as a placeholder based on advice from the DFAT procurement unit. This is not meant to be prescriptive or to reflect real management fees on any one existing program.

4.3 Governance

This section describes the governance arrangements proposed for the NSSC. The NSSC will be governed by the existing DFAT agreement with the GoI on development cooperation, and as such a GoI counterpart will need to be identified. The NSSC will establish a Multi-stakeholder Technical Committee (MTC) that approves and submits work plans to the GoI counterpart. It will also have an NGO Advisory Panel that will develop the substance of those plans and provide ongoing advice to the NSSC implementation team. These proposed governance arrangements were developed in consultation with several sets of stakeholders including the NGO panel advising on the design. Essential aims of the governance structure is to ensure as high a level of NGO ownership of the NSSC as possible while taking active consideration of the perspectives of other key stakeholders. Without such ownership, the facility will not achieve its goals and sustainability of its impacts will not be possible.

4.3.1 GoI counterpart

An appropriate GoI entity needs to be identified and brought on-board as the formal counterpart for high-level NSSC sign-off. The Ministry for Development Planning (BAPPENAS), Ministry of Home Affairs (*Kemendagri*), and the President's Office all have relative merits for this purpose. More in-depth analysis of these options and other stakeholders appear in Annex 9. Given the timing of the design and the likely change in context prior to implementation, the counterpart should be clarified upon preparations for approaching the market to tender.

Experience from other programs suggests that in order for the implementation of activities to proceed without undue delays, it is important to select the government counterpart at the directorate level and to have agreement upfront on operating procedures and decision-making authority. This is a critical step that will require focused attention from DFAT at inception and throughout in order to achieve an appropriate, strategic-level positioning of the GoI counterpart with regards to governance and implementation of the facility.

In addition to its formal yearly sign off, it is hoped that the GoI counterpart will provide the following functions to assist with the implementation, progress and monitoring of the facility:

- > co-chairing the Technical Committee (see below);
- > overall coordination of government stakeholders' participation in the Technical Committee and its activities, to help prevent fragmentation in terms of position and approaches;
- > disseminating relevant information about the NSSC to all relevant line ministries and agencies;
- > facilitating engagement with other national and subnational GoI agencies that are relevant to the NSSC's activities; and

⁵⁸ ACCESS had an innovative fund mechanism of approximately 15% of grants. Several projects, like AILDF (AIPJ's predecessor) had rapid response funds that could be used to support small grants to NGOs on innovative issues.

- > supporting sustainability planning for key activities and functions when relevant funding might come from agency budgets or from parliamentary allocations.

Wherever applicable, a counterpart for partnership at the subnational level will be identified with possible subnational counterparts including the Governor's Office, the Provincial Parliament, and the Planning Agency. The counterpart would be part of the program management structure. This is only applicable in provinces or regional centres where the NSSC may establish a footprint or a presence to accelerate support to the NGO sector in particular provinces. The program management structures at the subnational level will mirror the structures established at the national level with the two key entities being provincial/subnational MTCs and NGO advisory panels.

However, the partnership at the subnational level should be more selective with a proper vetting process to ensure the local government is transparent and accountable in the partnership process. The vetting should be completed collectively in a manner that is transparent and accountable, such as through an NGO collective decision-making process to select formal representatives in the subnational committee.

To support stronger impact and effective partnership, the approach to governance should move beyond simply the formal counterpart arrangements and engagement with the traditional government entities for partnership. The MTC especially should remain open to engaging other agencies such as the President's Office, Ministry of Home Affairs, the Parliament and other government stakeholders as working partners of the NSSC. This is to ensure the NSSC's effective collaboration with the government at all levels with both the executive and the legislative branches.

4.3.2 Multi-stakeholder technical committee

Along with a NGO Advisory Panel, described below, the MTC will be the main governance structures of the NSSC.⁵⁹ The MTC will propose the strategic direction of the NSSC to the GoI counterpart. Its role will be to affirm the priorities and decisions on activities as prepared by the NGO Advisory panel. It will also advocate on policy issues as relevant. The NGO Advisory Panel will consist of representatives from the GoI, including the counterpart agency but potentially other government stakeholders, a DFAT representative, NGO representatives, and potentially private sector representatives down the line. It will be Co-Chaired by a representative of the GoI counterpart and an NGO representative.

The MTC will meet on a six-monthly basis but can be convened for additional ad-hoc sittings by the Co-Chairs if deemed necessary. Members are expected to contribute in other ways depending on their areas of interest, access and expertise. However this will be on a more informal basis.

The MTC and Advisory Panel should consider reaching out to the private sector. In due course, this may culminate in the addition of a private sector representative as a member of the MTC. Such an addition would be within the decision-making power of the MTC itself. This involvement of a wide range of government agencies and private sector entities is not included as part of the fixed governance structure. The approach to these actors should be iterative, taking advantage of opportunities to collaborate as they emerge, and allowing for a greater formalisation of engagement if and when durable relationships are established.

4.3.3 NGO advisory panel

The Advisory Panel will be a more informal panel that advises the MTC and the NSSC core leadership team. It will consist of national / support NGOs as well as sub-national NGOs. The Advisory Panel will propose strategic decisions to the MTC and have the ability to provide substantive inputs and advice. Three members will sit on the MTC and represent the advisory panel in presenting recommendations on the strategic direction of the facility.

⁵⁹ This multi-layered structure is relatively complex for a facility of \$10 million over three years; however, it allows for balancing ownership and a deeper involvement in activities by the NGO sector with a priority for having multi-stakeholder decision making as well.

The Advisory Panel is a platform for practically testing the principles for implementation. The strategic dialogue would require NGO members to work together across different organisation types, issue areas, and geographical locations in prioritising issues and preparing a collective platform for presentation to DFAT. This will help create networks for NGOs across sectors and between national and local level NGOs, which is part of developing a well-governed and accountable NGO sector. The Advisory Panel will also put into practice and test ethics and standards for accountability.

The panel will be assembled through a manner that builds on and learns from the approach to forming and working with the panel advising on the design. Given the risk of loss of momentum and 'reinventing the wheel' after the NSSC design work finishes, it is recommended that the NSSC use the same advisory panel from the design process for the initial stages of NSSC implementation. This is indicated in the proposed implementation plan below. Once a new panel is formed, processes used to form the NGO panel advising on the NSSC design can be applied for the NSSC Advisory Panel as these successfully created a diverse and dynamic panel (See footnote 16.) Members of the panel will need to subscribe to the NSSC's engagement principles and be willing to apply the investment criteria.

Based on MAMPU's experience with a 'partners forum,' there is a need for clear rules and processes for both online and offline (in person) communications among members, including the need for steering committees to plan meetings. Facilitators who are not NSSC personnel, are trusted and approved by members of the Advisory Panel, and are familiar with Indonesian NGO sector dynamics should be used for substantive discussions. During the NSSC design, one member of the design team was responsible for communicating with NGO stakeholders and panel members, and moderating the email listserv established for communications with and among panel members. The NSSC design and the MAMPU experience also shows that NGO representation on the panel should be one senior level individual from an organisation and an alternative senior level individual.

Finally, it is important that membership in the Advisory Panel is not linked to receiving a grant from the NSSC. A risk for the Advisory Panel is the potential for conflict of interest, given the role of members in setting strategic direction, establishing priorities, and identifying relevant NGOs to be involved in the activities supported by the facility. As a result, specific ground rules to prevent conflict of interest will need to be established and agreed in more detail once the panel is established. Membership during the design process was strictly voluntary, with only expenses for attending meetings covered, but the members were dedicated and participation highly dynamic.

4.4 Core personnel

Individuals directly contracted as personnel to the NSSC should include the core leadership team, specialists, senior programming personnel and support staff.⁶⁰ Though it is likely recruitment will be open to international applicants for the most senior positions, to ensure a quality, competitive pool and build on local resources priority should be placed on filling posts with Indonesian nationals whenever possible. Regardless of origin, any technical personnel would be expected to have a nuanced understanding of the Indonesian context and ability to function in the Indonesian language and culture. They should also understand the Indonesian NGO sector as well as other relevant stakeholders and critically apply that knowledge in the day to day functions of their work. All staff should be actively committed to ensuring the NGO ownership and leadership of the NSSC. They need to be convenors, facilitators and brokers to have legitimacy with partners.⁶¹ Finally, they need to be willing to contribute to local policy debates without dominating. Meanwhile, the team will need to possess an understanding of Australian Commonwealth procurement guidelines and DFAT management practices in order to manage the NSSC according to DFAT funding requirements.

60 One option discussed during the design process was to second staff with relevant skill sets from NGOs to the facility based on memoranda of understanding between the implementing agency and the NGO; the benefits of this option for leadership development and networking would be need to be assessed against the potential risks and harms of taking staff out of the NGOs for extended periods of time. It should be noted that the activity implementation managed first by working groups and then by a range of NGO partners with contracts to carry out the work also give an opportunity for substantive involvement in the work of the facility, likely in a way that is more meaningful than having staff seconded to the team contracted to the implementing partner.

61 See USAID, 2013.

Under resourcing assumptions as of June 2015, the NSSC core leadership team is expected to consist of the following roles:

- > Team Leader responsible for overall management of the NSSC in line with the strategic direction set by the Technical Committee;
- > Senior Program Coordinator responsible for stakeholder engagement, in particular with NGOs and the NGO Advisory Panel and providing oversight to the DFAT liaison officer and the communications officer; and for overall management and quality control of core activities; and
- > Operations Manager responsible for back-end support of operations for the whole NSSC and all activities; provides oversight on hiring personnel, procurement and contracting of implementing partners, overall finance and administration, and office support staff.

If additional funds indicated the need for more specialisation among the leadership, the Senior Program Officer role could be split into two roles: a Senior Engagement Officer responsible for stakeholder engagement, in particular with NGOs and the NGO Advisory Panel and providing oversight to the DFAT liaison officer and the communications officer; and a Senior Program Officer responsible for overall management and quality control of core activities.

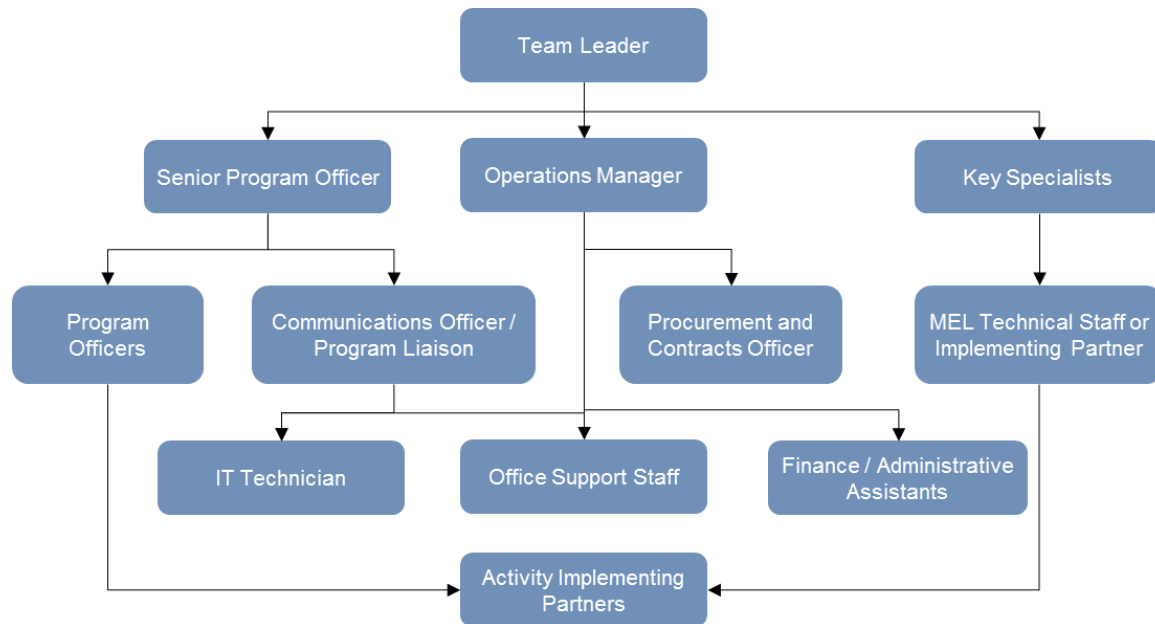
Other personnel involved for the life of the facility are expected to include the following positions with additional personnel and partners contracted as needed according to activities and their implementation mechanism (See section 3.8).

- > Gender and inclusion specialist(s), governance specialist, private sector engagement specialist, innovative technologies⁶² specialist: short-term intensive input to develop strategies and ongoing advisory services as appropriate.
- > Communications officer / program liaison: communications, coordination with DFAT and other donor programs, and coordinate work on the database. This role can be split into two if the size of the budget allows.
- > Procurement and contracts officer: must have experience in NGO-focused programs and understand the unique challenges and approaches to contracting with NGOs, including at a subnational level.
- > MEL specialist: depending on the preferred approach for implementing MEL, this individual may need to have a specialisation in organisational MEL capacity development.
- > Potentially two MEL technical staff and a management and information system technician. However, technical MEL activities may be carried out by a local institution rather than personnel directly contracted to the facility; see above regarding activity implementation.
- > Two to three program officers with event coordination experience. If additional funds indicate, there may be additional program officers added. Similar with the staffing structure on other DFAT programs with significant NGO engagement, these officers will support and liaise with activity implementing partners, rather than directly implement activities themselves.

An indicative team organisational chart is in Figure 4. Indicative position descriptions for several of these roles are included in Annex 8.

⁶² Although the impact of technology and social media on NGOs and activism is important (see STATT, 2012 for more discussions and additional sources) this did not emerge as a priority for the NSSC's attention in the extensive field research and consultations conducted in preparation of this design. Given how fundamental the use of such media is to contemporary activism and organisational management, a specialist on this specific issue will help the NSSC and partners to more consciously and effectively mainstream its use in activities.

Figure 4 Indicative organisational chart



The above chart reflects significant lessons from MAMPU on team structure. An important aspect of making the team structure work effectively for supporting activity implementing partners will be to have program officers serve as the team's main focal point for contact of partners. This means both ensuring that the program officers have a clear portfolio of partners with which they will work, for which they are responsible for regular communications, being up to date on their progress and other activities, and whom other members of the team should keep in the loop for any communications. It is worth noting that the MAMPU team considers maintaining clear internal communications about partners to be a significant challenge; attention to this should be paid at all levels from the Team Leader on down and it should be built explicitly into the team's knowledge management system. (See section 5.2 below.) The Program Officer roles in particular will require the right personality and skill set for engaging with Indonesian NGOs, with a knowledge and background in the NGO sector, an ability to deal with a wide range of personalities, curiosity to ask questions and challenge assumptions, and interest in interacting with local sub-partners as well as national level partners.⁶³

4.5 DFAT roles

The unit and personnel within DFAT who will lead DFAT's engagement with the NSSC is still to be determined internally at DFAT as of submission of this design. DFAT will have to approve budgets, work plans, relevant strategies and regular reports for the NSSC in line with internal policies, the contract negotiated with the implementing partner and the agreement with the GoI counterpart for the NSSC. In addition, it is expected that the unit and relevant personnel would work closely with the NSSC's implementing partner to monitor priority setting, selection of strategies and implementation of activities. DFAT staff would likely travel to the field to observe program activities, participate in international and national conferences, workshops and other fora. Where appropriate, DFAT staff will participate in program reviews and other MEL processes. The costs of this participation have been included in the indicative NSSC budget.

Contractually and according to the NSSC design, the NSSC implementing partner will work closely with other DFAT programs. DFAT personnel can assist this process by building linkages with other DFAT units and sector programs. They can encourage other programs to make use of the resources available through the NSSC and, in turn, ensure that the work of the NSSC is responsive to sectoral

⁶³ Another lesson worth considering from the MAMPU team is its integration of MEL officers into other parts of the team rather than sitting in a separate silo; this may or may not work effectively for the NSSC depending on the implementation approach selected for MEL.

program needs. Based on experience from other programs, DFAT's role in facilitating coordination across its portfolio of programs will be critical to the NSSC's ability to support other programs. DFAT officers could also hold learning forums with other donors and other stakeholders to share program successes and foster awareness of emerging lessons and ways of working effectively with NGOs, as well as to identify areas for coordination.

4.6 Implementation plan

The design team proposes an initial 18-month work plan, including two phases: key foundational activities over a seven month 'inception period' and the start of focused activities contributing to achieving facility outcomes in the following 11 months with foundational activities continuing in parallel. Expected achievements during these two periods are outlined below. Activity implementation will start in month 3, albeit only for 'fast tracked' activities. The formal start of implementation for most activities will be in month 7 with consolidation of the working groups. However, the work to consolidate relationships and establish working group membership will start in month 3. These are necessary foundational steps before activities can start. That a substantial inception period will be required to consolidate the team, put appropriate management and coordination structures into place, and establish effective working relationships with other programs, other stakeholders and NGOs is evident from several existing DFAT investments including MAMPU, KSI and KOMPAK.

| Inception Period (Months 1–7) | |
|----------------------------------|---|
| Implementation starts | <ul style="list-style-type: none"> ▪ Leadership team starts work ▪ Office and core management systems established |
| By the end of month two | <ul style="list-style-type: none"> ▪ Consolidate and submit to DFAT the work plan for the first 18 months of implementation including an updated risk management plan |
| By the end of month three | <ul style="list-style-type: none"> ▪ Confirmation of initial investment priorities, preferred MEL implementation arrangements, and guidelines for activities selection with the carried-over panel of NGO established for the design process ▪ Team recruited and inducted ▪ Gender strategy, inclusion strategy, and investment guidelines drafted ▪ Development of MEL plan begins ▪ Establish an area of work supporting other DFAT programs and development of a NGO database (these are 'fast track' activities that can proceed more quickly compared to the change timeframe laid out above) ▪ Begin to cement relationships with collaborators on priority activities, based on the outcomes that have been prioritised |
| By the end of month four | <ul style="list-style-type: none"> ▪ Discuss gender strategy, inclusion strategy, and investment guidelines with the carried-over NGO panel from the design process ▪ Start recruitment for specialists needed to support work on the priority outcomes ▪ Complaint mechanism established ▪ Ongoing networking and relationship building with potential collaborators ▪ Ongoing work with DFAT programs ▪ Ongoing work on the database |
| By the end of month five | <ul style="list-style-type: none"> ▪ Establish the NGO Advisory Panel ▪ Ongoing networking and relationship building with potential collaborators ▪ Ongoing work with DFAT programs ▪ Ongoing work on the database |
| By end of month six | <ul style="list-style-type: none"> ▪ 'Priority outcome specialists' and MEL team or implementing organisation on board and inducted ▪ Team and NGO Advisory Panel confirm facility logic, direction and adjust the remainder of the 18-month work plan ▪ MEL plan that has been workshopped with the NGO Advisory Panel submitted for review by DFAT ▪ Start work on MEL baseline ▪ Ongoing networking and relationship building with potential collaborators |

| | |
|--|---|
| | <ul style="list-style-type: none"> ▪ Ongoing work with DFAT programs ▪ Ongoing work on the database |
| By end of month seven | <ul style="list-style-type: none"> ▪ Submit adjusted work plan, gender strategy, inclusion strategy, and communications strategy to DFAT ▪ Start to form working groups with potential collaborators. ▪ Ongoing work with DFAT programs ▪ Ongoing work on the database |
| Months 8–18 | |
| Further milestones in the first eighteen months are | <ul style="list-style-type: none"> ▪ Revised MEL plan approved by DFAT (month 8) ▪ Priority outcome activity working groups and ways of working are fully established and begin work (month 11) ▪ MEL plan finalised, including macro baseline, and first progress report submitted to MTC and DFAT (month 12) ▪ Reflection and stock-take to begin development of next work plan (month 14) ▪ Procurement process and selection criteria established for NGO implementers for priority outcome activities (month 17). Procurement will be finalised by month 23. Remaining substantive activities proceed from here in line with the indicative priorities laid out in section 3.5 above. ▪ Submission and approval of the next work plan (month 18) |

In addition to the above, each working group and activity implementing partner will have a clear work plan for activities under each priority facility outcome. These work plans will be developed as the working groups and partners come on board to the NSSC. Work plans should reflect appropriate capacity development activities and whatever work is deemed necessary to ensure sustainability of an activity or function after the life of the NSSC.

5 Foundational Activities and Strategies

This section describes foundational activities and strategies that need to be in place for the NSSC to proceed with priority activities to achieve facility outcomes. This includes a MEL Framework for the NSSC and approaches to managing risk, both of which are critical foundational activities for the NSSC leadership team to undertake in partnership with the Technical Committee, NGO Advisory Panel, and DFAT. This section also outlines approaches for mainstreaming sustainability, gender and inclusiveness and how the NSSC will respond to any safeguard issues.

5.1 Monitoring, evaluation and learning framework

The success of the NSSC will be largely dependent on the extent to which it can promote broader learning across a wide range of stakeholders and facilitate the emergence of effective contributions to developing a strong NGO sector. To those ends, the purpose of the MEL Framework is to:

- > facilitate effective management of the NSSC by providing information on implementation process and promoting a continual learning culture;
- > provide accountability to stakeholders by demonstrating achievement of outcomes; and
- > provide the basis for broader learning by stakeholders.

The MEL Framework includes a set of interrelated components that collectively form its conceptual core, starting from the theory of how the program is expected to work and then testing whether and how it did. These components comprise:

- > a program facility logic that articulates the three NGO Sector Goals that all facility activities will be expected to contribute towards, and the priority End-of-Facility Outcomes (see section 3.1);

- > a set of overarching key monitoring and evaluation questions which summarise what the primary audience want to know about the performance of the NSSC, and ultimately will guide the data collection; and
- > a tentative results framework that will be progressively developed as activities are agreed in order to provide a 'snap shot' of performance towards priority outcomes across all NSSC inputs at regular time intervals.

These components will guide data collection and reporting by implementing partners and facility personnel, to feed into decision making by management and governance bodies and to produce knowledge products for the secondary audience when appropriate. Details on data collection methods and reporting are included below and in more detail in Annex 10.

The primary audience of data produced by the MEL system are the people who will actively use and reflect on this information to manage and improve implementation of the NSSC. This includes the core team, partner NGOs; those with an oversight function in DFAT as well as other programs in line with the frontline strategy; and the NSSC's governing bodies. The secondary audience is expected to have an interest in many aspects of the information produced, but are less involved in using the evidence to inform day-to-day decisions. This includes a wider range of NGOs, government partners, DFAT and NGOs globally.

5.1.1 Approach to MEL

Given the flexible nature of the facility outcomes and the flexibility of a facility-based approach to design and implementation, this framework will largely be focused on the *process* through which change is exerted in the NGO sector overall and how this can be improved. Utilisation-focused evaluation is an appropriate choice as compared with more prescriptive approaches to MEL. Planning and conducting utilisation-focused MEL has two essential elements. Firstly, the primary intended users of the evaluation must be clearly identified and personally engaged at the beginning of the evaluation process to ensure that their information needs and uses can be self-identified. Secondly, these intended uses of MEL system data and findings should guide all other decisions that are made about the evaluation process.⁶⁴ Accordingly, one of the first tasks of the MEL Adviser / NGO Provider⁶⁵ will be to discuss these needs with the relevant governing bodies and confirm or refine the tentative Key Evaluation Questions (KEQ) presented below; as well as finalise the tentative Results Framework.

Stakeholders will also be interested in the outcomes of a strengthened sector for NGOs and in the detailed evaluation of the *impact* of these changes on equitable development outcomes. Contribution Analysis will be used for this. This approach combines data from monitoring sources and selected additional evaluation studies to develop an overall performance 'story', which creates a credible picture of attribution (that is, can be related strongly to NSSC activities) to increase the knowledge of the contribution of NSSC activities to progress towards achieving the overall NGO Sector Goals.⁶⁶ Key to this approach is that it uses data to reduce the uncertainty about the contribution made rather than proving it through a more empirical, experimental evaluation approach. (See Annex 10 for more detail.)

5.1.2 Key evaluation questions

These indicative key MEL questions are provided with the aim of:

- > helping stakeholders stay focused on the information of primary importance;
- > ensuring the necessary data (qualitative and quantitative, through monitoring and through evaluation) is collected and synthesised to answer these questions;

⁶⁴ Patton, 1997.

⁶⁵ In keeping with the engagement principles of the NSSC, it is proposed that a partner NGO be contracted, and if required, strengthened, to provide monitoring services. This would ensure a legacy of ongoing monitoring of the health of the sector at the end of DFAT support, and possibly the provision of MEL services to other NGOs by a strengthened intermediary organisation.

⁶⁶ Mayne, 2012.

- > providing the structure for routine reporting against the NSSC; and
- > forming the basis for any independent reviews and an end-of-facility evaluation.

As mentioned above, the key questions will be confirmed and refined with relevant bodies when the NSSC begins implementation.

For each substantive activity implemented by the NSSC, separate micro logic models will be developed that track the envisioned pathway linking the activity to the relevant facility outcome and NGO Sector Goals. An associated micro monitoring, evaluation and learning plan will also be developed as part of the contracting arrangements with the implementing NGO partner (or in the case of direct NSSC implementation, by the team member / consultant responsible).

Each micro MEL plan should outline how data will be collected on the set of standard monitoring questions outlined below.

Generic monitoring questions for each priority outcome that nest under one of the NGO Sector Goals (KEQ 1–3 below)

- What did we do, and how did it adhere to and how did it vary from the plan?
- Who did we reach, was it sufficient, and were they the right beneficiaries / actors / organisations?
- Are we on track to achieve the priority outcomes:
 - did we achieve our expected outcomes for the stage of the program?
 - what were the unexpected outcomes?
- What is the legacy of the activity and the likelihood of sustainability?
- How were the principles of the facility upheld throughout activity design and implementation?

All monitoring data collected will be disaggregated according to gender and variables relevant to inclusion; these variables will be identified through the gender and inclusion strategies that the NSSC will develop. Where relevant, they will also be disaggregated by organisational type and on a geographic basis (local, district, provincial, national). This data will be key to gathering the bulk of the information required to answer the following KEQs. It will be important that monitoring results can be readily aggregated, where appropriate, for reporting using a results framework that assembles the data in a format which provides the empirical evidence necessary to inform a Contribution Analysis and answer the KEQs (below).

As stated above, the evaluation questions set out what the primary audience want to know about the performance of the NSSC. They will ultimately guide the data collection. Indicative KEQs are as follows.

Key Evaluation Questions

- To what extent and how did the NSSC contribute towards equitable and constructive engagement between NGOs and the government and / or private sector?
- To what extent and how did the facility contribute towards a well-governed, independent, accountable NGO sector?
- To what extent and how did the facility contribute towards more diversified funding supporting a sustainable NGO sector?
- Are the structures, systems, and approach for the facility effective for achieving facility outcomes?
- How well did the facility uphold its engagement principles and investment criteria?
- Are we doing the 'right' things: Is the balance of activities appropriate to achieve priority outcomes given the available resources? To what extent are the facility priorities still relevant to the context and needs?

The first three KEQs relate to the three **NGO Sector Goals** (refer to the discussion of the Facility Logic Model in part 3.1 above), while KEQs 4-6 refer to the substantive areas of: program implementation arrangements; engagement principles; and relevance. The issue of relevance is important to periodically assess as it concerns the ongoing *priorities* of the NSSC, rather than just the activities. As the socio-political context changes over the life of the NSSC, there may be a need to refocus the priorities as well as the supporting activities to achieve them. These KEQs will be broken down into a set of sub-questions to further guide data collection. Annex 10 contains a list of potential sub-questions for the year 1 priority outcomes along with possible data collection methods.

Baselines for evaluation will be established at two levels: firstly, at the NGO sector level to measure overall change in the sector. Although it is acknowledged that attribution to NSSC activities at the national level will be problematic, the contribution analysis approach referenced above will be used to draw out these linkages. In addition, micro-level baselines will be set for each substantive priority activity to assess the activity's contribution to the NGO sector Goals. Annex 10 provides details on baseline creation and possible data collection methods.

In addition to data collected for monitoring and evaluation, the NSSC should also conduct periodic reviews of the broader NGO sector context. An approach is described in more detail in Annex 10.

5.1.3 Results framework

A results framework sets out the likely progression of achievement of outcomes – from preparatory work through to the expected timeframe for immediate, intermediate and longer term outcomes, including the broad *types* of outcomes to expect (relationship building, commitment to action, real results, etc.) The development of a comprehensive Results Chart will follow the expected change timeframe laid out in section 3.4 above to determine what success would look like for each KEQ sub-question, and agree progress markers for achievement, including what evidence will be assembled and through which method. An indicative Results Chart has been included in Annex 10 for the four priority outcomes to provide an overall picture of how success might be articulated and measured. However, in order to reinforce the primacy of NGO 'ownership' of NSSC outcomes, specific outcomes and performance expectations in the Results Chart will be progressively developed through a collaborative approach between the NSSC core leadership team, Technical Committee and NGO Advisory Panel, and in close consultation with DFAT as activity planning commences. It will be important that the MEL team facilitate finalisation of the performance measures for the first 12 months of activity by month 6, using the indicative Results Chart as a basis.

5.1.4 Reporting, learning and planning

Six monthly reports will aggregate the monitoring data provided on each activity according to the generic monitoring questions. The data will contribute in various ways to DFAT reporting requirements in the areas of efficiency, effectiveness, gender equity, and sustainability.

Annual reviews and the 'rating' of achievement towards outcomes and contributions toward broader goals in the NSSC will be aided by results charts. Results charts data help produce a narrative that tells the 'story' of performance, or the extent to which progress was made, against each question. These annual reviews will be conducted through a series of reflective workshops, which will bring key stakeholders together in order to make evaluative judgements and document lessons in an environment of joint learning. Changes to implementation / strategic direction to improve achievement of outcomes based on these lessons will be agreed at these meetings. Reviews will feed into creation of Annual Plans prepared for the NSSC. The Annual Plans will include information on:

- > updated monitoring data;
- > key challenges and any changes to risks;
- > changes to the internal or external context (political, social, economic, donor);
- > Analysis of the adequacy of the MEL system overall and any proposed changes;
- > progress against the NSSC's work plan and any constraints; and
- > a detailed description of the subsequent 12 months of activity planning.

The timing of the Annual Plans will need to take account of DFAT's information cycle needs for implementation quality data.⁶⁷

Key results from the MEL system will also be provided to the Communications Adviser for 'packaging' and communicating through the NSSC's website on an ongoing basis, and members of the NGO Advisory Panel will be encouraged to share findings and convey key messages among their networks.

⁶⁷ As of design submission, this is December–February.

5.2 Knowledge management

Related to the MEL activities as well as the imperative to coordinate among the NSSC on communication with partners is the need for a rigorous knowledge management approach by the NSSC. Some factors to consider in designing the knowledge management system include:

- > MAMPU experience suggests use of a shared drive in which Back to the Office Reports/call logs or any significant interaction with a partner can be recorded and accessed by anyone else who might need to reach out to the partner.
- > A primary function of the knowledge management system should be outreach and sharing of knowledge with the NGO sector. NGO Sector Review and NSSC design experience suggests the use of a contacts management tool that can help in outreach to networks and sub-networks of NGOs. The use of social media to the extent possible will also be important.
- > Significant research data will be handed over to DFAT by the NSSC research and design team in September 2015 and this should be maintained and accessed through the NSSC's knowledge management system.
- > A well- and actively-curated library of publicly-accessible resources and research will be critical given the breadth of topics potentially being addressed and the emphasis on gathering and sharing good practices as well as on peer learning. Given the potential need to interact with NGOs in remote areas that may not have consistent internet access, someone should have clear duties to serve as a reference librarian for supporting searches by interested NGOs.
- > DFAT-focused document and data storage will be important given the array of lessons and documents already collected during the design process and their importance to the NSSC's work to support other DFAT programs in working with NGOs. It may need to be maintained separately in case of higher confidentiality concerns.

5.3 Risk management

The consultation and design process identified a number of broader contextual and specific implementation risks that could adversely affect the success and sustainability of the NSSC and its outcomes. All risks identified through the design process and their mitigation strategies are detailed in Annex 11. Issues included in the risk register include the political risk for DFAT of working with NGOs, the risk of depending on coordination among DFAT programs, risks of using NGO partner fiduciary systems, and conflict of interest risks due to stakeholder involvement in both setting the strategic direction of the NSSC as well as being involved in implementation. These are important risks that were noted at various stages of the design and review process. Steps to mitigate the likelihood of these risk occurring have been incorporated to the extent feasible in the design as well as noted in the risk matrix.

Contextual risks have been fully considered in the design of the NSSC. The NSSC will by design be flexible and responsive. The NSSC will adjust approaches and continually adopt lessons learned through the MEL approach described at part 5.1.1 above. This will allow it to change focus or emphasis to maximise outcomes in the face of changes in external factors.

The risks considered most critical by the design team concern implementation. Given that the NSSC is an NGO sector support facility, it will not succeed unless NGO buy in is secure. As such the top four risks identified are to the NSSC's reputation among NGOs if it:

1. is forced to rush the development of solid foundational relationships due to unrealistic stakeholder expectations of the pace of change in the sector;
2. loses momentum gained through the design process due to a poorly managed hand-over;
3. cannot manage relations between potential implementing partners; or
4. is unable to identify alternative sources of funding necessary for a truly independent NGO sector.

Although none of these issues have been rated at the highest level of risk, all will need to be carefully monitored and managed. To ensure effective risk management, monitoring risk status and identifying emerging risks will be a regular agenda item for all Technical Committee meetings. They will be updated regularly in the risk matrix and discussed with DFAT. All decisions at implementation will take risks into account. Targeted reflection events will also consider specific, topical risks to accommodate input by a broader range of stakeholders. The NSSC core leadership team will collate the output of these meetings and discussions to update the Risk Management Matrix on a regular basis. Communications strategies focused on setting realistic expectations among stakeholders will be critical; a comprehensive strategic communications strategy will be developed in the early stages of the NSSC's implementation and this will be reflected in the first year work plan.

A final risk that needs to be carefully managed prior to the implementation of the NSSC is the possibility of lack of GoI buy-in. An effective counterpart, as well as effective working relationships with a range of GoI agencies, will be important for the NSSC's success. However, the design team was asked not to make more than initial, informal contact with the GoI on the concept of the NSSC, nor to develop initial agreement with a potential counterpart. This was due to several factors including the position of the design team in an outside contractor, political uncertainties in Indonesia at the time the design was being prepared (particularly surrounding the 2014 Presidential election and its aftermath), the uncertainties of funding for the NSSC due to the cuts in the Australian aid budget, as well as the likelihood for much of the design process that the NSSC would be implemented as part of DFAT's *Kolaborasi Masyarakat untuk Pelayanan dan Kesejahteraan* (KOMPAK) – Governance for Growth rather than as a standalone facility.

Although the GoI was not heavily involved in the design process, the initial, informal meetings with a range of individuals within the GoI, including consultations during the 2012 NGO Sector Review process that preceded the design work, indicated a high level of interest and support for the existence of such a facility. Accordingly, this risk is raised to alert future implementers of the need to engage with appropriate GoI stakeholders and agree on an appropriate counterpart as soon as possible after it DFAT commits to going ahead with implementing the NSSC.

5.4 Sustainability

Sustainability is a cornerstone of the whole NSSC given that a central purpose of the NSSC is to build the sustainability of the NGO sector. For this reason, activities, governance structures and processes will aim to maximise the likelihood that key activities will be embedded within the NGO sector and taken-on by NGOs themselves so that they continue to strengthen the NGO sector beyond DFAT funding. Through the use of investment criteria, all activities will be selected on the basis of their potential to leave a lasting legacy for NGOs. To this end, any activity undertaken by the NSSC will be assessed in terms of whether it needs to continue beyond NSSC funding, and a corresponding implementation approach selected that responds and explicitly works to achieve this. (See part 3.8 above for more detail on the activity implementation arrangements.) However, it should be noted that in the Indonesian NGO context one 'peak body' is unlikely to succeed for reasons noted above in section 3.5 on activities working towards improved NGO sector accountability. As such aiming for this should not be the sustainability strategy of the NSSC.

5.5 Gender equality and inclusiveness

Attention to gender equality and social inclusion are part of the investment criteria for NSSC activities. The NSSC will develop comprehensive gender and inclusion strategies during its inception phase, with significant guidance from the NGO Advisory Panel and the involvement of a gender and inclusion specialist. This strategy will draw on a significant amount of work and strategies developed for gender and social inclusion on other DFAT programs. The areas identified during the design process as meriting particular attention for gender and social inclusion strategies appear below in Table 7, along with initial ideas for encouraging gender equality and inclusiveness in all aspects of the NSSC and within the NGO sector itself.

Table 7 Gender and social inclusion strategies

| Issues | Methods |
|--|--|
| Staffing and management of the NSSC | <ul style="list-style-type: none"> ▪ All Terms of Reference have reference to gender and inclusivity ▪ Accessible office ▪ Non-discrimination policy |
| Implementation strategies and approaches, that is: <ul style="list-style-type: none"> ▪ Investment criteria ▪ Selecting NGO partners and participants ▪ Selecting priorities and activities | <ul style="list-style-type: none"> ▪ Gender positive and inclusive approach in selection of activities and guidelines ▪ Talk with panel → consider activities based on gender impact of work / organisations ▪ Choices of NGOs and choices of activities reflects attention to gender and attention to social excluded groups (this requires meaningful attention, not just in head counts) |
| The NGO Advisor Panel and Technical Committee | <ul style="list-style-type: none"> ▪ Panel agrees on protocols around balance of types of organisations represented (who their constituents are, what issues they work on) ▪ Gender balance among individual panellists ▪ Individual panellists with a social inclusion focus |
| Monitoring, evaluation, planning and reporting | <ul style="list-style-type: none"> ▪ Gender disaggregated data and gender analysis → there are measurable targets on gender and social inclusion ▪ Attention to gender and inclusion in the 'state of sector' reports ▪ Reporting is accessible (e.g. available in hard copy to mail by post to areas without good internet; available in formats for voice technology) |

The gender and inclusion plans should include measurable targets and be linked to the MEL framework. Appropriate targets and indicators will require careful consideration from the MEL advisor, gender and inclusion advisor(s) and the NGO Advisory Panel given that activities will not focus on direct provision of services to individuals but rather on strengthening systems and the NGO sector.

5.6 Safeguards

Disability-Inclusive Development: The NSSC was developed in line with the principles espoused in Development for All: Towards a Disability-inclusive Australian Aid Program 2009–2014, and will be guided by the principles in this document, in particular promoting active participation of people with disability, acknowledging the interaction of gender and disability, and strengthening people-to-people links and partnerships involving people with disability.

Anti-Corruption: The risk of corruption in the NSSC is reduced by the direction of funds through a carefully selected implementing partner, including the strict tendering processes for the procurement component. Further, the management of the NSSC by DFAT ensures the regular close monitoring of activity and spending.

Environment: As a Commonwealth agency, all DFAT activity must comply with the *Environment Protection and Biodiversity Conservation Act 1999*. There is no need for a comprehensive environmental impact assessment to be undertaken in relation to this initiative as it will not involve any environmentally sensitive locations, sectors or interventions.

Child Protection: DFAT has zero tolerance for child abuse, as stated in the Child Protection Policy. In the event that any activities are developed in future that involve working with children, DFAT and all relevant contractors or partners will ensure the personnel positions involved put in place risk management measures in accordance with the Child Protection Policy.

01

PROPOSED SUPPORT TO OTHER
DFAT PROGRAMS

Annex 1 Proposed Support to other DFAT Programs

The NSSC has been tasked to support DFAT programs to work with NGOs in ways that encourage NGO sector sustainability. It will be resourced to provide both tailored support to individual DFAT programs, provide an engagement mechanism at a more strategic level and to actively liaise and coordinate with other donors. A liaison who is a member of the core NSSC team will also serve as a focal point among DFAT programs working on complementary issues. In this role the liaison will also coordinate with the NGO panel and can facilitate linkages and two-way communication when appropriate among the different actors.

As a facility, the NSSC's priority outcomes and activities will be re-assessed on a regular basis. Part of the information used for this assessment will be challenges across DFAT programs where cross-sector action, led by the NSSC, would be more effective than the efforts of individual DFAT programs. For example, funding diversification and leadership regeneration are two such cross-cutting issues that were identified during the design process. These are indicative priority areas of work for the NSSC, as described below.

As part of the NSSC's annual planning process the NSSC will map out opportunities for coordination and the type of assistance it is likely to provide to other programs over the course of the year. This should include identifying target programs or sectors for provision of advice based on demand from programs, priorities identified by NGO partners at the strategic level, a review of forthcoming designs in the DFAT work plan, and updates on other donor initiatives and planning. It will also allow the NSSC itself to adjust priorities and activities to avoid re-duplication of activities being undertaken by other programs and donors, and to ensure opportunities for collaboration and mutual support are taken advantage of to the fullest extent possible.

At an operational level within DFAT, specific activities might include advising on new designs, helping programs identify new partners, assessing areas of overlap and encouraging better coordination among program engagement with NGOs including hosting peer learning discussions and groups among relevant DFAT programs, sharing good practices for NGO engagement in areas ranging from program governance to procurement and grants making, or tracking and sharing information trends and emerging best practices. Work undertaken through the design process already provides a strong evidence base for this, including a compilation of lessons learned from DFAT's own documentation, a comparison of programs, a database of NGO partners and sub-partners on different programs as well as a general database of NGOs around Indonesia. A list below contains more specific examples of the support that could be provided and a separate paper detailing lessons for ways of working with NGOs will be submitted to DFAT as a deliverable from the NSSC design team. Developing this general database into a broadly accessible resource is another activity the NSSC will likely undertake. In activities that by their nature may target a specific subset of individuals or organisations as immediate beneficiaries, the NSSC could prioritise inclusion of existing DFAT partners if this would not detract from achieving the overall outcome of the activity.

The strategic level mechanism will need to be determined with DFAT but will likely involve an annual briefing and dialogue with DFAT by the NGO Advisory Panel. The NSSC would convene and host the briefing and dialogue.

Following are potential areas of NSSC engagement with other DFAT programs:

- > Providing technical assistance to the design of other programs, for example:
 - Previous programs' grant-making mechanisms have not always been successful because they didn't take into consideration capacity of NGOs to respond to proposals. NSSC could advise on the feasibility of these components.
 - A number of project designs have NGO capacity building-related performance indicators. Experience shows tools to report against these have not been strong and as such evaluations have had difficulty measuring performance in this area. The NSSC could advise on NGO-related performance indicators and development of tools to support performance measurement.

- > Providing advice on how to design appropriate governance arrangements for programs that have significant roles for NGOs.
- > Consolidate efforts, provide advice on the regulatory framework, and facilitate linkages to appropriate networks or support policy advocacy across programs on crosscutting issues such as funding. A number of programs (for example AIPH, AIPD Rural, AIPJ) have at various stages engaged technical assistance to advise on sustainability of NGOs post-program implementation or regulations for NGOs accessing government funding. This form of assistance is often dependent on factors beyond the immediate control of individual NGOs or the relevant programs themselves, but is an area of priority for the NSSC.
- > Different DFAT programs (and even different contractors in the same program) have differing accountability and reporting mechanisms that NGOs working with DFAT are required to adapt to. As part of the NSSC's work on governance standards, the NSSC could provide advice on standardised reporting mechanisms to DFAT programs working with Indonesian NGOs.
- > DFAT programs that adopt core funding mechanisms have different interpretations of what core funding involves. Moreover, some NGO partners receive core funding across more than one project. NSSC could facilitate coordination across DFAT programs with core funding to develop a common understanding of what core funding entails and how it can be best used to strengthen the NGO sector.
- > There are examples of different DFAT programs facing similar constraints in engaging with NGO partners, with each working independently to overcome these constraints. For example, a number of NGOs have raised issues relating to intellectual property ownership of material produced under Commonwealth of Australia contracts. DFAT program and DFAT officers address these issues on a case-by-case basis. Working with DFAT, the NSSC can become a resource centre for NGOs or DFAT programs when they face these constraints and develop guidance on how to overcome common constraints.
- > The NSSC could work with Australia Awards (AA) Indonesia to strengthen participation of NGOs in the non-targeted category of Australia Awards and support innovative ways that Australia Awards could be used to develop the human resource capacity of the NGO sector, including monitoring the impact of Australia Awards on the NGO sector. MAMPU has collaborated with the AA short course team to bring civil society partners to Australia for a two-week training course. The course by AA is specifically designed around particular topics in which participants need support and targets mid-level staff that would normally not have access to such training.

To the extent possible the 'DFAT liaison' on the NSSC team should also be responsible for staying abreast of what other donor programs are planning and doing and coordinating at the operational level. The relevant DFAT activity manager should continue discussions with his / her counterparts at the European Union and USAID to aid in this coordination. (Conflict of interest rules also make it difficult for implementing partner personnel to be privy to plans especially at USAID.)

One program of particular interest is BAPPENAS's DTF. According to plans as of April 2015, a major national Indonesian NGO, Kemitraan, is likely to manage the DTF. Kemitraan would provide grants to organisations that are working to build democracy and increase civic participation. The funding would be gathered from a range of sources including government ministries, private sector sources, and public philanthropy including *zakat* and *sedekah* religious giving. The grants and the funding mechanism both correspond to NGO Sector Goals. Several ways the NSSC might coordinate with the DTF are:

- > collaborate on eliminating legal barriers / challenges in the NGO enabling environment and exploring options for domestic funding;
- > provide DTF implementers with information about the NGOs sector including the use of the new database of NGOs;
- > provide referral for capacity building service providers for DTF's grantees; and
- > refer potential partner organisations to the DTF.

02

ANALYSIS AND CONSULTATIONS
FOR DESIGN

Annex 2 Analysis and Consultations for Design

This annex provides an overview of the analytical and consultative work that shaped the NSSC design. Work that contributed to this design began in 2012 with the NGO Sector Review, a stocktake of knowledge on development partners of the Australian aid program in Indonesia. In June 2014, DFAT accepted a concept note that contained the initial thinking on goals and program areas, which drew from the NGO Sector Review findings. The NSSC design team then pursued a rigorous agenda of field and desk research and stakeholder consultations, interspersed with team workshops and analysis in order to develop comprehensive working program logic and the program design as well as opportunities for substantive input from DFAT. These activities included the following:

| No | Date | Analysis / Consultation | # of participants | Discussion Points | Actions taken to strengthen design |
|----|---------------------|--|---|---|--|
| 1 | 30 May 2014 | Concept presentation to DFAT | Around 10-15 participants attended the meeting | <ul style="list-style-type: none"> ▪ Policy Issues, relationship to government ▪ Terminology Issues including criteria to select NGOs (<i>who is in and out?</i>) ▪ How NSSC will work with operating organisation ▪ Risk when working with NGOs | The team have taken into account all the inputs and paid attention to the discussion points throughout the design development |
| 2 | 2–5 June 2014 | Concept and Program Logic – internal team workshop | Internal NSSC team and advisors attended the meeting facilitated by Clear Horizon | <ul style="list-style-type: none"> ▪ Identity objectives and initial concept and program logic ▪ Key assumptions ▪ Design and research questions ▪ Stakeholder analysis | The team have used the initial concept and program logic; discussed it with NGOs and other stakeholders in research and consultations and have revised the program logic throughout the course of the design development |
| 3 | 10 June 2014 | Concept and program theory workshop | 21 participants from local and national NGO communities | <ul style="list-style-type: none"> ▪ Inputs on early draft of NSSC facility logic including the broader goals and engagement with government and other stakeholders ▪ Discussion of research plans. ▪ Strategies for NGO engagement into the NSSC design development | <ul style="list-style-type: none"> ▪ Inputs were reflected in the facility logic as it developed, and the concept note that was submitted to DFAT ▪ Advice on stakeholders to engage was taken on board ▪ Advice on research was considered in shaping the research work |
| 4 | July–September 2014 | Mixed methods research | 105 local and 42 national NGOs surveyed and 214 mutually exclusive informants interviewed and participated in focus group discussions | <ul style="list-style-type: none"> ▪ Survey of local and national NGOs in seven districts (four provinces) ▪ In-depth interviews and focus group discussions in the same seven districts with NGOs, government officials, and private sector CSR managers ▪ The research focused on NGOs and their networks and relationships to other stakeholders, and directly requested inputs into the formation of a NGO sector support facility | <ul style="list-style-type: none"> ▪ NSSC R&D has discussed, triangulated and refined research findings based on internal team discussion and consultation workshops with NGOs and NGO panel ▪ NSSCR&D team has incorporated all inputs from mixed methods research into the facility design and program logic |

| No | Date | Analysis / Consultation | # of participants | Discussion Points | Actions taken to strengthen design |
|----|--|--|--|--|--|
| 5 | July–September 2014 | DFAT cross-sectoral data and programs review | 169 DFAT-funded programs reviewed | <ul style="list-style-type: none"> ▪ Examination of DFAT engagement directly or indirectly with NGOs ▪ Lessons learned from DFAT program that have engaged with NGOs ▪ Funding has been provided to Indonesian NGOs in the past seven years ▪ The primary delivery channels for funding to Indonesian NGOs ▪ Outcomes and impact of working with Indonesian NGOs for DFAT development goals | <ul style="list-style-type: none"> ▪ NSSC R&D has discussed, triangulated and refined DFAT program review findings based on internal team discussion and consultation workshops with other DFAT programs leaders / managers ▪ NSSCR&D team has incorporated relevant inputs from DFAT program review into the facility design and program logic |
| 6 | 7–12 September 2014 | Meetings with national government representatives | Governance advisor held the meetings with several government representatives | <ul style="list-style-type: none"> ▪ Establish early engagement and initial relationship to introduce NSSC concept and design ▪ Discuss concern from the government and private sectors ▪ To seek their input on the establishment and the design and the policy environment affecting NSSC set up and future programming | <ul style="list-style-type: none"> ▪ NSSC R&D team has utilised inputs from government and private sector representatives to improve the design development |
| 7 | 21–24 October 2014 and 5–6 November 2014 | Cross component research workshop and interim program logic workshop | Internal team including researchers and senior research advisor attended | <ul style="list-style-type: none"> ▪ Research findings from quantitative and qualitative field data and DFAT program review ▪ Identify similarities and differences on findings across research components ▪ Identify main crosscutting topics / issues importance for the design development ▪ Consolidate and identify gaps in research findings and incorporate team and advisor's feedback for final improvement of the research findings ▪ Further develop a working program logic and support development of the investment concept ▪ Consolidate understanding of any potential gaps in data or open research and design questions for follow up after the workshop | <ul style="list-style-type: none"> ▪ NSSC R&D team has incorporated all feedback and inputs from this workshop to the most updated research findings ▪ NSSC R&D has utilised and incorporated the main findings from cross-component research into the facility design ▪ NSSC R&D has utilised inputs from interim program logic workshop to further solidify the program logic and facility design |
| 8 | July–October 2014 | Desk research | | <ul style="list-style-type: none"> ▪ A structured desk review of program documents documenting modalities and lessons from 21 comparative programs (DFAT programs outside Indonesia and non-DFAT programs focused on NGO sector strengthening internationally) ▪ Review of literature and reports on a variety of relevant topics including the role of INGOs, the concept of sustainability, and the strengths and | NSSC R&D team has incorporated inputs from the desk research into the facility design |

| No | Date | Analysis / Consultation | # of participants | Discussion Points | Actions taken to strengthen design |
|----|---------------------|--|--|---|---|
| | | | | challenges of intermediary and resource organisations in Indonesia | |
| 9 | 3 December 2014 | Workshop consultation with DFAT Program leaders and managers | 33 people attended the workshop | <ul style="list-style-type: none"> ▪ Types of organisations and relationships ▪ Representation issues of NGOs across issues, levels, and regions ▪ How NSSC will contribute to and collaborate with other DFAT programs (areas for collaborations) ▪ Lessons for implementation drawing from other DFAT programs experience ▪ Models for NSSC governance | <ul style="list-style-type: none"> ▪ The design has included the principle engagement and provided portfolio for investment criteria and implementation strategy to address issues of representation and inclusion of NGOs across issues, levels, and regions ▪ NSSC R&D has built types of potential activities and areas for collaborations with other DFAT programs and noted in the design and the annex ▪ Has incorporated most lessons learned from all consultations with other DFAT programs for implementation • The model of NSSC governance has incorporated all inputs using experience from DFAT programs and inputs from NGOs |
| 10 | 10–11 December 2014 | Workshop consultation with NGOs from outside Java | 32 participants from NGOs outside Java attended the workshop | <ul style="list-style-type: none"> ▪ Relationships and gaps between local (outside Java) and national NGOs ▪ Strengths and challenges of local NGOs working with communities ▪ Inputs for NSSC facility logic and design ▪ Concerns and challenges of local NGOs to strengthen their roles, engage with government and private sector, diversify funding, improve accountability, human resource and leadership ▪ Panel members selected and discussion on NGO panel role in the facility design process and ways of working and communication | NSSC R&D team has utilised and incorporated inputs from regional NGO workshop to improve the facility logic and design |
| 11 | 16–17 December 2014 | Workshop consultation with NGOs from Java | 27 participants from within Java | <ul style="list-style-type: none"> ▪ Same as above | NSSC R&D team has utilised and incorporated inputs from regional NGO workshop to improve the facility logic and design |
| 12 | 18–19 December 2014 | Workshop consultation with national NGOs and resource | 26 participants attended the workshop | <ul style="list-style-type: none"> ▪ Same as above, except - ▪ National NGO panel role in the facility design process, registration system, and ways of working and communication | NSSC R&D team has utilised and incorporated inputs from regional NGO workshop to improve the facility logic and design |

| No | Date | Analysis / Consultation | # of participants | Discussion Points | Actions taken to strengthen design |
|----|------------------------------|---|--|--|---|
| | | organisations | | | |
| 13 | 16–20 February 2015 | Internal team design and facility logic workshop with Design and M&E Advisers | Internal team including advisor for governance and civil society, DFAT representative, and representatives from select other DFAT programs | <ul style="list-style-type: none"> ▪ Improvement of the facility logic goals and outcomes ▪ NSSC activities and priorities ▪ Investment criteria / portfolio for selecting NGO partners ▪ Monitoring, evaluation, and learning approaches and framework ▪ Gender and inclusion criteria and plan ▪ Risk levels assessment | NSSC R&D team has used the inputs from this workshop to revise the final draft of the facility logic and design |
| 14 | 25 March 2015 | Design pre-draft presentation to IPAG DFAT | About 10 DFAT counsellors, program and unit managers | <p>The design team presented on plans for the design, following by brief discussion and written comments from the audience</p> <ul style="list-style-type: none"> ▪ Differences between NSSC and other DFAT programs with capacity development for NGOs ▪ Specific contributions and activities for other DFAT programs ▪ Differences between NSSC and Democracy Trust Fund ▪ NGO sector / system approach | NSSC R&D team has incorporated the feedback from the IPAG team into the final design including an annex on potential activities and capacity development contributed to other DFAT program; NSSC's linkage with other existing programs within DFAT or programs related to strengthen NGO sector such as potentially Democracy Trust Fund program |
| 15 | 15–16 April 2015 | First meeting/consultation – NGO Panel | 30 NGO panel members attended the meeting (national and subnational representatives) | <ul style="list-style-type: none"> ▪ Inputs on the final facility logic and design ▪ NGO priorities and potential activities for NSSC ▪ The roles of INGOs for NSSC implementation ▪ Relationships between NGOs and donor (especially DFAT Australian Aid) ▪ Ground rules for NGO panel in the design process and implementation of NSSC | NSSC R&D team has utilised and incorporated inputs from NGO panel meeting to finalise the facility logic and design |
| 16 | 4-5 August 2015 | Second meeting / consultation – NGO Panel | 32 NGO panel members attended the meeting (national and subnational representatives) | <ul style="list-style-type: none"> ▪ Inputs on the design, particularly in responding to feedback from DFAT. ▪ Disseminate and discuss research findings. ▪ Strategies and action plan for NGOs to move forward based on research findings. | NSSC R&D team has utilised and incorporated inputs from NGO panel meeting to finalise the design |
| 17 | September 2014 – August 2015 | External meetings held by NGOs or donors | NSSC R&D Core team attended | Conferences and discussion on NGOs and civil society, civil society and democracy, philanthropy, accountability index, and sustainability index conducted by both donors and NGOs | Inputs from the external meetings were used as relevant for internal team discussion on design development |

03

LIST OF STAKEHOLDERS CONSULTED

Annex 3 List of Stakeholders Consulted

This Annex lists stakeholders who were research respondents or consulted otherwise on the design of the NSSC. It excludes national government representatives as those discussions were held informally for reasons described in the design.

NGO representatives

This part was removed for public due to confidentiality.

Among the NGOs consulted, some of them are active on the NGO panel advising on the NSSC design:

| NO. | ORGANISATION NAME | CONTACT PERSON NAME | PHONE | E-MAIL | PROVINCE | POSITION OF CONTACT PERSON FOR PANEL | GENDER |
|-----------------------|--|--------------------------------------|----------------|--|------------------|--------------------------------------|--------|
| NATIONAL PANEL | | | | | | | |
| 1 | SOS CHILDREN'S VILLAGE INDONESIA | AYU PUTU EKA NOVITA | (022)2012881 | SOS@SOS.OR.ID | JAWA BARAT | ASSISTANT TO NATIONAL DIRECTOR | FEMALE |
| 2 | GITA PERTIWI | TBC BY AUGUST 2015 DESIGN SUBMISSION | (0271)710465 | GITA@INDO.NET.ID | JAWA TENGAH | DIRECTOR | FEMALE |
| 3 | KONSIL LSM INDONESIA | LUSI HERLINA | (021)7257322 | SEKRETARIAT@KONSILLSM.OR.ID | DKI JAKARTA | DIRECTOR | FEMALE |
| 4 | KAWAL BORNEO COMMUNITY FOUNDATION | TBC BY AUGUST 2015 DESIGN SUBMISSION | (0541)7773762 | KAWAL.BORNEO@GMAIL.COM | KALIMANTAN TIMUR | DIRECTOR | MALE |
| 5 | LP3ES | TBC BY AUGUST 2015 DESIGN SUBMISSION | (021)718105657 | LP3ES@LP3ES.OR.ID | DKI JAKARTA | DIRECTOR | MALE |
| 6 | KONTRAS (KOMISI UNTUK ORANG HILANG DAN KORBAN TINDAK KEKERASAN) SURABAYA | ANDY IRFAN | (031)5612036 | OFFICE@KONTRASSURABAYA.ORG | JAWA TIMUR | BOARD | MALE |
| 7 | LEMBAGA KAJIAN DEMOKRASI DAN HAK ASASI (DEMOS) | INGGRID SILITONGA | (021)8308782 | OFFICE@DEMOSINDONESIA.ORG | DKI JAKARTA | DIRECTOR | FEMALE |
| 8 | INSIST | SALEH ABDULLAH | (0274)896403 | INFO@INSIST.OR.ID | YOGYAKARTA | BOARD | MALE |
| 9 | PENABULU ALLIANCE | TBC BY AUGUST 2015 DESIGN SUBMISSION | (021)78848321 | INFO@PENABULU.OR.ID | DKI JAKARTA | MANAGER / COORDINATOR | MALE |
| 10 | YAYASAN BAKTI | CAROLINE TUPAMAHU | (0411)832228 | INFO@BAKTI.OR.ID | SULAWESI SELATAN | DIRECTOR | FEMALE |
| 11 | ADRA INDONESIA | TBC BY AUGUST 2015 DESIGN SUBMISSION | (021)8370 3185 | KARLO@ADRAINDONESIA.ORG ATAU INFO@ADRAINDONESIA.ORG | DKI JAKARTA | DIRECTOR | MALE |
| 12 | SULAWESI COMMUNITY FOUNDATION | ABDUL SYUKUR AHMAD | (0411)493984 | INFO@SCF.OR.ID | SULAWESI SELATAN | MANAGER / COORDINATOR | MALE |
| 13 | YAYASAN KEHATI | SINARYATIE SALOH | (021)7183185 | SINARYATIE.SALOH@KEHATI.OR.ID | DKI JAKARTA | DIRECTOR | FEMALE |
| 14 | INDONESIA UNTUK KEMANUSIAAN | TBC BY AUGUST 2015 DESIGN SUBMISSION | (021)3152726 | INFO@YSIK.ORG | DKI JAKARTA | DIRECTOR | FEMALE |

| NO. | ORGANISATION NAME | CONTACT PERSON NAME | PHONE | E-MAIL | PROVINCE | POSITION OF CONTACT PERSON FOR PANEL | GENDER |
|-----------------------|--|--------------------------------------|------------------------------|--|------------------|--------------------------------------|--------|
| 15 | PIRAC (PUBLIC INTEREST RESEARCH AND ADVOCACY CENTER) | TBC BY AUGUST 2015 DESIGN SUBMISSION | (021)7756071 | PIRAC@PIRAC.ORG | DKI JAKARTA | DIRECTOR | MALE |
| 16 | ASOSIASI PENDAMPING FEMALE USAHA KECIL MIKRO (ASPPUK) | TBC BY AUGUST 2015 DESIGN SUBMISSION | (021)29486890 | ASPPUK@INDO.NET.ID | DKI JAKARTA | DIRECTOR | FEMALE |
| 17 | KPSHK | MOHAMMAD DJAUHARI | (0251)8326541 | KPSHK@KPSHK.ORG | JAWA BARAT | DIRECTOR | MALE |
| 18 | PATTIRO (PUSAT TELAHAH DAN INFORMASI REGIONAL) | SAD DIAN UTOMO | (021)75915498 | INFO@PATTIRO.ORG | DKI JAKARTA | DIRECTOR | MALE |
| 19 | YAYASAN PENGUATAN PARTISIPASI, INISIATIF, DAN KEMITRAAN MASYARAKAT INDONESIA (YAPPIKA) | TBC BY AUGUST 2015 DESIGN SUBMISSION | (021)8191623 | YAPPIKA@INDOSAT.NET.ID | DKI JAKARTA | DIRECTOR | FEMALE |
| 20 | INDONESIA PARLIAMENTARY CENTER | TBC BY AUGUST 2015 DESIGN SUBMISSION | (021)8353626 | ADMIN@IPC.OR.ID | DKI JAKARTA | DIRECTOR | MALE |
| 21 | CENTRAL BOARD OF AISIYAH – SOCIAL WELFARE DIVISION | TBC BY AUGUST 2015 DESIGN SUBMISSION | (021)72800576 | PPAMKS@GMAIL.COM | DKI JAKARTA | SECRETARY | FEMALE |
| REGIONAL PANEL | | | | | | | |
| 1 | YAYASAN KELOMPOK KERJA SOSIAL PERKOTAAN (KKSP) | MUHAMMAD JAILANI | (061)8367438 | YKSP@YAHOO.COM | SUMATERA UTARA | EXECUTIVE DIRECTOR | MALE |
| 2 | LEMBAGA BANTUAN HUKUM (LBH) PADANG | ERA PURNAMA SARI | (0751)7051750 | LBHPADANG@YAHOO.CO.ID | SUMATERA BARAT | VICE DIRECTOR | FEMALE |
| 3 | KAMUKI | SENA AJI BAGUS DWI HANDOKO | (0986)212262 | KAMUKICFPB@YAHOO.COM | PAPUA BARAT | EXECUTIVE DIRECTOR | MALE |
| 4 | YAYASAN WALI ATI (YASALTI) | NINU RAMBU WASAK LODANG | (0387)63052 | - | NTT | DIRECTOR | FEMALE |
| 5 | YAYASAN INSAN HAYATI | LALU HANDANI | - | INSANHAYATI@YAHOO.COM | NTB | DIRECTOR | MALE |
| 6 | PIKUL | TORRY KUSWARDONO | - | PIKUL@PERKUMPULANPIKUL.ORG, PIKUL.KUPANG@GMAIL.COM | NTT | EXECUTIVE DIRECTOR | MALE |
| 7 | LIMBUBU | NURHAYATI KAHAR | - | - | SUMATERA BARAT | DIRECTOR | FEMALE |
| 8 | LIBU PEREMPUAN | TBC BY AUGUST 2015 DESIGN SUBMISSION | - | - | SULAWESI TENGAH | DIRECTOR | FEMALE |
| 9 | AMAN KALTIM | MARGARETHA SETING BERAAN | (0541)765076 | PWAMAN.KALTIM@AMAN.OR.ID | KALIMANTAN TIMUR | DIRECTOR | FEMALE |
| 10 | PUSPADI | I NENGAH LATRA | (0361)7444620 / 08123990701 | INFO@PUSPADIBALI.ORG | BALI | DIRECTOR | MALE |
| 11 | FITRA JAWA TIMUR | DAKELAN | - | FITRA_JATIM@YAHOO.CO.ID | JAWA TIMUR | MANAGER / COORDINATOR | MALE |
| 12 | YAYASAN HOTLINE SURABAYA | TBC BY AUGUST 2015 DESIGN SUBMISSION | (031)3566232 | YHS@HOTLINESURABAYA.OR.ID | JAWA TIMUR | DIRECTOR | FEMALE |
| 13 | LEMBAGA PENGAJIAN KEMASYARAKATAN DAN PEMBANGUNAN (LPKP) JAWA TIMUR | MOCH SOLEKAN | (0341)414450, 414451, 472557 | LPKP.JATIM@YAHOO.COM | JAWA TIMUR | DIRECTOR | MALE |
| 14 | LEMBAGA PERLINDUNGAN ANAK (LPA) TULUNGAGUNG | TBC BY AUGUST 2015 DESIGN SUBMISSION | (0355)7705035 | LPATULUNGAGUNG@YAHOO.CO.ID | JAWA TIMUR | DIRECTOR | FEMALE |
| 15 | INSTITUTE FOR REGIONAL DEVELOPMENT AND STUDIES (IRDES) | MASHUDI | (0338)677666 | IRDES.STBD@GMAIL.COM | JAWA TIMUR | BOARD | MALE |

| NO. | ORGANISATION NAME | CONTACT PERSON NAME | PHONE | E-MAIL | PROVINCE | POSITION OF CONTACT PERSON FOR PANEL | GENDER |
|-----|--|--------------------------------------|---------------|---------------------------|-------------|--------------------------------------|--------|
| 16 | PERKUMPULAN SUARA KITA | TBC BY AUGUST 2015 DESIGN SUBMISSION | (021)79170125 | OURVOICE.LGBTIQ@GMAIL.COM | DKI JAKARTA | DIRECTOR | MALE |
| 17 | PERKUMPULAN UNTUK PENINGKATAN USAHA KECIL | EARLY RAHMAWATI | (022)7834483 | ELLA_TRISNAWATI@PUKOR.ID | JAWA BARAT | GENERAL SECRETARY | FEMALE |
| 18 | LEMBAGA STUDI PEMBANGUNAN MASYARAKAT (LSPM) BOYOLALI | TBC BY AUGUST 2015 DESIGN SUBMISSION | - | - | JAWA TENGAH | CHIEF | MALE |
| 19 | CIFORM (CENTRE FOR THE STUDY OF ISLAM AND SOCIAL TRANSFORMATION) | TBC BY AUGUST 2015 DESIGN SUBMISSION | - | - | YOGYAKARTA | SECRETARY | MALE |

Government representatives

This part was removed for public due to confidentiality.

Private sector representatives

This part was removed for public due to confidentiality.

04

SUMMARY OF DONOR PROGRAMS
REVIEWED

Annex 4 Summary of Donor Programs Reviewed

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
|----------------------------------|---|---|------------|---|---|----------------------|--|
| DFAT PROGRAM IN INDONESIA | | | | | | | |
| 1 | Indonesia Regional Elections Program | National and set number of non-identified provinces | DFAT | Promote the consolidation of tolerant and pluralistic culture of democracy and encourage democratic governance that is more accountable and responsive to citizens needs at both national and regional level. | Engage JPPR on local election observing, inputs into revision of election law, distributing voter information sheets, implementing quick counts, election programs in Aceh and Jakarta, recruitment of professional media consultant to support ability to work with media; engage Wahid Institute on conducting monitoring local regulations, public awareness about impacts. Activities comprise of policy advocacy / government oversight, core funding, training for organisation, training for public, election monitoring, and public awareness | 2,319,260 / 2 years | Local Elections and Democratic Governance in Indonesia, Completion Report |
| 2 | Islam and Civil Society Program in Indonesia | Information not available | DFAT | Information not available | Information not available | 650,000 / 2 years | Financial analysis only |
| 3 | Promoting Civil Participation in the 2009 Elections | Information not available | DFAT | Information not available | Information not available | 491,532.98 / 2 years | Financial analysis only |
| 4 | IFRC Appeal 2008 / 09 – Organisational Dev. | National and PMI chapters in region | DFAT | The purpose of the IFRC program is to support the institutional capacity building of the PMI and facilitate a coordinated approach of the IFRC in supporting PMI's programs in Indonesia. | AusAID funding particularly targeted at capacity building activities. Support for annual meeting, baseline data on capacity of chapters. Support for IT and financial management systems (developing SOPs) Improving HR systems, including subsidising some salary positions; | 1,700,000 / 1 year | IFRC Appeal 2008-2009 (MAAID002) IFRC Appeal 2008-2009, Program Update Jan-June2008 IFRC Appeal 2008-2009, Program Update Jul-Dec 2008 |
| 5 | Building Resilience in Eastern Indonesia | 16 districts (105 villages) in NTT, NTB, Sulawesi Utara, Sulawesi Tengah, Papua | DFAT | The Building Resilience project aims to support substantial disaster risk reduction efforts by strengthening the capacity | The Project implements community based disaster risk management through local partner organisations in 16 districts and 129 villages. Communities are supported to identify hazards and vulnerable groups and | 4,085,368 / 4 years | Building Resilience in Eastern Indonesia Final Report Mid-term evaluation of Oxfam Building Resilience Program, |

⁶⁸ Documents referenced were in the public domain. For a number of projects, predominantly those with smaller budgets, no project documents were accessible and these projects were included only in the financial analysis.

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
|----|--|--|------------|--|---|------------------------------------|--|
| | | and Papua Barat | | of vulnerable communities, civil society and government. This project focuses on six disaster-prone provinces; Nusa Tenggara Timur (NTT), Nusa Tenggara Barat (NTB), Sulawesi Utara, Sulawesi Tengah, Papua and Papua Barat. | prepare action plans to reduce community vulnerabilities to disasters. This is complemented by the capacity strengthening of partner organisations and subnational Government agencies and through advocacy to promote a culture of risk reduction and preparedness for disasters. Main capacity building activities for partners were gender, DRR training and emergency simulation training. | | 2011 Final Evaluation Report, April 2012 |
| 6 | IFRC Appeal 2008 / 09 – Disaster Management | Information not available | DFAT | Information not available | Information not available | Information not available / 1 year | Financial analysis only |
| 7 | Revitalising Indonesia's Knowledge Sector for Development Policy – Management of Program Learnings (Indonesia) | National NGOs based in Yogyakarta, Bandung, Makassar and Jakarta | DFAT | i). To enhance the quality and volume of policy relevant research; ii). Improve organisational capacity of partners; and iii). Add to the knowledge of 'what works' in strengthening capacity of the knowledge sector | Phase 1: Core funding per partner to address self-identified capacity needs in three areas: technical (research) capacity, organisational and advocacy. TAF provided active support as a mentor, worked closely with the partners at all phases of planning, implementation and monitoring, and facilitated financial and technical support. Phase 2: Additional core funding was provided. Partners continued organisational capacity development, undertook independent research, and strengthened their technical capacity. Phase 3: TAF provided core funding tailored to the financial capacity and needs of each partner. | 4,100,000 / 4 years | TAF Activity Completion Report Management Response to Review |
| 8 | Local Governance Economic Survey | National | DFAT | Gain a better understanding of local economic governance conditions in Indonesia so that local government, private sector and civil society can address barriers to private sector development | Conducted research on local economic governance across Indonesia. It involved a quantitative survey implemented by AC Nielsen and qualitative work by Jawa Pos Institute. Managed by The Asia Foundation and KPPOD | 1,149,872 / 1 year | Financial analysis only |
| 9 | Improving the Governance of | National | DFAT | Interim assistance to support amendment of | Process of amending election laws demonstrates inclusion of broader base of | 892,561 / 1 year | Independent Completion Report, AIPES Interim |

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
|----|---|---|------------|--|--|-------------------------------------|---|
| | Elections in Indonesia | | | electoral laws and strengthen capacity of electoral bodies will remaining engaged with key actors. | evidence from technical experts and interest groups; Gender equity outcomes in electoral process; Capacity building or empowerment of local CSOs | | Program |
| 10 | Resilient Villages: Safe House Construction (Indonesia) | Information not available | DFAT | Information not available | Information not available | 1,817,161.67 / 3 years | Financial analysis only |
| 11 | Strengthening disaster coordination and response preparedness (East Indonesia) | 15 districts in South Sulawesi, NTT and West Papua | DFAT | Establish Emergency Operations Centre and improve enabling environment for disaster response and coordination training for local government and Indonesian Red Cross. | Construction of two Emergency Operation Centres; Develop disaster management information system; Training for local BPBD and red cross branches | 2,399,331 / 3 years | AIDFR: Independent Progress Review, 2012 |
| 12 | Community Mapping Pilot (Indonesia) | Information not available | DFAT | Information not available | Information not available | Information not available / 2 years | Financial analysis only |
| 13 | Widening the Participation of Women and Children with Disabilities in Community-Focused Disaster Risk Reduction (Indonesia) | One sub-district in Ciamis, West Java | DFAT | Inclusion of women and children with disabilities in DRR activities and planning | Training of village cadres in seven sub-districts; training children with disabilities and family members; government recognition of role of cadres in DRM plans | 157,221.28 / 3 years | Completion Report |
| 14 | Voter Registration Preparation and Planning (Indonesia) | National and set number of non-identified provinces | DFAT | Election monitoring bodies able to access support to build effective and credible elections information management systems and engage stakeholders on election administration efforts. | Perludem engaged to undertake public advocacy work based on feedback and public opinion survey information. Perludem engaged to conduct public consultations / advocacy program in target regions – works with civil society organisations in those regions. | Information not available / 3 years | Six-monthly report Dec 2013 – May 2014 AIESP 2011–2015 Design Document, 2012 |
| 15 | Civil Society sub-grants and Technical | National and across provinces dependent on | DFAT | Better independent verification of elections in targeted areas by | JPPR: using technology to monitor elections; Perludem: paralegals to report election violations | 5,141,241.14 / 3 years | Six-monthly report Dec 2013 – May 2014 AIESP 2011-2015 Design |

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
|----|--|---------------------------|------------|---|---|-------------------------------------|--|
| | Assistance | partner networks | | accredited domestic observes and the media; Electorate (in particular marginalised) in targeted areas makes better informed voting decisions. | ICW: providing public information on accountability in elections; IPC: advocacy on access to information Solidaritas Perempuan, Migrant Care, FIK-Ornop, Bengkel APPeK, Jaringan Pemilu Aceh, Pokja 30: election volunteers. PPMN | | Document, 2012 |
| 16 | Public Campaign for the Community Perception and Behavioural Change in DRR | Information not available | DFAT | Information not available | Information not available | Information not available / 2 years | Financial analysis only |
| 17 | Prison Reform in Indonesia Phase III | National | DFAT | Strengthen mechanisms to supervise services provided by the corrections system and compliance with minimum standard rules; enhance capacity of DGC to manage information and offer public access to corrections information; enhance strategic planning of DGC. | Development of standard operating procedures and information systems and trialling of systems. | 3,544,964 / 2 years | 4th Progress Report Nov 2013 – June 2014 |
| 18 | Grant for Improving Business Enabling Environment for Poor Farmers | Information not available | DFAT | Information not available | Information not available | 999,927 / 1 year | Financial analysis only |
| 19 | Civic Education Scoping Study (Indonesia) | Information not available | DFAT | Information not available | Information not available | 60,000 / 1 year | Financial analysis only |
| 20 | Introducing Market Development Indonesia (IMDI) | Information not available | DFAT | Aimed at laying the foundation for the establishment of AIP-PRISMA in Indonesia, through introduction of 'Making Markets Work for the Poor' – M4P. | Conduct analysis of particular sectors (mainly INGOs undertake this work) ; Training of local NGOs on M4P (Making markets work for the poor) – provide support for NGOs to develop inception notes or proposals | Information not available / 2 years | Conclusion Report |
| 21 | Public Campaign for Disaster Risk | Information not available | DFAT | Information not available | Information not available | Information not available / 1 year | Financial analysis only |

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
|----|--|--|------------|---|--|------------------------------------|---|
| | Reduction Awareness through National Television | | | | | | |
| 22 | Supporting the Expansion of InaSAFE and OpenStreetMap in Indonesia (Indonesia) | East Java, West Java, West Sumatra, South Sulawesi, NTT and West Papua | DFAT | Piloting innovative approaches to acquiring consistent data on location of people and infrastructure for DRR. | Exposure data for DRR – piloting innovative approaches to acquiring consistent data on location of people and infrastructure. | Information not available / 1 year | Financial analysis only |
| 23 | Support the ASEAN General Electoral Network for Disability Access (Indonesia) | National | DFAT | Promote political participation for people with a disability in Indonesia and in southeast Asia. | Workshops / regional dialogues, creating monitoring tools that can be used by DPOs Advocating for questions on accessibility in election tools; Revised training modules incorporating disability issues Engagement with media on disability issues Transition plan to move management to DPOs | Information not available / 1 year | FMA 9, Approval for the ASEAN General Election Network for Disability Access (AGENDA) Phase 2 |
| 24 | Support to strengthen the capacity of civil society organisations to empower marginalised groups to improve their socio-economic conditions – PNPM Peduli Phase II (Indonesia) | Unclear | DFAT | Aims to improve social inclusion of marginalised target groups in project locations by increasing access to services, choices and human rights. | CSO programs use a community-based approach to empower marginalised communities, improve access to services and economic opportunities, address community recognition and respect, and inform local and national | 17,900,000 / 1 year | Copy of design document |
| 25 | Jakarta Bombing 2004 Family Support Program Phase 2 | Jakarta | DFAT | Provide assistance to victims and families of Jakarta bombing. | Providing longer term assistance to victims of bombing: family support, reconstructive surgery, physiotherapy, psychological counselling and prosthetic devices through direct grants to Indonesia NGOs and Australian Red Cross – likely to include partnership with PMI | Information not available / 1 year | DFAT website |
| 26 | Building and | 6 districts across | DFAT | Strengthen the capacity of | The project works intensively with district | 1,500,000 / | Semi-Annual Report Dec |

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
|----|--|---|------------|---|---|-------------------------------------|---|
| | Deepening Resilience in Eastern Indonesia (Indonesia) | NTB, NTT and Papua (28 villages) | | communities, local governments and CSOs to reduce risks and vulnerabilities and improve livelihood resilience, particularly for vulnerable groups. | governments to strengthen the capacity of government and non-government actors in promoting Disaster Risk Reduction (DRR) through the development, legalisation, and / or early implementation of DRR instruments (risk analysis, Disaster Management (DM) plans, contingency plans, and DM regulations). Moreover, the project promotes village-level resilience through community-based DRR using technical support for the development of local disaster management organisational structures and the development of DRR instruments (risk analysis, action plans, early warning systems, contingency plans, and village DM regulations) as well as the implementation of action plans, both in communities and schools. | 3 years | 2013 – June 2014 The fibre of resilience: Final Evaluation of the Project 'Building and depending resilience in Eastern Indonesia' |
| 27 | Mount Merapi Recovery Program (Indonesia) | Yogyakarta (10 villages in three sub-districts) | DFAT | Reduce short-term impact of disasters on children youth and adults through provision of protection programming and raising awareness on DRR, early recovery, child protection and health. | At beginning, YLI staff were trained to be able to implement the project and support community cadres. Furthermore, the workshop provided socialisation about the PIMR project conducted in 10 target villages by YLI. Progress of project activities was monitored both by Plan and YLI project teams with assistance from community cadres / facilitators. YLI provided support with initial outreach in villages and schools. | 278,352 / 1 year | AusAID NGO Project Report |
| 28 | Recovery Program following the Mount Merapi Disaster (Indonesia) | Central Java (6 villages in Magelang) | DFAT | To support volcano eruption affected families recover their livelihoods through a self-driven early recovery process. | NGOs helping in program socialisation meetings, data collection activities were done by Rumah Pelangi. For agriculture activities, assistance is provided by Loh Gesang / Nawakamal – for example training of trainers for cadres, distribution of agricultural material | Information not available / 1 year | Mount Merapi Recovery Program in Indonesia, Final Report as at 14 August 2011 |
| 29 | Indonesia Learning Assistance Program for Islamic Schools – Technical and Coordination | National | DFAT | To contribute to the improved quality of basic education in Islamic schools through enhancing the capacity of support agencies; madrasah communities and local | English language training for teacher trainers through IALF. This comprised approximately 20% of program expenditure. For integration activities LAPIS engaged 11 local NGOs to work with 61 madrasah in four areas. Each NGO facilitated a three step | Information not available / 5 years | LAPIS Independent Completion Report, 2010 |

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
|----|--|---------------------------------|------------|--|---|-------------------------|---|
| | Support Contractor | | | networks. | process: i. school mapping to assess the baseline status of madrasah against eight national accreditation standards; ii. Facilitation of training sessions by contracted trainers covering 10 subjects; iii. TA provided by trainer to position a madrasah for accreditation. Included some access to block grants to resolve issues. | | |
| 30 | Indonesia Australia Legal Development Facility | Mainly national | DFAT | Strengthen capacity of Indonesian government and civil society institutions to promote legal reform and the protection of human rights through a facility that has the flexibility to provide core program support and respond to immediate and emerging issues. | Engagement with Supreme Court to develop Blue Print PEKKA-Religious Court partnership to formalise marriages Human rights related activities, covering training, advocacy for new law, engagement with international laws, distribution of legal information Facility with over 150 activities covering: judicial legal reform, improved human rights, anti-corruption and trans-national crime. 17% of funding allocation to NGOs however, 'it should be noted, that a significant number of Gol agency activities also involved the strong presence of NGOs.' | 10,826,118.83 / 3 years | IALDF Independent Completion Report AusAID Management Response to ICR Facility Completion Report, Feb 2010 |
| 31 | ANTARA Management Support Team | NTT, NTB, Papua and Papua Barat | DFAT | Reduce poverty through sustainable and equitable socio-economic development and improved governance systems: (i) improve provincial and district governance; (ii). Improve incomes; and (iii). Improve access to and quality of basic services. | Range of activities focused on local governance; improved incomes; improved basic services. According to ICR most successful focused on livelihoods and SME. Some work with CSOs to build capacity to participate in planning processes. One specific output on this area working with Oxfam GB and YMTM. Provided support for one-stop shops for government services. Funded a cluster of 13 rural economic and agricultural activities – activities benefited 35,000 households | 21,335,844.29 / 5 years | Independent completion report Activity Completion Report |
| 32 | Yogyakarta Jateng Community Assistance | Yogyakarta and Central Java | DFAT | To assist affected families and communities to return as quickly as possible to normality in the three areas | Act as facilitators in second phase to support implementation of community assistance program – local infrastructure, livelihoods. Phase 2 adopted the | 20,969,704.77 / 5 years | Independent Completion Report, 2010 Activity Completion Report |

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
|----|---|--|------------|---|---|-------------------------------------|---|
| | Program – Community Based Assistance Provider | | | most severely affected by the earthquake: household life, income producing activities, and community schooling / health services | 'partnership' model: In which key stakeholders (i.e. communities, local government and implementing NGOs) were involved in all stages of activity development (from planning to evaluation), overseen and assisted by a YCAP program manager responsible for a specific geographical area. | | |
| 33 | Nias Reconstruction Program | South Nias District | DFAT | Contribute to the development of South Nias District through small-scale community infrastructure and governance infrastructure. | The IPR includes reference to Yayasan Narapan Nias as a partner in the table of abbreviations but makes no mention of the role they played in the narrative | Information not available / 4 years | Independent Completion Report, Dec 2009 |
| 34 | Communities and Education in Aceh (CEPA) Phase 2. | Bireuen and Aceh Utara | DFAT | Improve governance of and effective and cohesive community participation in basic education in communities recovering from conflict. | Information not available | Information not available / 3 years | Independent Completion Report, Nov 2009 |
| 35 | HIV Cooperation Program for Indonesia | Jakarta, West Java, Bali, Papua and West Papua. Prisons nationally | DFAT | Prevent and limit the spread of HIV, to improve the quality of life of people living with HIV and to alleviate the socio-economic impacts of HIV / AIDS. Support Indonesia to plan, develop and implement an effective and sustainable response to HIV. | HCPI manage: strengthening Indonesian leadership on HIV; reducing HIV transmission among IDU and in prisons; preventing spread of HIV in Papua and West Papua. HCPI activities have enhanced leadership capacities for civil society organisations. The number of non-government organisations providing outreach services (harm reduction) has also increased, with seven being added in the past two years. 14 CSOs participated in institutional strengthening activities. | 55,053,439.26 / 7 years | Australia-Indonesia Partnership for HIV 2008-15, including the HIV Cooperation Program for Indonesia, Final Partnership and Program Design, September 2007 Review of Australia Indonesia Partnership for HIV (AIPH), September 2011 Annual Report, Jan–Dec 2013 |
| 36 | Australian Community Development and Civil Society Strengthening Scheme Phase 2 | 24 districts in NTB, NTT, South Sulawesi and South East Sulawesi. | DFAT | To empower citizens and their organisations in target districts so they can engage with local governments and other stakeholders to bring about changes in local democratic governance and thereby improve local development impacts. | The Program worked closely with 69 local CSOs partners and reached a total of 55,556 direct beneficiaries (34,225 female / 21,331 male) and 6,108,194 indirect beneficiaries (3,087,463 female / 3,020,731 male) across a total of 1,127 villages It also created and strengthened 5,056 community based groups and trained 17,238 people (11,140 female / 6,098 male) community facilitators It contributed to building local | 35,455,896.68 / 7 years | ACCESS Phase II, PDD, June 2007 ACCESS Phase II, Activity Completion Report ACCESS Phase II Impact Evaluation – Community Impact Assessment and Local Government Survey, August 2013 |

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
|----|---|---|------------|--|--|-------------------------|--|
| | | | | | constituencies that could act responsibly, engage and interact in constructive dialogue with their local governments, hold service deliverers to account and demonstrate proven development methods to their local governments which led to a better alignment of government service provision with local needs. The Program provided grants, capacity building, tools and knowledge management support to 69 local CSO Partners to implement participatory development activities with citizens and their organisations as described in individual Action Plans | | |
| 37 | Australia Indonesia Partnership for Maternal and Neonatal Health (AIPMNH) | NTT (14 out of 21 districts in NTT) | DFAT | Reduced number of deaths among pregnant women and newborns reported by partner district hospitals and puskesmas in AIPMNH program areas in NTT. | PATTIRO helps facilitating and improving capacity of SKPD in NTT province in implementing gender strategies in maternal and children health programs. PATTIRO makes M&E on capacity of planning and budgeting, strengthening of policies and regulations that are influential to MNH services, strengthening of roles and coordination of government, NGO and AIPMNH: Gender capacity building of 10 SKPD; audit of gender participation in 3 districts; gender responsive budgeting * training for facilitators, capacity building for women cadres. | 71,633,846.42 / 6 years | AIPMNH Activity Completion Report, May 2014 PATTIRO Annual Report |
| 38 | Local Governance Innovations for Communities in Aceh (Indonesia) | Six districts in Aceh. Core programs cover 432 villages and 36 sub-districts. | DFAT | To contribute to a stable and peaceful Aceh by supporting effective governance that addresses priority village needs. The project focused on developing active communities and supporting a responsive government. | Strengthening CSOs to drive reforms in government service delivery; a facility model and away from direct engagement with communities, placing CSOs as the main interface with village communities in LOGICA2 geographical areas. Around 80% of LOGICA2 Annual Work Plan activities are now being delivered by government and civil society implementation partners. Five modalities to deliver activities: targeted technical assistance; training; a distributive funding facility model; direct engagement by program advisers; and targeted small grants; and policy research / analysis | 27,885,552.25 / 5 years | LOGICA 2, Program Design Document, 2009 Quality at Entry report 2009. Independent Progress Report 2012 LOGICA2, External peer Review Report 2013 LOGICA2, 6th six-monthly report (Jan-July 2013) LOGICA 2 Activity Completion Report, July 2014 |

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
|----|---|---|------------|--|---|-------------------------------------|--|
| 39 | Indonesia Australia Forest Carbon Partnership (IAFCP) Facility | Central Kalimantan (14 villages) | DFAT | The IAFCP aims to develop Indonesia's capacity to engage in a future mechanism to reduce emissions from deforestation and forest degradation in developing countries (REDD+) and to generate practical on-ground lessons to support the establishment of a global REDD+ mechanism. | Implementing Partners will be sub-contracted by the MC. This group includes CARE, Wetlands International Indonesia (WII), and Borneo Orangutan Survival (BOS) during the preparatory phase. These partners are expected to serve during the implementation phase. CARE is responsible for the village engagement process, including socialisation, the baseline survey, alternative livelihoods, and socioeconomic monitoring. WII will design and construct dams, train communities in dam construction, and monitor hydrology. BOS will lead reforestation efforts, monitor key GHG emissions variables on the ground, dam small canals, and organise community monitoring of illegal logging and burning. Supporting Partners will be contracted to perform specific functions, such as Kemitraan to analyse governance aspects of REDD including corruption, conflict, and the design of payment mechanisms. Kemitraan will also facilitate government liaison and provide feedback from non-government stakeholder groups. | Information not available / 5 years | Kalimantan Forests and Climate Partnership Design Document, 2009 IAFCP Independent Progress Report, March 2011 IAFCP Independent Progress Report, Management Response |
| 40 | Australia Indonesia Partnership for Decentralisation (AIPD) – Management Support Team | 25 districts across: East Java, NTB, NTT, Papua and Papua Barat | DFAT | Objectives identified as being better resource allocation and management of resources result in improved service delivery in select districts. | IPD has driven the establishment and functioning of 25 civil society networks (one in each region). These networks enfold 391 separate local CSOs; AIPD has provided these networks with training on how to understand and engage with public finance management processes and how to apply the citizen report card methodology to gather evidence about beneficiary experiences with accessing public services. | 42,569,152.34 / 4 years | AIPD Delivery Strategy, 2010-2015 AIPD State of the Program Report, June 2012 AIPD State of the Program Report, Dec 2013 |
| 41 | Australia Indonesia Partnership for Justice – Implementation Service Provider | National, NTB, NTT and South Sulawesi | DFAT | Increased access to better quality legal information and services through: improved judicial resolution for marginalised groups; better processing of corruption cases; increased access to and use of legal | Supported PEKKA working with research centre in UI and religious court to undertake legal identity baseline and compile data on legal identity needs; Work with Judicial Commission on court recording, code of ethics; With LEIP web index of court decisions, with PSHK to develop decision restatements for judges, research and | 26,065,774.63 / 4 years | Project Design Document, July 2010 AIPJ program Strategy: A General Framework for Defining End-of-Program Outcomes, 2011 AIPJ Annual Work Plan 2014 AIPJ Six-Monthly Report |

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
|----|---|--|------------|---|--|-------------------------|---|
| | | | | information; improved delivery of legal aid; increased capacity of CSOs to support reform efforts. | piloting of court procedures; One activity supporting is government verification of NGOs for legal aid scheme. | | January 2014 Independent Progress Review Report, Nov 2012 Management Response to Independent Evaluation of AIPJ, Feb 2013 |
| 42 | POVERTY REDUCTION SUPPORT FACILITY (PRSF) | National | DFAT | Support the National Team for Accelerating Poverty Reduction to: i. design and oversee a large-scale program of social assistance and poverty reduction; ii. Consolidate, simplify and improve the efficiency of existing programs; and iii. Identify important but troubled social assistance programs and resolve their implementation problems. | Support to PEKKA for Community-Based Monitoring System (CBMS), implemented with support from SMERU. Collecting data on well-being indicator; Support to TIFA on migration and role of remittances in poverty reduction – survey work and services for migrant families | 65,603,917.8 / 3 years | Project Design Document Independent Progress Review, April 2013 PRSF Implementation Planning: PRSF to end 2014 Quarterly Progress Report: April-June 2014 |
| 43 | Australia-Indonesia Partnership for Pro-Poor Policy – The Knowledge Sector initiative | National with intention to provide some support to subnational organisations | DFAT | Indonesia's knowledge sector produces evidence to inform priority social development policies. | Capacity building and core funding for selected research organisations (starting with eight increasing to 16 orgs); Small grants for innovative research (\$1.5m per year) Capacity building covers: research, organisational and advocacy capacity building activities. Initial activities include communications, M&E and grants management / fraud workshops. Additional support provided through TA, training and international partnerships. Small grants scheme / innovations fund support alternative types of knowledge production. Component 3 includes funding to 15-20 civil society org's to strengthen policy-based advocacy Work on intermediary component starts mid-July. | 12,641,060.06 / 2 years | Design Document, 2012 Quality at Entry Review Six Monthly Report, Jan-Apr 2014 |
| 44 | Management of a Program | 20 districts across East Java, NTT, | DFAT | 30% increase in incomes for more than 1 million male | Given the diversity of AIPD-Rural's districts, a separate study was commissioned in | 6,924,420 / 1 year | Design Document – AIPD Rural, Promoting Rural |

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
|----|---|---|---|--|--|----------------------|---|
| | Promoting Rural Income through Support for Markets in Agriculture (Indonesia) | NTBm West Papua and Papua. | | and female smallholder farmers by 2022, 300,000 of which will be reached by June 2017. Through: improved farmer practices; increased access to input and output markets; and improved business enabling environment. | August 2012 to select a further six to eight sectors. This selection process will be completed by the end of November 2012, and will be followed by a further six to eight more detailed value chain studies. These will be conducted by locally based national and international NGOs with competence in value chain work Appears only NGO working as cohort partner is YMTM – implementing program for improved corn production | | Income through Supports for Markets in Agriculture, Oct 2012 |
| 45 | Management of the Empowering Indonesian Women For Poverty Reduction Program (Indonesia) | National with activities in number of provinces dependent on partners | DFAT | To build broad-based networks and inclusive coalitions led by strengthened women's and gender-interested organisations and parliamentarians in order to influence government policies, regulations and services and in selected private sector arenas, to improve the access of poor women to critical services. | First phase, partners develop and implement institutional strengthening plan. Budgets up to \$100k for institutional strengthening and \$100k for initiative design. 60% of capacity building support targeted to local members or local NGO partners. Mechanism for funding initiatives – occur at local levels with focus on 'analysis, action and advocacy.' Mechanism to support networking and learning. Up to 5% of program funds allocated for innovation response fund. Have a number of partner facilitators – to manage relationships with partners. Research activities: longitudinal study of village socioeconomic change among poor women; study on policy-related factors affecting MMR; and update of key gender statistics. | 13,780,035 / 2 years | MAMPU Program Design Document, Part 1 MAMPU Program Design Document, Part 2 MAMPU Annual Work plan, 2014-2015 |
| 46 | Indonesia Partnership Fund | National and provinces | DFAT and United Nations Development Program | Reduce risk of sexual transmission of HIV; reduce risk among high-risk groups; increase awareness and reduce discrimination; improve access and quality, treatment and support for people living with HIV and strengthening capacity to allocate resources | Component 1: support of IDR1.5b to Yayasan Spiritia to strengthen catalyst and peer support groups. Also other contracts for support services | 3,000,000 / 3 years | IPF Final Report 2008 |

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
|----|--|---|---|---|--|------------------------------------|---|
| 47 | UNDP-Safe Communities through Disaster Risk Reduction | Information not available | DFAT and United Nations Development Program | Information not available | Information not available | Information not available / 1 year | Financial analysis only |
| 48 | Multi-Donor Program – Strengthening Indonesia's Democratic Elections | Aceh | DFAT and United Nations Development Program | Support the holding of a free, fair and peaceful election and to promote participation of voters in all democratic processes. The focus was on: i). Electoral management systems; ii). Voter participation in monitoring; and iii). Stakeholder coordination. | The modalities adopted included training, supply of equipment and electoral materials, raising awareness of peaceful campaigning, and small grants to CSOs for participatory monitoring; The CSO grants scheme for implementing participatory election monitoring contributed to the reporting of violations during the elections; The selection team selected three organisations to receive grants to conduct participatory monitoring of the elections in Aceh. The selected CSOs were tasked with monitoring any violations, conflicts or disputes related to all electoral stages, as well as encouraging the public to actively participate in the election monitoring process. Following the selection of the CSOs, UNDP met with their staff to review the rationale for the grants and to determine the exact activities to be conducted. | 3,600,000 / 1 year | Financial analysis only |
| 49 | PNPM Support through The PSF | National. PNPM Peduli operates in 91 districts covering 25 provinces. | DFAT and The World Bank | Support to ensure the effectiveness of PNPM as it is scaled up to achieve national coverage. Support focuses on improving the quality of village-built infrastructure and expanding the program's impacts on health and education. | Local activities include strengthening capacities for micro and small economic activities, improving access to health / education and legal services, providing specialised services particularly in remote locations, and promoting rights and social justice. | 191,000,000 / 6 years | PSF Annual Report 2013 PNPM Peduli Quarterly Report |
| 50 | Elections Multi-donor Program (E-MDP) | National | DFAT and United Nations Development Program | Pro-poor democratic governance is realised with enhanced accountability, capacity and participation in election processes in the 10 poorest provinces. | Elections MDP will cooperate with CSOs through a coalition of CSOs to increase public awareness of ... the new draft bill. A major activity in 2009 will be the 'CSO Voters' Information and Education Grants Scheme' Grants for CSOs in seven regions (budget – 2,500,000) ToT for CSO coordinators in seven regions | Information not available / 1 year | UNDP, Multi-Donor Program – Support to Indonesia's Democratic Elections Program Document UNDP Thematic Overview: Democratic Governance End of Program Report |

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
|----|---|--|---|---|---|-------------------------------------|---|
| | | | | | (74,000) Trainings for coalition of CSOs in 33 provinces (257,000) Grants to CSOs to conduct reviews post-election (570,000) | | |
| 51 | Aceh Multi Donor Trust Funding contribution (Indonesia) | Aceh. Provincial level with NGOs active in two districts | DFAT and The World Bank | Strengthen national and local institutions to support the consolidation of peace and development in Aceh. It does so by building local government capacity, piloting innovative approaches to help vulnerable groups, enhancing local research capacity and transferring lessons learned for application in other post-conflict areas of Indonesia. | US2.6m grant to Fauna and Flora International to manage Community Ranger Program; US325,000 grant to Forum LSM to manage Integrated Community Legal Empowerment Activity US540,000 grant to TAF to manage Component on building local capacity for policy advice Contracts with Aceh Researchers Forum – TA inputs into RPJMA Contracts to MaTA through PECAPP (Unisyiah) | Information not available / 4 years | CPDA: Progress Report, July-December 2012 Grant Agreement for Building Local capacity for Policy Advice in Aceh Project |
| 52 | Safer Communities through Disaster Risk Reduction (Indonesia) | West Sumatra, Bengkulu, Central Java, Yogyakarta, Bali, NTT, North Sulawesi and Maluku | DFAT and United Nations Development Program | Support the GoI develop new approaches and capabilities for DRR. The project aimed to promote a culture of safety in Indonesia by making DRR 'a normal part of the development process.' It focused on the regulatory framework; strengthening local institutional systems; and education and awareness. | NGOs taking part in discussing policy and public coordination for DRR. Coordination between government, business and community. Producing a manual on the subject while SC-DRR is in the process its own literature. NGOs managing village grants. Public awareness campaigns for DRR in communities and developing community plans. | 2,500,000 / 2 years | Safer Communities through Disaster Risk Reduction (SC-DRR) in Development Project Evaluation (25 October – 30 November 2011) |
| 53 | Access to Employment and Decent Work | National, North Sumatra and East Java | DFAT and International Labour Organisation | Improve equality in employment and labour market outcomes for women through strategies that reduce barriers to formal employment and address discrimination in employment for women. | 1. Strengthening conditions of work and social protection of women in micro and small enterprises (link to PNPB); 2. Strengthening organisation, leadership, social protection for homeworkers – institutional strengthening of MWPRI; 3. Strengthening employers, partnering with Apindo; 4. Women's groups' capacity to provide child care (link with PNPB). | Information not available / 3 years | Australia – ILO Technical Cooperation: Overview of Progress Towards Decent Work, 2013 Empowering Women Homeworkers for Better Working Conditions, March 2014 |

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
|----|--|--|----------------|--|---|------------------------------------|--|
| 54 | Technical Support for Capacity Building in NU and Muhammadiyah CBDRM Program | Information not available | DFAT | Information not available | Information not available | 188,987 / 1 year | Financial analysis only |
| 55 | Governance Research Program | Information not available | DFAT | Linked researchers from both countries in a coordinated effort to generate firmer intellectual foundations for tackling some of Indonesia's most basic developmental challenges and to disseminate the results to inform policy action as well as wider scholarly and public discussion. | Was managed by Crawford School at ANU. Limited public documentation; have partnerships with institutions such as SMERU and CSIS | 3,879,036 / 3 years | Financial analysis only |
| 56 | Improving Contraceptive Method mix (ICMM) in NTB and East Java | East Java and NTB. | DFAT and USAID | Increase and document the use of long-acting and permanent contraceptive methods in six districts. By documenting evidence, present advocacy plan to government and NGO leaders for family planning. | Cipta Cara Padu (Cipta) implements ICMM's advocacy activities at the district level, with technical support from AFP-I / JHU. Main advocacy work is focused on establishing district working groups – working groups establish work plans. CCP responsible for training, supervision and oversight of district-level advocacy activities. | 2,670,000 / 3 years | ICCM in East Java and West Nusa Tenggara, Annual Progress Report, Nov 2013 |
| 57 | Support for National Commission on Violence against Women (Indonesia) | Information not available | DFAT | Core funding to Komnas Perempuan to develop strategic plan and institutional strengthening. | Information not available | Information not available | Financial analysis only |
| 58 | National Action Plan for HIV Response for MSM | Jakarta, Medan, Bali, Surabaya and Makassar | DFAT | Support to develop an action plan for men who have sex with men. | Development of national MSM action plan and piloting MSM outreach programs in 10 locations. Includes research on social and sexual networking, anti-stigma strategies, communications, development of sexual health guidelines | Information not available / 1 year | Research and community engagement: Indonesia, PowerPoint. |
| 59 | Indonesia partnership Fund 2012–2015 | 2012 focus: East Java, Central Java, Yogyakarta, | DFAT | To support Indonesia develop a self-sustaining national response to HIV | Component 1: support of IDR1.5b to Yayasan Spiritia to strengthen catalyst and peer support groups. Also other contracts for | 2,500,000 / 2 years | Progress Report: Indonesian Partnership Fund for HIV / AIDS, Jan–Dec 2012 |

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
|----|---|---------------------------|------------|---|--|---------------------|--|
| | | West Java and Banten | | and AIDS. | support services | | www.ipf.aidsindonesia.or.id |
| 60 | Core Funding Support for the Research Institute (Indonesia) | Information not available | DFAT | Information not available | Information not available | 4,919,936 / 6 years | Financial analysis only |
| 61 | Kanaivasu: Aceh Trauma Counselling | Information not available | DFAT | Information not available | Information not available | 15,000 / 1 year | Financial analysis only |
| 62 | Muhammadiyah Child Disaster Awareness for Schools and Communities | Information not available | DFAT | Information not available | Information not available | 549,294 / 1 year | Financial analysis only |
| 63 | PMI Bali – Enhancing Disaster Management Capacity | Information not available | DFAT | Information not available | Information not available | 31,500 / 1 year | Financial analysis only |
| 64 | Hospital Preparedness for Disaster Management (Indonesia) | Information not available | DFAT | Information not available | Information not available | 1,494,116 / 3 years | Financial analysis only |
| 65 | CBDRM NU Phase 2 | Information not available | DFAT | Information not available | Information not available | 900,000 / 2 years | Financial analysis only |
| 66 | Strengthening the Capacity of KPU SecGen – PARTNERSHIP | Information not available | DFAT | Information not available | Information not available | 253,048 / 2 years | Financial analysis only |
| 67 | Indonesia Family Life Survey 4 | National | DFAT | Implement fourth round of Indonesia Family Life Survey in partnership with RAND corporation and CPPS. | Survey implementation on behalf of World Bank and in partnership with RAND Corporation | 310,690.27 / 1 year | Study description; SurveyMETER website |
| 68 | Funding Support to The 4th CBDRM | Information not available | DFAT | Information not available | Information not available | 31,970.24 / 1 year | Financial analysis only |

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
|----|--|--|------------|--|--|----------------------|--|
| | Symposium | | | | | | |
| 69 | Muhammadiyah (PKO) for West Sumatra Earthquake | Information not available | DFAT | Information not available | Information not available | 248,965.93 / 1 year | Financial analysis only |
| 70 | NU West Sumatra Earthquake Response | Information not available | DFAT | Information not available | Information not available | 250,469.1 / 1 year | Financial analysis only |
| 71 | Funding Agreement for Eastern Indonesia Knowledge Exchange | South Sulawesi and other provinces in East Indonesia | DFAT | Information not available | Information not available | 500,000 / 1 year | Financial analysis only |
| 72 | 'Build Back Better' Multimedia Education Campaign in West Sumatra | West Sumatra | DFAT | Campaign to raise awareness and encourage people to build safe houses to reduce their vulnerability to future earthquakes. | Production of multi-media materials, distribution and broadcast of training video on how to build earthquake safe housing | 250,000 / 1 year | Financial analysis only |
| 73 | Secretariat Support for Revitalising Indonesia's Knowledge Sector for Development Policy | National | DFAT | Provide Secretariat support for knowledge sector activities | Working in conjunction with Bappenas providing technical and administrative support to steering committee, management committee, three working groups. Facilitating planning and communication in structure. Ensuring meetings are well-documented and provision of notes. | 95,455.8 / 3 years | IGGRD website |
| 74 | Analysis – Anti-Corruption | National | DFAT | Assessment of the state of play on anti-corruption reforms in the Law and Justice sector. | Report to provide assessment of state of corruption eradication in law and justice sector. Mapping of anti-corruption efforts and baseline for identifying strategic interventions by other actors. | 59,034 / 1 year | Kemitraan Annual Report 2010 |
| 75 | Analytical Paper on Perda Review Mechanism | Information not available | DFAT | Information not available | Partnership with researchers from Australia. Parts either funded by AIGRP or follow on activity from AIGRP. Also links to AIPJ | 40,451.04 / 1 year | Final report (PSHK website) |
| 76 | 'BUILD BACK BETTER' MULTI-MEDIA EDUCATION CAMPAIGN, WEST SUMATRA | West Sumatra | DFAT | Campaign to raise awareness and encourage people to build safe houses to reduce their vulnerability to future earthquakes. | Interactive community programs in worst affected areas, production and distribution of new material, develop and launch of website | 214,897.79 / 2 years | AIDFR: Independent Progress Review, 2012 |

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
|----|---|---|------------|--|---|---------------------|---|
| | – PHASE 2' | | | | | | |
| 77 | Nahdlatul Ulama: Scoping Mission 2010 | Information not available | DFAT | 5 month scoping mission to allow NU, BNPB and AIFDR to identify best partnership for local work | Design phase to identify means of working together for different stakeholders | 513,69.34 / 1 year | Financial analysis only |
| 78 | National Seminar and Workshop on Professional Nursing System Development | Information not available | DFAT | Information not available | Information not available | 51,190.33 / 1 year | Financial analysis only |
| 79 | Integrity and Accountability of Electoral Process | National, Yogyakarta, North Sumatra, South Sulawesi, North Maluku, Jakarta, Bali, NTT, East Java and North Sulawesi | DFAT | Interim assistance to support amendment of electoral laws and strengthen capacity of electoral bodies while remaining engaged with key actors. | | 400,203 / 1 year | Independent Completion Report, AIPES Interim Program Kemitraan Annual Report 2010 |
| 80 | Documentation of Indigenous Knowledge on Disaster Risk Reduction phase I | Information not available | DFAT | Information not available | Information not available | 2,281.28 / 2 years | Financial analysis only |
| 81 | Sponsorship for 2010 Special Olympic | Information not available | DFAT | Information not available | Information not available | 6,790.71 / 1 year | Financial analysis only |
| 82 | Young Journalist Program – The Jakarta Post Foundation | Information not available | DFAT | Information not available | Information not available | 21,356.47 / 1 year | Financial analysis only |
| 83 | AusAID Support on HHR Planning and Management Activity Board of HHR Development and Empowerment | Information not available | DFAT | Information not available | Information not available | 217,010.62 / 1 year | Financial analysis only |
| 84 | Strengthening Capacity for | Information not available | DFAT | Information not available | Information not available | 280,662 / 9 year | Financial analysis only |

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
|----|---|------------------------------|------------|--|--|------------------------|---|
| | People Living with HIV (Indonesia) | | | | | | |
| 85 | Mount Merapi Eruption Response | Information not available | DFAT | Information not available | Information not available | 100,000 / 1 year | Financial analysis only |
| 86 | Mount Merapi Eruption Emergency Response | Information not available | DFAT | Information not available | Information not available | 100,000 / 1 year | Financial analysis only |
| 87 | Build Back Better Phase III – Community Empowerment for Earthquake Safe Reconstruction and Retrofitting | Information not available | DFAT | Information not available | Information not available | 382,714.21 / 1 year | Financial analysis only |
| 88 | PEKKA Cianjur Community Centre | Information not available | DFAT | Information not available | Information not available | 40,000 / 1 year | Financial analysis only |
| 89 | Improving Peace and Democracy in Indonesia (Indonesia) | National, Bali | DFAT | To support the Bali Democracy Forum and improve peace and democracy in the Asian region. | The funding will assist the IPD to continue providing support to the Bali Democracy Forum and improve peace and democracy in Indonesia and the region. The Institute aims to become a regional research think-tank on peace and development. Also placement of volunteer to help program of e-publications and manage website operations. Also provides training and capacity building for academics and practitioners in Indonesia and region Funded by AusAID: Operational cost for two years, 2011–2012, that include recruitment new staffs, office operational cost, library, publication and auditing | 1,150,000 / 4 years | IPD Comprehensive Program Report 2012 www.ipd.or.id |
| 90 | Nahdlatul Ulama: Advocacy on Disaster Management Institutions in | Eight districts in East Java | DFAT | Developing disaster management plans in eight districts that are budgeted, linked to communities and aimed at DRR. | Recruitment of eight regional officers; MoUs with BPBD, NU, DPRD; disaster management laws passed, disaster management plans drafted; community mobilisation | 2,170,656.31 / 4 years | Financial analysis only |

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
|----|---|---|------------|---|--|----------------------|--|
| | eight Districts in East Java 2011-2013 | | | | | | |
| 91 | Australia Indonesia Partnership for Justice Bridging Program (Indonesia) | National | DFAT | Provide interim program and financial management support to the reform teams of the Supreme Court and the Attorney General's Office | The bridging program was managed by AusAID's Democratic Governance Unit with administrative support from LeIP. It lasted from Jan to 31 Aug 2011 and provided support to Supreme Court and AGO Program and Financial administration for the Supreme Court and Attorney General Reform Teams Also included ongoing activities by LeIP such as drafting policy notes, Court SOPs. | 439,000 / 1 year | AIPJ Work Plan 2011 Laporan Pertanggungjawaban LeIP Tahun 2011 |
| 92 | Socialisation of Disaster Risk Reduction based in Islamic Boarding Schools in Sukabumi and Tasikmalaya Districts in West Java Province (NU) | Two districts in West Java | DFAT | Socialise concepts about DRR in islamic boarding schools. | Information not available | 90,218.05 / 2 years | Financial analysis only |
| 93 | Agriculture forestry and Community Development Program (Indonesia) | Four districts in NTT (covering 90 villages) | DFAT | Poverty reduction of rural communities by increasing incomes and improving food security in marginal areas through sustainable agro-silvo-pastoral systems and equitable development in Timor and Flores Islands. | Main activities are focused on increase income, access to finance and food security. Support provided to improve agricultural productivity – introducing new technology, new crops / animal husbandry; Obtain access to financial service products. Meant to establish a research centre; Amendment 1 required YMTM to train other NGO facilitators and build networks between government and NGOs – not followed up on in project | 3,000,000 / 4 years | Mid-term Review, 2013 |
| 94 | Bureaucratic Reform Support (Indonesia) | National, Aceh, Jawa Barat, Jawa Tengah, Jawa Timur, Kalimantan Barat, Sulawesi Selatan, NTB, Papua | DFAT | Assisting the Ministry of Administrative Reform to get its policy settings right and supports the implementation of the National Bureaucratic Reform Agenda. Improving civil society engagement to | Capacity building of eight CSO coalitions on advocacy management in 14 districts and eight provinces – total of 24–30 CSO partners. Conduct mapping of BR issues, problem analysis and then public awareness campaigns Representatives from each coalition trained on preparing financial statements and | 10,250,000 / 4 years | Reform the Reformers Continuation, Quarterly Report, April to June, 2014 www.reformthereformers.org |

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
|----|--|---------------------------|------------|--|---|--------------------|---|
| | | | | raise public awareness and strengthen the capacity of organisations to provide oversight of the reform process. | budgets | | |
| 95 | YLBHI – Monitoring and Protecting the Rights of Children in Conflict with the Law | National | DFAT | One of six projects provided with one-year funding contribution as part of government's support for International Children's Day | Information not available | 99,990 / 1 year | Viva news article (http://nasional.news.viva.co.id/news/read/235296-ausaid-kucurkan-rp-5-5-miliar-ke-6-lsm); DFAT website (http://www.indonesia.embassy.gov.au/jaktindonesian/SM11_060.html) |
| 96 | Semarang LBH – Capacity Building for Parents to Protect Children Facing Legal Problems | Central Java | DFAT | One of six projects provided with one-year funding contribution as part of government's support for International Children's Day | Information not available | 90,000 / 1 year | Same as above |
| 97 | Empowering Local Governments and NGOs in Indonesia to Improve Rights of Children in Conflict with the Law | National | DFAT | One of six projects provided with one-year funding contribution as part of government's support for International Children's Day | Information not available | 98,000 / 1 year | Same as above |
| 98 | LBH Anak – Advocacy of Children's Rights in Aceh | Aceh | DFAT | One of six projects provided with one-year funding contribution as part of government's support for International Children's Day | Information not available | 90,000 / 1 year | Same as above |
| 99 | Scoping Mission – Muhammadiyah Hospital and Community Preparedness for Disaster Management (HOPE) Phase II | Information not available | DFAT | Information not available | Information not available | 45,559.74 / 1 year | Financial analysis only |

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
|-----|--|--|------------|--|---|----------------------|------------------------------------|
| 100 | Review of Community Based Disaster Risk Management in Indonesia | Information not available | DFAT | Information not available | Information not available | 85,250.23 / 2 years | Financial analysis only |
| 101 | Community Based Integration of Disaster Risk Reduction into Sustainable Livelihood Program (Indonesia) | Bantul district, Yogyakarta (2 villages) | DFAT | To strengthen community capacity in two villages in managing livelihoods at risk of disasters. | Community Facilitation Training for community | 12,7071.78 / 3 years | Completion report |
| 102 | National Literature Review for Development of the Women in Leadership Program | Information not available | DFAT | Information not available | Information not available | 5,041.25 / 2 years | Financial analysis only |
| 103 | Support to Subnational KPU for the Implementation of Local Elections in Papua | Papua | DFAT | Information not available | Information not available | 487,600 / 2 years | Financial analysis only |
| 104 | Supporting Families to Save Mothers and Children (Indonesia) | NTT | DFAT | Information not available | Information not available | 148,552.87 / 2 years | Financial analysis only |
| 105 | ACTIVITIES FOR DISASTER RISK REDUCTION MONTH WITH THE JAKARTA POST | Information not available | DFAT | Information not available | Information not available | 43,666.73 / 1 year | Financial analysis only |
| 106 | Grant Rahima | Information not available | DFAT | Information not available | Information not available | 3,481.23 / 1 year | Financial analysis only |
| 107 | Support to 7th National | Information not available | DFAT | Information not available | Information not available | 9,815.2 / 1 year | Financial analysis only |

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
|-----|--|----------------------------------|------------|---|--|----------------------|---|
| | Conference on the Community-Based Disaster Risk Management. | | | | | | |
| 108 | Women in Leadership Grants Manager | National | DFAT | Strengthen the voice and influence of women by supporting CSO and organisations interest in gender issues to form a coalition with public and private sectors to find innovative solutions to the challenges in reducing poverty among poor women in Indonesia. | Phase 1: partnering with six CSOs, a national gender institution and an international org to conduct research and preliminary studies to define the scope of the project; Strengthening the capacity of partner orgs and their local partners, particularly in financial and fiduciary capacity | 970,316.53 / 2 years | Final Report, MAMPU Phase 1 |
| 109 | Preliminary Activities for Barefoot Engineer Training in Papua | Papua, West Papua | DFAT | To provide trained technical facilitators for the PNPM Rural / RESPEK programs in Papua and West Papua | Training for public Community mobilising; During preliminary activities, which take place before project start, BaKTI will have conducted a recruitment and selection drive to find the most qualified students and they also have selected the trainers. | 171,871.57 / 2 years | Project Information Document, Appraisal Stage, World Bank Monitoring and Evaluation of Barefoot Engineers Training 2013 |
| 110 | Indonesia Governance Index (Indonesia) | National and across 33 provinces | DFAT | Measure performance in four major arenas of governance (government, bureaucracy, civil society and economy) across all provinces in Indonesia. | Research; Interviews conducted in each province to ascertain governance performance at the provincial level. | 1,480,000 / years | Kemitraan program website (http://www.kemitraan.or.id/project-database/indonesia-governance-index-igi-2012) |
| 111 | Increasing Capacity in Integrating Principles of Gender Equality and Non-Discrimination to Strengthen Civil Society Organisations in Indonesia | Information not available | DFAT | Information not available | Information not available | 64,563.18 / 1 year | Financial analysis only |
| 112 | Mainstreaming Disaster Risk | Information not available | DFAT | Information not available | Information not available | 65,728.24 / 2 years | Financial analysis only |

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
|---------------------------------------|---|--|------------|--|---|--------------------------|---|
| | Reduction by Strengthening Cooperation of Multi-Stakeholders through the National and Subnational Platform in Indonesia | | | | | | |
| 113 | Journalism Competency Workshop | Information not available | DFAT | Information not available | Information not available | 20,822.49 / 1 year | Financial analysis only |
| 114 | Indonesian Social Innovator Award | Information not available | DFAT | Information not available | Information not available | 10,121.46 / 1 year | Financial analysis only |
| 115 | Cocoa Production Specialist for AIPD Rural Joint Mission Trip May 2013 (Indonesia) | Information not available | DFAT | Information not available | Information not available | 2,183.97 / 1 year | Financial analysis only |
| 116 | Research on estimating the impact of social inequality in Indonesia (Indonesia) | Information not available | DFAT | Information not available | Information not available | 23,301.33 AUD / 1 year | Financial analysis only |
| 117 | Tongkat Musa 2 (Indonesia) | Information not available | DFAT | Information not available | Information not available | 93,571.63 AUD / 1 year | Financial analysis only |
| NON-DFAT PROGRAMS IN INDONESIA | | | | | | | |
| 1 | Indonesia Civil Society Support and Strengthening Program (CSSC) | Began national in its scope, in the mid-2000s CSSC changed to concentrating on six provinces as per the new USAID Mission Country Strategy Paper. These included Aceh, | USAID | To assist emerging, reform-minded non-government organisations (NGOs) address key issues associated with increased openness, transparency and reform | There were four key program objectives: 1) Analysis, articulation and effective advocacy for policy reform 2) Improve effective administrative management and planning 3) Build sustainability for CSOs, especially in terms of generating financial resources 4) Grants to Indonesian NGOs awarded and managed effectively A fifth component, the Special Activities Fund (SAF) existed in order to support short | 27 million USD / 5 years | 1) Midterm Evaluation (http://pdf.usaid.gov/pdf_docs/Pdabw897.pdf) 2) Impact Assessment (http://pdf.usaid.gov/pdf_docs/Pdaby277.pdf) |

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
|----|-------------------------------|--|------------|---|--|---------------------------------|---|
| | | East Java, East Kalimantan, North Sulawesi, Papua and West Java. Importantly, thematic focuses of each province varied (with some overlap), including conflict reduction, local governance, and community, environment, and women and children. Some national-level activities continued throughout. | | | term events during program implementation. | | |
| 2 | Program Representasi (ProRep) | 13 Provinces: West Java, Banten, Central Java, East Java, West Sumatra, Riau, East Nusa Tenggara, Papua, Aceh, North Sumatra, Southeast Sulawesi, and West Kalimantan | USAID | <ul style="list-style-type: none"> ▪ It aims: To improve representation by increasing the inclusiveness and effectiveness of groups, networks, and institutions that seek to represent citizens' views, interests, and aspirations to government ▪ To improve the responsiveness, effectiveness and transparency of legislative and policymaking processes. | There are four program areas: 1) Enhancing Civic Participation: capacity building of membership- and constituency-based CSOs 2) Promoting the Application of Policy Research and Analysis: capacity building of think tanks, universities, and CSOs to conduct research 3) Improving Collaboration and Effectiveness in Policy Processes: ensure processes are evidence-based, inclusive, and equitable 4) Advancing Democratic Governance: e.g. event to support DPR to improve how they engage with constituents | \$20–25 million USD / 4-5 years | <ul style="list-style-type: none"> • Second Annual Report (http://pdf.usaid.gov/pdf_docs/PA00JG4W.pdf) • Mid-term Evaluation (http://pdf.usaid.gov/pdf_docs/PA00JZ5K.pdf) • Annual Program Statement (2014) (http://www.representasiefektif.org/webadmin/upload/files/ProRep_APS_No_02_FINAL_May_07_2014.pdf) • Newsletter (2014) (http://www.representasiefektif.org/uploads/files/71fae9735bdeb26080ff0c1fe98bc8e4_ProRep_Newsletter_Vol_1_2014_public_ENG_spread_lores.pdf) • Program Website (http://www.representasiefektif.org/) |
| 3 | Community Empowerment | National, expanding from | JICA | Support for grassroots actors, partnering with | Thematic areas included: 1) Supporting sustainable economic growth | 321 million JPY / 3 years | <ul style="list-style-type: none"> • Community Empowerment Program |

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
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| | Program | focus on eastern Indonesia (i.e. South Sulawesi and East Nusa Tenggara). | | NGOs to increase local economic and social development as well as reducing poverty. JICA employed a participatory planning approach for community development, conducting workshops and seminars on community empowerment and facilitation skills. | (i.e. promotion of local industries) 2) Poverty reduction (health, education, water and sanitation, people's livelihood) 3) Regional development (i.e. community rebuilding) 4) Environmental conservation (protection of natural environment, biodiversity, living environment) 5) Special quick-impact emergency support for post-disaster rehabilitation and reconstruction | | Website http://www.jica.go.jp/indonesia/english/activities/activity06.html • Synergos CEP Case Study http://www.synergos.org/knowledge/01/cepindonesia.pdf • Development Partnership between Japan and Local NGOs: A Case Study in Indonesia http://www.ritsumeai.ac.jp/acd/re/k-rsc/ras/english/publications/ria_en/02_5.pdf • Ex-Post Evaluation http://www2.jica.go.jp/en/evaluation/pdf/2009_0600276_4.pdf |
| 4 | Strengthening Local NGOs in Areas where Extractive Industries Operate | Five districts (Bojonegoro, West Sumbawa, East Kutai, Kutai Kartanegara, Anambas) located in four regions of Indonesia where extractive industries operate (Java, Kalimantan, Sumbawa, and Sumatra) | UNDEF | The 'Strengthening Local NGOs in Areas Where Extractive Industries Operate' project sought to enhance trust-building and cooperation among local governments, non-government organisations (NGOs) and extractive industries by strengthening the capacity and credibility of NGOs as partners in corporate social responsibility (CSR) programs. | The focus was on improving the ability of local NGOs to forge permanent partnerships with companies and local governments in CSR policy design and implementation. The project worked with three types of stakeholders locally and nationally: (i) local governments, (ii) extractive companies and (iii) NGOs/community-based organisations (CBOs). Its operations involved (i) needs assessment by local stakeholders; (ii) promotion of interaction among local NGOs, local governments, and extractive industries through national workshops designed to build trust and forge partnerships; (iii) local workshops, capacity-building, and a micro project competition among 20 local NGOs, and (iv) support for the implementation of 12 micro projects focusing on CSR systems, poverty reduction, and gender equity. | 350,000 USD / 2 years | Evaluation Report http://www.un.org/democracyfund/sites/www.un.org.democracyfund/files/UDF-INS-08-254_Evaluation Report.pdf |
| 5 | Civil Society Initiative Against Poverty (CSIAP) | National | The Asia Foundation, with support from DFID | This program builds on existing networks of Indonesian mass-based | Indonesia's mass-based Muslim organisations are increasingly at the forefront of new policy reform efforts to | Unknown / 2 years | Summary http://asiafoundation.org/publications/force- |

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
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| | | | and DFAT | Muslim organisations by bringing the influence and credibility of Islamic organisations together with the technical advocacy experience of economic reform groups. | reduce poverty and improve governance at the city, district and provincial levels. The Asia Foundation has supported these efforts in a concerted fashion through partnerships with Muhammadiyah, Nahdlatul Ulama, and highly skilled technical advocacy and governance reform NGOs. Working together at the local level, these organisations influence policy and governance practices towards pro-poor outcomes. The program improves governance by utilising citizens' forums at the village and district levels to represent the interests of the poor, advocate for improved services, and reform regulations and other hindrances hampering economic growth in sectors important to the poor. | | download.php?f=%2Fresources%2Fpdfs%2FIDCSIAP.pdf) DFID Support (http://devtracker.dfid.gov.uk/projects/GB-1-114251/) Evaluation (integrated with other Indonesian programs) (http://www.bmz.de/en/publications/type_of_publication/evaluation/international_joint_evaluations/Indonesien_gesamt.pdf) |
| 6 | Support for Good Governance (SfGG) | NTB, Central and West Java, West Sumatra | The German Federal Ministry for Economic Cooperation and Development | The Support for Good Governance (SfGG) project aims at increasing the accountability of the public sector, supporting the creation of a performance-based civil service and promoting anti-corruption initiatives—with strong efforts to strengthen civic involvement. | The overall goal of SfGG is the improvement of public service delivery for all Indonesian citizens. It has three strategic areas of operation: 1. Improvement of public services through civil society participation, 2. Civil service reform including anti-corruption measures, and 3. Enhancing control function of watchdog NGOs regarding public services. | 7 million EUR / 9 years | Program Summary (http://www.institut-fuer-menschenrechte.de/uploads/t_x_commerce/promising_practices_local_governance_accountable_public_services_in_indonesia.pdf) Solok Report (Bahasa) (http://web.iaincirebon.ac.id/ebook/moon/RegionalStudies/laporan_solok.pdf) Success Stories (http://www2.gtz.de/dokumente/bib/06-0724.pdf) Relation to UN Anti-Corruption (http://www2.gtz.de/dokumente/bib/07-0852.pdf) Case Study (http://diplomatie.belgium.be/en/binaries/evaluation_cva_in_donesia_en_tcm312-64805.pdf) Steps to Improve Service Delivery (http://www2.gtz.de/wbf/4tDx9kw63gma/SfGG_Practical_ |

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
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| | | | | | | | Guidebook-Improving_Quality_of_Public_Services-Vol.I.pdf) Steps to Improve Service Delivery: Toolbox (http://www2.gtz.de/wbf/4tDx9kw63gma/SfGG_Practical_Guidebook-Improving_Quality_of_Public_Services-Vol.II_en.pdf) |
| 7 | Inisiatif Kemitraan Asia Tenggara – United States (IKAT-US) | National, 54 organisations across seven Southeast Asian countries | USAID | It aims to be a critical initiative to empower civil society organisations in Indonesia to be effective voices and forces for transformational change through a new chapter in South-South cooperation. | A program to facilitate partnerships among Indonesian, U.S., and regional civil society organisations in five areas critical to the development of democracy, good governance, and respect for human rights: (1) elections and political participation, (2) independent media and freedom of information, (3) peace-building and conflict resolution, (4) transparency and accountability, and (5) human rights monitoring and advocacy. | 15 million USD / 3 years | Program Summary (http://www.whitehouse.gov/sites/default/files/india-factsheets/US-Indonesia_IKAT_civil_society_Fact_Sheet.pdf) Women's Participation Report (http://iknowpolitics.org/sites/default/files/e-book_ikat_us_1_power_english_final_0.pdf) Website (http://www.ikat-us.org/file-download/ikat-us) |
| INTERNATIONAL PROGRAMS | | | | | | | |
| 1 | Australia Mekong Non-Government Organisation Engagement Platform (AMNEP) | Bilateral and regional support in Mekong region: Cambodia, Laos, Myanmar, and Vietnam. | DFAT | 1. Provide AusAID programs in the region with technical support and administrative services to help improve the effectiveness of programs that have an NGO delivery component; 2. Support more collaborative partnership arrangements between AusAID and NGOs. | AMNEP will primarily provide AusAID programs in the region with technical support and administrative services to help improve the effectiveness of programs that have an NGO delivery component. This will involve developing common approaches to partner selection and contracting, monitoring, learning and engaging with risk. AM-NEP will also support more collaborative partnership arrangements between AusAID and NGOs. This will include setting up mechanisms that enable NGOs to bring programming evidence and experience to policy dialogue, program strategies (especially country and delivery strategies), program design and program implementation. A Program Quality | - /5-10 years | Factsheet (http://aid.dfat.gov.au/countries/eastasia/regional/Documents/mekong-ngo-engagement-factsheet.pdf); Final Design Document (http://aid.dfat.gov.au/Publications/Documents/mekong-ngo-engagement-platform-design-doc.pdf) |

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
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| | | | | | Resource Group (PQRG) and an Administrative Support Unit (ASU) will offer services to AusAID and NGO partners on an on-demand basis. | | |
| 2 | Philippines Coalitions for Change Program (CFC) | Philippines – Nationally | DFAT | 1) To improve policy-making and implementation to better meet the needs of poorer citizens; 2) To improve policy and implementation for key areas of governance and service delivery within the scope of AusAID country program objectives. | The goals will be accomplished by: 1. Establishing effective government-civil society coalitions for change based on identified strategic entry points 2. Effectively using evidence-based analysis, driven by the needs of government-civil society coalitions 3. Facilitating and building the capacity of effective government-civil society coalitions for change | 31.8 million / 5 years | Design Document (http://aid.dfat.gov.au/countries/eastasia/philippines/Documents/aaf-design-doc-coalitions-change-pd.pdf) Grant Agreement Deed (http://aid.dfat.gov.au/countries/eastasia/philippines/Documents/aaf-ausaid-asia-foundation-partnership-agreement-pds.pdf) |
| 3 | Western Balkans and Turkey: Civil Society Facility (CSF) | Western Balkans: Albania, Bosnia and Herzegovina, Croatia, the former Yugoslav Republic of Macedonia, Montenegro, Serbia as well as Kosovo under UNSCR 1244/99, Turkey | The European Union (EU) | The goal will be to strengthen civil society bodies and their role in the political process, enhance the capacity of civil society organisations to develop cross-border projects and networks, and familiarise civil society representatives and opinion leaders with EU affairs ... the facility will promote cooperation and transfer of know-how between business, trade union, and professional organisations in the partner countries and the corresponding EU level organisations | There are three activities: (i) support for local civic initiatives and capacity-building (ii) 'People 2 People' program (iii) 'partnership actions' to develop networks between CSOs and to promote transfers of knowledge and experience. | 12 million EUR / 18-24 months | Project Fiche (http://ec.europa.eu/enlargement/pdf/financial_assistance/ipa/2010/pf_7_civil_society_facility_en.pdf) Project Website (https://sites.google.com/site/ipa128287/home) TASCO Comparative Summary (http://www.tasco.org/doc/Report_CSOCapacities.pdf) Workshop PPT (http://civilnodrustvo.gov.rs/media/2012/10/18-5-IPA-CSF_030212.ppt) |
| 4 | Rwanda: Millennium Challenge Account Threshold Program | The component eventually plans to reach all 30 districts in Rwanda, providing assistance at two | USAID | 1) Building CSO Capacity; 2) Strengthening Capacity of Local Officials for Public Participation; 3) Technical Assistance to Develop and Disseminate a Code of Conduct for Civil | Component 2 of this program is Strengthening Civic Participation. There are three priorities within this component, including: 1) Building CSO Capacity: To enhance the technical skills of civil society actors in analysing and contributing to public policy | 15,860,000 USD / 3 years | MCC Assistance Agreement (https://www.mcc.gov/documents/agreements/soag-rwanda.pdf) Evaluation: Baseline Report |

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| | | points in time: 15 districts will receive the program in Year 1 ('Phase I'), and the remaining 15 districts are scheduled to receive the program in Year 2 ('Phase II'). | | Servants | and monitoring government performance in order to promote the independence of civil society organisations and their effective engagement with the government and other institutions. 2) Strengthening Capacity of Local Officials for Public Participation: To strengthen and improve the government's ability to productively interact with citizens and civil society to formulate policy, deliver services and plan development. 3) Technical Assistance to Develop and Disseminate a Code of Conduct for Civil Servants: To develop a code of conduct for civil servants to provide a system through which civil society organisations and individuals are able to offer feedback to the government on the conduct of civil servants and to make recommendations about the content of the code that will promote public accountability for civil servants. | | (http://www.mathematica-mpr.com/~media/publications/PDFs/international/rwanda_baselinert.pdf) Pre-Solicitation Notice (https://www.fbo.gov/utills/view?id=5f29726124eb24eef625f002a371cb55) |
| 5 | Neighbourhood Civil Society Facility | Algeria, Armenia, Azerbaijan, Belarus, Egypt, Georgia, Lebanon, Libya, Jordan, Israel, Republic of Moldova, Morocco, Syria, Tunisia, Ukraine and the occupied Palestinian territories | The European Union (EU) | To support democratisation and enhance the role of civil society | Broadly, to support democratisation and enhance the role of civil society through three components: 1) Component 1. Strengthening non-state actors' capacities to promote national reform and increase public accountability, to enable them to become stronger actors in driving reform at national level and stronger partners in the implementation of ENP objectives. 2) Component 2. Strengthening non-state actors through support to regional and country projects, by supplementing the funding available through thematic programs and instruments. 3) Component 3. Increasing involvement of non-state actors in selected EU-partner countries policy dialogues and in the implementation of bilateral programs. | 22 million EUR / 2 years | Action Fiche (http://ec.europa.eu/europeaid/documents/aap/2011/af_aa_p-spe_2011_enpi.pdf) OSF Policy Brief (http://www.opensocietyfoundations.org/sites/default/files/finder-partner-20111019.pdf) Guidelines for Grant Applicants (https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?ADSSChck=1387598527333&do=publi.getDoc&documentId=137631&pubID=135343) SIPU Terms of Reference (http://www.sipu.se/media/38515/terms_of_reference_csf_south.pdf) |
| 6 | Myanmar: Civil Society | Myanmar – Nationally | DFID | The project aims to build organisational and group | In creating a more empowered and cohesive civil society, the project aims to build | 11 million GBP / 4.75 years | Program Documents (http://devtracker.dfid.gov.uk/) |

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| | Strengthening Program | | | capacities of CSOs to pursue their own initiatives. | organisational and group capacities of CSOs to pursue their own initiatives. Accordingly, this project is unique in that it does not solely focus on social service delivery or implementation trainings. Specifically, DFID will support: 1) Capacity building: mentoring, training and organisational development – tailored to organisations' own needs; 2) Funding to pursue issues that matter to a range of local CSOs. This may include social service delivery (e.g. health and education), economic opportunities and livelihoods, environment, or governance and the rule of law; 3) Building linkages between groups that would not naturally associate – in particular across ethnic and religious divides; and 4) Small amounts of core funding for a few strategically placed organisations not able to obtain significant funding from other sources. | | projects/GB-1-202393/documents/) |
| 7 | Kenya Civil Society Strengthening Program (KCSSP) | Kenya – Nationally | USAID | To help civil society organisations effectively advocate for governance reforms, conduct civic education and peace-building activities, and improve management of natural resources | The Kenya Civil Society Program worked with ~260 civil society organisations to help them effectively advocate for governance reforms, conduct civic education and peace-building activities, and improve management of natural resources. The program provides training on organisational development, financial management, strategic planning, program design and management, networking, and fund raising. | 35.5 million USD / 7 years | Mid-term Evaluation (http://pdf.usaid.gov/pdf_docs/PDAGR853.pdf) Fact Sheet (http://www.usaid.gov/sites/default/files/documents/1860/KCSSP_FACT_SHEET_March_2013.pdf) |
| 8 | Bangladesh: Small Initiatives by Local Innovative NGOs (SMILING) | Disaster-prone districts (15 districts) situated in the river basin areas of Brahmaputra, Padma and Jamuna, and by the west coastal zone of Bangladesh. | The European Union (EU) | SMILING works to support the most vulnerable and marginalised communities living in poverty | SMILING works to support the most vulnerable and marginalised communities living in poverty through 4 strategies: 1. Capacity Building of Local Small NGOs as a crosscutting theme for empowerment and promotion of good governance 2. Governance and Gender as crosscutting issues for ensuring transparency and accountability of the development organisations / institutions to the stakeholders. | 8,134,000 EUR / 4 years | INTRAC Roles (http://www.intrac.org/pages/en/bangladesh.html) Annual Work Program for Grants (https://ec.europa.eu/europeaid/sites/devco/files/awp-bangladesh-smiling-2011_en.pdf) PRIP Trust Report (http://www.priptrust.org/dow) |

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| | | | | | <p>3. Cluster Approach in project implementation for addressing the unique characteristics of localities and special dimensions of poverty.</p> <p>4. Strengthening partnerships between CSOs and the local government for promoting good governance.</p> | | nload/Update Brochure-final 23-1-12.pdf) |
| 9 | Technical Assistance for Civil Society Organisations (TASCO) | Instrument for Pre-Accession Assistance (IPA) beneficiary countries, i.e. Albania, Bosnia and Herzegovina, Croatia, Kosovo, the Former Yugoslav Republic of Macedonia, Montenegro, Serbia, and Turkey. | The European Union (EU) | The general objective of TASCO project is to strengthen the overall capacities and accountability of the Civil Society Organisations (CSOs) within the IPA beneficiaries and to guarantee the quality of services of CSOs and a sustainable role of the CSOs in the democratic process. | <p>The general objective of TASCO project is to strengthen the overall capacities and accountability of the Civil Society Organisations (CSOs) within the IPA beneficiaries and to guarantee the quality of services of CSOs and a sustainable role of the CSOs in the democratic process. The main purposes of the project are to:</p> <ul style="list-style-type: none"> • Increase and improve the capacity and actions of CSOs and to • Improve the democratic role of CSOs. <p>The two main activities are capacity building and technical assistance. It is part of the Civil Society Facility (CSF) mechanism funded by the EU.</p> | 13.4 million EUR / 4 years; 2nd phase 4 years | <p>Overview of TASCO Achievements (http://wbc-inco.net/object/document/12607/attach/Achievements_report_New.pdf)</p> <p>Fact Sheet (http://www.tacso.org/doc/doc_factsheet_2013_v4.pdf)</p> <p>Brochure 2010 (http://tacso.org/doc/doc_brochure_en.pdf)</p> <p>Brochure 2012 (http://tacso.org/doc/_Brochure_EN.pdf)</p> <p>TASCO Phase (2013-2017) Brochure (http://tacso.org/doc/doc20140123_brochure_january2014.pdf)</p> |
| 10 | Philippine-American Fund | Philippines – Nationally | USAID | The project seeks to strengthen the organisational effectiveness and accountability. | A grant facility for non-state actors to support aid effectiveness, channelling 40% of funding to local organisations. The project seeks to strengthen the organisational effectiveness and accountability of at least 120 civil society organisations (CSOs), increase the pool of trainers and mentors who can assist CSOs in meeting good governance and organisational management standards, and develop the capacities of CSO networks to create mechanisms to proactively respond to capacity gaps of their members. | 24 million USD / 5 years | <p>Devex Summary (https://www.devex.com/news/going-hyper-local-in-the-philippines-a-case-study-of-usaid-forward-84706)</p> <p>Ayala Foundation (http://www.ayalafoundation.org/ourprograms/special-project/strengthening-the-capacity-of-csos/)</p> |
| 11 | Kosovo Civil Society Strengthening | Kosovo – Nationally | USAID | There are 4 key aims: 1. Improving the legal framework and cultivating | In practice, this means managing a small grants program for Kosovo NGOs, accompanied by technical assistance to | 4 million USD / 2 years | Final Report (http://democracyinternational.com/sites/default/files/Demo) |

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| | Project (KCSSP) | | | NGO-Government partnerships; 2. Stimulating advocacy successes through multi-layered assistance; 3. Providing customised capacity-building assistance; 4. Prioritising outreach to and inclusion of Kosovo Serb NGOs. | grantees for institutional capacity building. | | cracy International-Kosovo CSSP Evaluation Final Report.pdf) |
| 12 | Strengthening Civil Society in Ecuador (Grupo Faro Project) | Ecuador – National, 24 CSOs given small grants | USAID | The goal was to enhance the capacity of local CSOs to advocate for democracy-related issues and support efforts to influence legislation and policies related to the CSO sector. | Areas of Activity: • Support of advocacy, oversight, and capacity building efforts of 24 CSOs through small grant funds. • Strengthen a national CSO network to build CSOs' capacities and promote collective action. • Develop research studies and publications to enhance the work of the CSO sector. • Identify and disseminate innovative practices within the CSO sector. • Strengthen CSOs organisationally and institutionally through direct coaching and long-term formal courses. • Promote CSO sustainability through hands-on development of sustainability plans. | 1,939,000 USD / 3 years | Performance Evaluation (http://pdf.usaid.gov/pdf_docs/PA00K2JD.pdf) |
| 13 | Accountability in Tanzania (AcT) | Tanzania – Nationally | DFID | This project aims to strengthen social accountability by providing core funding and grants to non-government organisations (NGOs) and civil society organisations (CSOs) to explore and implement innovative interventions and approaches to promote accountability in Tanzania. | This project aims to strengthen social accountability by providing core funding and grants to non-government organisations (NGOs) and civil society organisations (CSOs) to explore and implement innovative interventions and approaches to promote accountability in Tanzania. The tools of RAPID Outcome Mapping Approach have been suggested to support the NGOs and CSOs receiving grants to be specific about the actors it targets, the changes it expects to see and the strategies it employs. | 31 million GBP / 5 years | KPMG Website (http://www.kpmg.com/eastafrika/en/services/advisory/development-advisory-services/services_and_expertise/goodgovernance/accountabilityintanzania/pages/default.aspx) ODI Website (http://www.odi.org/projects/1392-accountability-tanzania) Outcome Mapping Report (<a 169="" 78="" 922="" 942"="" data-label="Page-Footer" href="http://www.accountability.or.tz/wp-content/uploads/2013/03/OM-</td> </tr> </tbody> </table> </div> <div data-bbox=">29 September 2015 |

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| | | | | | | | 2012-for-website.pdf) |
| 14 | Uganda Democratic Governance Facility (DGF) | National, 75 partners by June 2013 | Eight donors: Austria, Denmark, the European Union Delegation, Ireland, the Netherlands, Norway, Sweden and the United Kingdom | The DGF looks to support strengthened democratisation, protection of human rights, access to justice, peaceful co-existence and improved accountability in Uganda. | There are three components: 1) Deepening Democracy: The goal is to promote a more pluralistic, representative and accountable governance based on the democratic values, institutions and processes in Uganda. It aims to contribute to three areas: • Political responsiveness and accountability by creating conditions for elected leaders to be more responsive to citizens' needs and concerns and increasingly more accountable for their performance in office. • Democratic culture, space and values that will focus on developing a pluralistic political system. • Integrity of democratic processes aims to improve the integrity and credibility of key democratic processes and institutions, particularly elections. 2) Rights, Justice, and Peace: The objective is: 'The people of Uganda, especially the poor, vulnerable and women are empowered to claim their human rights, access justice and live in peace.' 3) Voice and Accountability: The objective is: 'Strengthened accountability and transparency of service providers at state and local government level.' | 75 million EUR / 5 years | Annual Report 2012-2013 (http://www.dgf.ug/sites/default/files/dgf_publications/DGF_2012-2013_Annual_Report_0.pdf) Annual Report 2013-2014 (https://drive.google.com/file/d/0B-5NtN1umK0SVkEyZ1h2OE9FTDg/view?usp=sharing) Baseline Study (http://www.dgf.ug/sites/default/files/dgf_publications/DGF_Baseline_Report_1.pdf) KPMG Audit (http://um.dk/en/~media/UM/English-site/Documents/Danida/Activities/Business/Contracts/Contract_documents/Audit_report_DGF.pdf) |
| 15 | Ghana Research and Advocacy Program (G-RAP) | Ghana – National | DFID, Danish International Development Agency (DANIDA), the Royal Netherlands Embassy and Canadian International Development Agency (CIDA) | Provides grants to Ghana based institutions engaged in pro-poor public policy research and advocacy | The Ghana Research and Advocacy Program 'G-RAP' provides grants to Ghana based institutions engaged in pro-poor public policy research and advocacy. G-RAP provides core grant support – as opposed to project support – to strengthen the capacity and funding base of these institutions. G-RAP funding targets institutions that can contribute to the national policy dialogue with government, parliament, district assemblies, donors, and non-state actors. Among the typical beneficiaries of G-RAP funding are think-tanks, development | 16 million USD / 5 years | Midterm Review (http://www.pdaghana.com/images/stories/ReferenceMaterials/2006_mid-term_review_report.pdf) G-RAP Website (http://www.g-rap.org/) Annual Progress Report 2007 (http://www.g-rap.org/docs/prog_rep_2007_version_290308-v3.pdf) Logframe (<a 169="" 78="" 922="" 942"="" data-label="Page-Footer" href="http://www.g-rap.org/docs/g-</td> </tr> </tbody> </table> </div> <div data-bbox=">29 September 2015 |

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| | | | | | organisations and advocacy networks. | | rap_logical_framework.pdf) |
| 16 | Malawi Tilitonse Fund | Malawi – National | DFID, Irish Aid, Royal Norwegian Embassy | The facility provides grants to civil society and community-based organisations that implement governance projects in Malawi. | <p>Tilitonse is a multi-donor pooled grant-making facility supporting more accountable, responsive and inclusive governance in Malawi. The facility provides grants to civil society and community-based organisations that implement governance projects in Malawi. Specifically, it aims to see:</p> <ul style="list-style-type: none"> ▪ Capacity of Civil Society Organisations to enable citizens, particularly poor and excluded groups to claim their rights increased; ▪ Access to information on rights, entitlements and responsibilities increased particularly of poor and excluded citizens; ▪ Monitoring by Malawian organisations of policy and budget commitments, service delivery and public resource management is strengthened; ▪ The engagement of Malawian organisations in influencing policies, strategies and resource allocations at local and national levels improved. | 12.4 million GBP / 4 years | Fact Sheet, Brochure, Call for Proposals (http://tilitonsefund.org/features/fact-sheets/) |

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
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| 17 | Deepening Democracy in Nigeria I and II | Nigeria – National | DFID, USAID, UNDP | <p>Phase I: To strengthen the democratic character of Nigerian political processes and outcomes by providing support to key electoral bodies with technical assistance.</p> <p>Phase 2: To build efficient, effective and responsive political, electoral and democratic institutions. The outputs of DDiN are to ensure credible elections in 2015, better functioning of the National Assembly and strengthening of the capacity and influence of civil society organisations and the media. There is also a focus on better functioning of political parties and increasing women's participation in politics.</p> | As the largest democracy in Africa, Nigeria can offer important points of comparison with Indonesia's civil society. The initial phase of the program was primarily concerned with promoting citizen participation in the elections, though the second phase appears to look more at institutional strengthening for political bodies and CSOs. | Phase 1: 35 million GBP / 2 years; Phase 2: 35 GBP / 3 years | <p>Phase I docs (http://devtracker.dfid.gov.uk/projects/GB-1-200274/documents/)</p> <p>Phase II (http://devtracker.dfid.gov.uk/projects/GB-1-203851/)</p> |
| 18 | Nigeria Governance Partnership Facility | Nigeria – National | DFID | The intended support will aim at addressing key governance impediments to development effectiveness by focusing on improving expenditure management, strengthening social accountability and increasing transparency in revenue mobilisation. | <p>The Facility addresses demand side as well as supply side of governance impediments to development in resource mobilisation and expenditure management and activities will combine political economy analysis, advisory services and counterpart engagement, focused on the state level where the transformational potential is largest.</p> <p>The program will take a venture capital approach, working on the basis that a range of interventions will be implemented to tackle the problem and even if only a few of the outputs are fully achieved then a sufficient return will have been made on the original investment, given that the returns from any of the outputs being successful are likely to be very high.</p> | Up to 19 million GBP / 3 years | <p>Summary and Business Case (http://devtracker.dfid.gov.uk/projects/GB-1-202854/)</p> |

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
|----|--|---|---|--|---|--------------------------|---|
| 19 | Nigeria State Accountability and Voice Initiative (SAVI) | Nigeria – National | DFID | To improve the capability of state houses of assembly, civil society, media and citizens to ask for better performance from government by building their collective credibility, confidence and commitment. | To improve the capability of state houses of assembly, civil society, media and citizens to ask for better performance from government by building their collective credibility, confidence and commitment. This will benefit 62.5 million people (the total population of 10 Nigeria States) by contributing to improved use of public resources essential to the achievement of the MDGs by July 2015. There are five key outputs: 1) Civil society demonstrates a replicable and sustainable approach to issue based policy advocacy and monitoring. 2) Civil society demonstrates a replicable and sustainable approach to engagement in government budget and planning processes 3) An enabling environment for policy advocacy and monitoring, and engagement in government budget and planning processes. 4) Improved state houses of assembly systems for transparency, public engagement and financial oversight. 5) Lessons routinely identified and effectively communicated on SAVI and its state partners' approaches. | 30,999,989 GBP / 8 years | Summary and Documents (http://devtracker.dfid.gov.uk/projects/GB-1-114230/) SAVI Website (http://savi-nigeria.org/) SAVI Approach (http://savi-nigeria.org/wp-content/uploads/2014/03/SAVI_AP_IntroBrief_3PageVersion_Web4.pdf) ODI SAVI Report (http://www.odi.org/publications/8876-politically-smart-nigeria) |
| 20 | Ethiopia Civil Society Support Program (CSSP) | Ethiopia – National, 87 organisations supported in first year | Multidonor Ireland, Norway, Canada, Sweden, UK, Denmark | The Civil Society Support Program (CSSP) is a capacity development program designed to support Ethiopia's civil society and its contribution to the country's national development, poverty reduction and advancement of good governance, in line with the government's policies and strategies. | The five-year program, which began late in 2011, gives priority to capacity development for civil society organisations (CSOs) serving hard-to-reach groups, such as people affected by social marginalisation, geographic remoteness, under-resourcing and overlooked development issues. | 35 million EUR / 5 years | CSSP Website (http://www.cssp-et.org/) Annual Report (http://www.cssp-et.org/wp-content/uploads/2014/03/CSSP-Annual-Report-Web-Version-.pdf) |
| 21 | Cypriot Civil Society Strengthening Program (CCSSP) | Greek Cypriot and Turkish Cypriot communities, 15-20 CSOs | UNDP-ACT and USAID | The program aimed for: <ul style="list-style-type: none"> ▪ A strengthened role for civil society as a crucial actor in deepening | Specifically, it supported: <ol style="list-style-type: none"> 1) Open Training for Cypriot CSOs 2) Tailor-made technical assistance to CSOs 3) Long-term Capacity Building Support | -/18 months | Open Training Courses (http://www.intrac.org/data/files/INTRAC_forms_and_brochures/cyprus_civil_society_st) |

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
|----|------------------------------|---|------------|--|--|--------------------------|--|
| | | supported with capacity building | | <p>citizen's dialogue within and across communities, and participation in decisions affecting the island's development.</p> <ul style="list-style-type: none"> Sustainable local capacity building support provision in both the Greek Cypriot and Turkish Cypriot communities. | 4) Dialogue events between CSOs and other actors | | <p>ngthening_Program__training_course_overview.pdf) INTRAC Summary (http://www.intrac.org/pages/en/ccssp2008.html) Civil Society Intl Forum (http://www.impactalliance.org/file_download.php?location=S_U&filename=12670487781Civil_society_and_rebuilding_peace_CYPRUS.pdf) Program Overview (https://www.google.com/url?sa=t&rct=j&q=&esrc=s&source=web&cd=6&cad=rja&uact=8&ved=0CD4QFjAF&url=http%3A%2F%2Farchive.undp-act.org%2Fdata%2Farticles%2Fintrac_program_overview.doc&ei=L9SIVJzpE4HmsAT9-oHQAaw&usg=AFQjCNEhb6G HKqxmF0rw-NC92ECS1dnsnA&sig2=CneuWSk43WHaTn1HTCzYLA) Case Study (http://www.impactalliance.org/ev_en.php?ID=49274_201&ID2=DO_TOPIC)</p> |
| 22 | Jordan Civil Society Program | Jordan – National, 135 Jordanian partners | USAID | The Jordan Civil Society Program (CSP) aims to cultivate a strong, vibrant civil society through an enabling environment and engaged citizenry. | <p>The FHI 360 program supports the ability of civil society organisations to represent their constituencies, assess the most critical needs of local populations and translate those needs into effective programs and advocacy.</p> <p>Through grants and innovative approaches to training and technical assistance, the Jordan CSP facilitates professional development; strengthens organisational capacity, sustainability and credibility; and ensures improved communication with stakeholders and access to essential information. The program also supports a sound legal and regulatory framework for</p> | 18 million USD / 5 years | <p>Final Report (http://pdf.usaid.gov/pdf_docs/PA00JS5H.pdf) Project Summary (http://www.fhi360.org/projects/jordan-civil-society-program-csp) Program Website (http://www.csp-jordan.org/en/)</p> |

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
|----|--|-------------------------------------|------------|--|---|----------------------------|--|
| | | | | | <p>organisations through information technology tools, evaluation of the impact of proposed laws and training on the content and impact of these laws and regulations. The Jordan CSP considers three results to be markers of achievement of program goals:</p> <ul style="list-style-type: none"> • Civil society is actively engaged as a primary player in the overall reform process. • Civil society organisations are professional, capable, strategic, collaborative and sustainable. • A more enabling environment for civil society work exists throughout Jordan. | | |
| 23 | Moldova Partnerships for Sustainable Civil Society | Moldova – National, 20 CSO partners | USAID | The purpose of the project is to improve the capacity of Moldovan civil society to represent citizen's interests, influence policymaking, and sustain the sector's democratic role for the future. | <p>MPSCS will strengthen Moldovan Civil Society Organisations (CSOs), CSO networks, and improve engagement between CSOs, citizens, and the Government of Moldova to contribute to a more vibrant, effective civil society sector in Moldova.</p> <p>Through MPSCS, FHI 360 will provide a variety of services to government institutions, citizens, and civil society organisations, including funding, technical assistance, institutional development, networking opportunities, and capacity building in the skills necessary to improve the enabling legal and fiscal framework. There are three main objectives:</p> <ol style="list-style-type: none"> 1) CSOs more effectively represent their constituencies 2) Institutional capacity of strategic partners developed 3) Enabling environment more conducive to long-term sustainability of civil society | -/5 years | <p>Grants Program (http://www.fhi360.md/docs/M_PSCS_Support to Moldovan CS Development_RFA_2nd round_2014.pdf)</p> <p>Program Website (http://www.fhi360.md/index.php/Information not available/about-us/what-we-do.html)</p> <p>Annual Implementation Plan (http://pdf.usaid.gov/pdf_docs/PA00K6B6.pdf)</p> |
| 24 | Policy, Advocacy, and Civil Society Development in Georgia (G-PAC) | Georgia – National | USAID | This program aims to strengthen civil society's role in advocating for and influencing the development and effective implementation of public policy reforms. | <p>EWMI will focus on four complementary objectives, which will contribute significantly to the successful achievement of the broader G-PAC goals to:</p> <ul style="list-style-type: none"> • Strengthen the advocacy and watchdog roles of civil society organisations (CSOs) as advocates for an empowered citizenry; | 13.3 million USD / 4 years | <p>Program Summary (http://ewmi.org/sites/ewmi.org/files/files/programpdfs/EWMIGPAC2010.pdf)</p> <p>Midterm Report (http://pdf.usaid.gov/pdf_docs/PDACU709.pdf)</p> |

| No | Name of Program / Project | Area of Activities | Donor Name | Objectives | Program Description / Key Activities where They Related to NGOs | AU\$ / Period | Documents Referenced ⁶⁸ |
|----|--|----------------------------|----------------|---|---|-------------------------|--|
| | | | | | <ul style="list-style-type: none"> • Improve public policy discourse, research and analysis leading to the development of viable policy options which reflect the citizenry's needs to government; • Enhance the institutional capacity of universities in the areas of public policy, public administration and political science; and • Build coalitions to develop strong networks of CSOs throughout Georgia and strengthen their connections to media, political parties and constituencies. | | |
| 25 | Kyrgyz Republic Collaborative Governance Program (CGP) | Kyrgyz Republic – National | USAID and DFID | CGP works to foster effective collaboration between civil society and the Government of the Kyrgyz Republic to deliver social services to citizens, resulting in a more responsible and accountable government as well as a more credible, sustainable civil society. | CGP supports government efforts to increase civil society participation in service delivery through social procurement mechanisms. Simultaneously, CGP works to strengthen civil society's ability to shape public policy, enhance government transparency and outreach to citizens, and more actively, engage citizens in advocacy. Focusing on three interconnected areas CGP works to: <ol style="list-style-type: none"> 1) Promote Government Support for Social Procurement 2) Build the Capacity of the Civil Society Sector 3) Engage Citizens in Public Oversight | 8 million USD / 5 years | <p>Program Summary (http://www.ewmi-cgp.org/images/pub_general.pdf)</p> <p>Fact Sheet (http://www.usaid.gov/kyrgyz-republic/fact-sheets/collaborative-governance-program)</p> |

05

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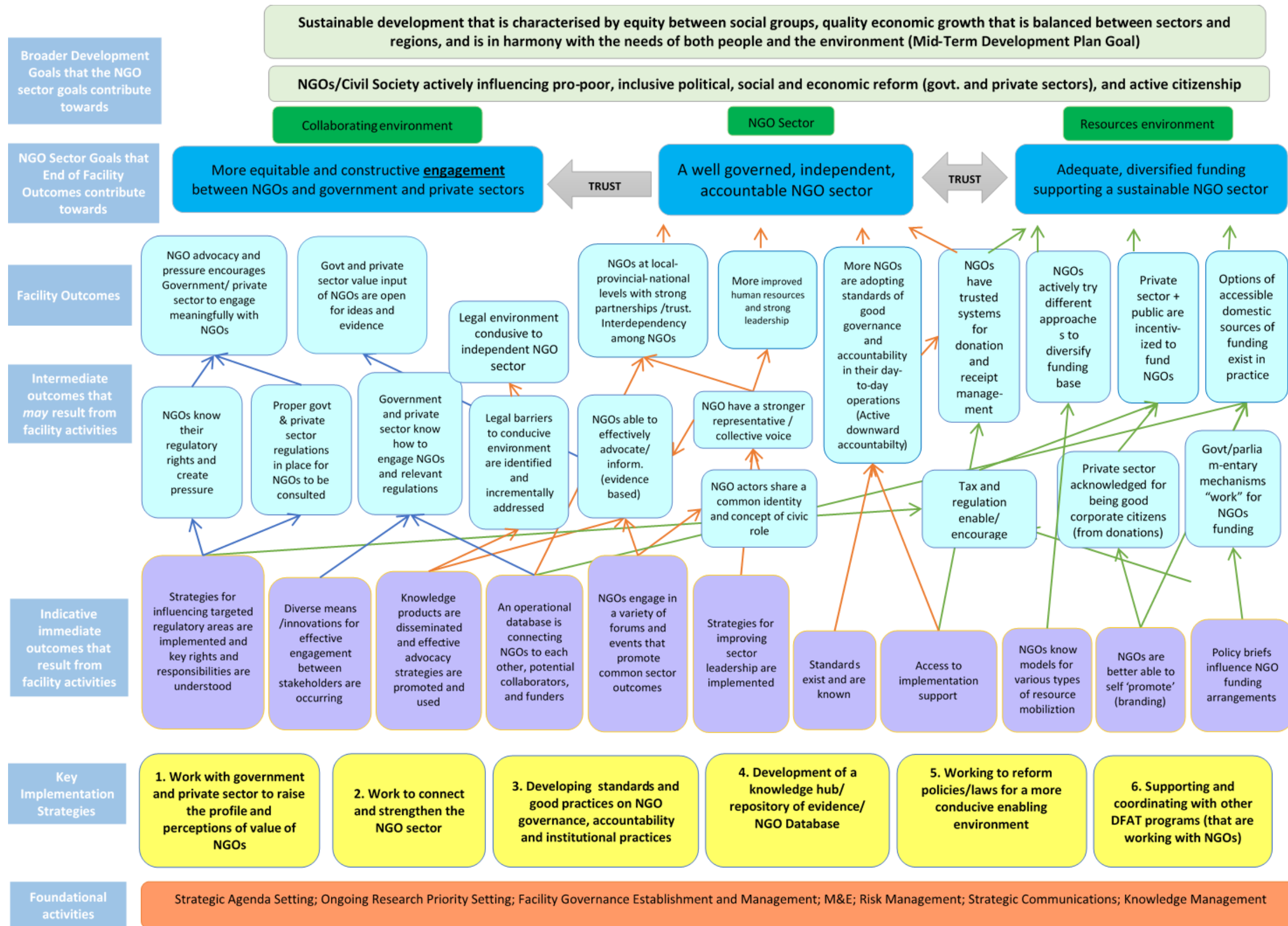
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06

COMPLETE NSSC FACILITY
LOGIC MODEL

Annex 6 Complete NSSC Facility Logic Model



07

INDICATIVE ACTIVITIES
FOR EACH STRATEGY

Annex 7 Indicative Activities for each Strategy

| Key Implementation Strategies | Indicative Activities |
|---|---|
| 1. Work with government and private sector to raise the profile and perceptions of value of NGOs | <ul style="list-style-type: none"> ▪ Convene forums and broker round-table discussions on development issues of mutual interest between NGOs and: <ul style="list-style-type: none"> ▪ private sector ▪ related government bodies ▪ other civil actors ▪ Raise awareness of existing opportunities and rights for policy inputs ▪ Trialling partnership initiatives ▪ Monitoring of government and private sector engagement with NGOs |
| 2. Work to connect and strengthen the NGO sector | <ul style="list-style-type: none"> ▪ Create and/or strengthen multi-stakeholder networks with clear purposes that bring together: <ul style="list-style-type: none"> ▪ NGOs at various levels and from various sectors ▪ NGOs and support/resource organisations ▪ Key individuals ▪ Establish working groups around NGO sector issues inclusive of development sectors, regions, faiths, and issues ▪ Foster intermediary and other support functions in the NGO sector ▪ Direct support for key networks or organisations (NGOs) that are 'under threat' ▪ Sustainability strategies (including asset building) ▪ Capacity development for evidence based advocacy ▪ Communication strategy ▪ Forums, leadership standards ▪ Working on strengthening sector identity and voice ▪ Referral service, training, CB ▪ Best practices access to leadership courses ▪ Semi workshop on resource mobilisation at national and subnational level ▪ Create fundraising events in collaboration with NGOs ▪ Provide innovative grants of fund raising to a couple of national and subnational NGOs ▪ Coalition for promoting value for NGO work ▪ Trial of new ideas and policies to create evidence |
| 3. Developing standards and good practices on NGO governance, accountability and institutional practices | <ul style="list-style-type: none"> ▪ Trialling governance/accountability standards ▪ Institutional capacity development ▪ Advocating for sound, diversified evidence based programming ▪ Exploring fundraising models/mechanisms ▪ Branding, promotion and publication strategies ▪ Leadership regeneration models ▪ Support for effective MEL ▪ Skills training ▪ Support to scale-up effective pilots |
| 4. Development of a knowledge hub/repository of evidence/NGO database | <ul style="list-style-type: none"> ▪ Database on NGOs ▪ Database on policies, regulations and Corporate Social Responsibility programs ▪ Research on NGOs – related issues ▪ Research repository ▪ Referral service – e.g. to capacity development organisations, research institutions ▪ Capacity support by donors/intermediaries ▪ Information clearing house on all NSSC-generated reports and results , and from other external sources ▪ Research and publish successful fundraising efforts by national/subnational NGOs ▪ Monitoring of government and private sector engagement with NGO |

| Key Implementation Strategies | Indicative Activities |
|--|---|
| | <ul style="list-style-type: none"> ▪ Workshop for joint action |
| <p>5. Working to reform policies/laws for a more conducive enabling environment</p> | <ul style="list-style-type: none"> ▪ Development/reform of targeted laws and regulations relating to: ▪ NGO Registration ▪ Community Organisations Law (UU Ormas) ▪ CSR policy and legislation ▪ Tax codes ▪ Action research on reforms ▪ Policy brief preparation ▪ Advocacy for NGO inclusion in government/private sector strategic planning and budgeting etc. |
| <p>6. Supporting and coordinating with other DFAT programs (that are working with NGOs)</p> | <ul style="list-style-type: none"> ▪ Actively support/coordinate with other DFAT programs on broad civil society agenda ▪ Trialling various recommendations for: ▪ NGO Collaboration in investment designs ▪ Equitable procurement practices ▪ Report streamlining (including financial) ▪ Optional funding modalities ▪ Joint advocacy to Gol ▪ Joint initiative reviews and evaluations |

08

INDICATIVE POSITION DESCRIPTIONS

Annex 8 Indicative Position Descriptions

Position Description – Team Leader

The Team Leader responsible for overall management of the facility in line with the strategic direction set by the Technical Committee.

Responsibilities

- > Provide strategic direction and take lead on the overall management and implementation of the facility from the start through the end of the program.
- > Keep the facility programs and activities on track, administer, manage, implement, and monitor the facility in alignment with its intended purpose and scope, budget, timeline with guidance from the Technical Committee and in alignment with DFAT Australia's requirements;
- > Work closely with, and providing flexible support to program partners including providing advice and strategic guidance on program issues as well as on the management and implementation of the program;
- > Utilise the most effective capacity building approaches to ensure that institutional, organisation and individual capacity improvements are sustainable;
- > Encourage and support partner efforts to improve coordination, collaboration and expand their networks through the life of the facility;
- > Work closely with and provide support for other DFAT Australia programs and partners that works and engage with NGOs across the country;
- > Take lead on supervision and performance evaluation for the core leadership team personnel and advisors;
- > Work in a way that is non-hierarchical and sensitive to cultural, inclusiveness, and gender issues in Indonesia.

Skills, Knowledge and Experience

The Team Leader will have the following skills, knowledge and experience:

- > A Master or post-graduate degree in any one of these fields: development studies, non-profit studies, social sciences including public policy, social work, or other development-related fields.
- > At least 10 years of demonstrated program or project management experience, including managing medium- to large-scale development program/facility and experience managing teams of multi-disciplinary professionals.
- > At least 5 years demonstrated experience and skills in planning, budgeting, administering, monitoring and reporting for multi-project programs located in the complex social and environmental context of Indonesia.
- > Demonstrated understanding of NGO sector and development issues in Indonesia and more broadly.
- > Demonstrated experience working with civil society/non-government organisations actors and with other counterparts including government and the private sector in Indonesia.
- > High level policy and analytical skills.
- > High level interpersonal and communication skills, including the ability to convey concepts clearly and concisely.
- > Professional-level English and Indonesian language competencies.

Position Description – Senior Program Officer

The Senior Program Officer will report directly to the Team Leader and be responsible for stakeholder engagement, in particular with NGOs and the NGO Advisory Panel and providing oversight to the DFAT liaison officer and the communications officer; and for overall management and quality control of core activities.

Responsibilities

- > Work closely with the Team Leader and provide support for the overall management and implementation of the facility from the start through the end of the program.
- > Take lead on development and implementation of engagement plan with NGOs, the NGO Advisory Panel, other stakeholders and relevant program partners;
- > Manage and oversee all program implementation, design, and delivery including for capacity building-related activities targeted at capacity development of non- government and other stakeholders.
- > Provide strategic direction and supervision in program and activity planning for engagement with DFAT programs and grant-related program management and implementation.
- > Participate in program monitoring, evaluating, and periodic reporting related to facility programs and activities.
- > Work closely with selected NGO partners to ensure adequate capacity is built in various areas of the program to ensure sustainability of the program.
- > Perform other duties as assigned.

Skills, Knowledge and Experience

The Senior Program Officer will have the following skills, knowledge and experience:

- > A master or post-graduate degree in any one of these fields: development studies, non-profit studies, social sciences including public policy, social work, or other development-related fields.
- > A minimum of eight years related experience in implementing technical and organisational capacity building for NGOs / civil society sector in Indonesia.
- > Demonstrated experience working in donor or development context.
- > Demonstrated knowledge of dynamics of and relationships in the Indonesian NGO sector, and an understanding of development issues in Indonesia and more broadly.
- > Demonstrated experience working with multi-stakeholder actors including government and the private sector in Indonesia.
- > Proficiency with activities, theories, methods and technology in capacity building field especially in supporting NGOs and in relation with multi-stakeholder engagement.
- > Demonstrated interest in interacting with local sub-partners as well as national level partners. Curiosity to ask questions and challenge assumptions is necessary
- > Demonstrated flexibility, adaptability and the ability to perform and collaborate with a wide range of personalities under challenging conditions.
- > Strong planning, community mobilisation and inter-cultural communication skills required. .
- > Professional-level English and Indonesian language competencies.

Position Description – Operations Manager

The Operations Manager will report directly to the Team Leader and responsible for back-end support of operations for the whole facility and all activities; provides oversight on hiring personnel, procurement and contracting of implementing partners, overall finance and administration, and office support staff.

Responsibilities:

- > Maintain financial systems to track funding and project costs under grants, cooperative agreements, contracts, and subcontracts.
- > Work with program partners and staff, supervise, review expenditures related to grants and contracts for accuracy, allowability, adequate supporting documentation, proper authorisation, compliance with internal policies and donor requirements, proper recording of project and account numbers, and availability of budgeted funds. Coordinate partner financial reviews as necessary. Oversee proper allocation of invoices to funding sources and expense categories, monitor costs against budgets and obligated funds
- > Supervise the preparation and submission of financial deliverables. Assist in the design of various financial report formats, prepare reports and upon approval, submit the reports to DFAT
- > Develop financial policies and procedures to ensure compliance with donor regulations. Write and/or edit as necessary to ensure a continuously updated affiliate financial manual / handbook. Offer training and ensure that financial policies and procedures are adhered to by all staff and program partners.
- > Provide capacity support to program partners to ensure accounting systems and practices are sound, adhere to best practices, and monitor adherence to internal controls. Work with partner finance teams to ensure timely reporting of expenses and documentation
- > Perform site visits as needed to offer training to affiliate finance staff on finance manual and financial processes and to audit controls. Ensure that all financial and project reports have been completed as required.
- > Perform other duties as assigned.

Skills, Knowledge and Experience

The Operations Manager will have the following, skills knowledge and experience:

- > At least a Bachelor's Degree in Accounting or Finance; an MBA, CPA, or other advanced degree is preferred
- > Minimum five plus years administering or coordinating financial activities
- > Accounting/financial management experience in a civil society setting
- > Excellent skills in Excel spreadsheet presentations and in financial reporting systems
- > Familiarity with DFAT Australian Aid financial and procurement procedures
- > Excellent relationship-building and relationship-management skills, with a demonstrated ability to influence and motivate colleagues
- > Excellent interpersonal, verbal, written and cross-cultural communication skills essential
- > Knowledge and experience of working with Indonesian civil society / non-government organisations on grants and financial management strongly preferred

Position Description – Gender and Inclusion Specialists

The Gender and Inclusion Specialist(s) will report to the core team and responsible for ensuring gender equality and social inclusion is taking into account into overall management and implementation of the facility programs, activities, and monitoring, evaluation, and learning process. There is a preference for one individual with the capacity to carry out work related to both gender and inclusion but also the possibility to contract two separate individuals for the position.

Responsibilities

- > Develop, manage and implement comprehensive gender and inclusion strategies for the facility in line with the facility's principle engagement and investment criteria.
- > Work closely with the core team and providing support for the gender and inclusion mainstreaming in overall management and implementation of the facility and when working with program partners.
- > Manage and oversee all program implementation, design, and delivery including for capacity building-related to gender and inclusion activities targeted at capacity development of NGOs and other stakeholders.
- > Provide direction and supervision in program and activity planning for gender and inclusion including for engagement with DFAT programs and grant-related program management and implementation.
- > Participate in program monitoring, evaluating, and periodic reporting related to gender and inclusion programs and activities.
- > Work closely with selected NGO partners to ensure gender and inclusion criteria is built in various areas of the program to ensure gender and inclusion requirements and criteria are met.
- > Perform other duties as assigned.

Skills, Knowledge and Experience

Gender and inclusion specialist(s) will have the following, skills knowledge and experience:

- > A master or post-graduate degree in any one of these fields: development studies, gender studies, social sciences including public policy, social work, or other development-related fields or a bachelor degree with significant years of experience.
- > A minimum of 5 years related experience as gender and / or inclusion specialist
- > Demonstrated experience working with NGOs and in donor or development context.
- > Demonstrated understanding of gender and inclusion issues in Indonesia and more broadly.
- > Proficiency with activities, theories, methods and technology in implementing gender and inclusion program especially related to supporting NGOs and in relation with multi-stakeholder engagement.
- > Demonstrated flexibility, adaptability and the ability to perform and collaborate under challenging conditions.
- > Strong planning, community mobilisation and inter-cultural communication skills required.
- > Professional-level English and Indonesian language competencies.

Position Description – Monitoring, Evaluation and Learning Specialist

The Monitoring, evaluation, and learning specialist will report to the Team Leader and be responsible for implementation of the overall monitoring, evaluation and learning program and provide support to program partners and AusAID in managing the implementation of the program.

Responsibilities

- > Lead the design and implementation of monitoring, evaluation, and learning systems for the overall facility programs and activities
- > Work with program partners and other stakeholders to provide information on MEL implementation process and to promote continual learning culture
- > Develop and implement methodologies and standards for monitoring and evaluating facility programs and activities and improving data quality all the times.
- > Collect and analyse data and information with relevant methodologies and measurements on the facility outcomes and NGO Sector Goals
- > Report and present monitoring, evaluation, and learning data based on findings
- > Train and mentor program partners throughout the life of the facility
- > Identify any risks to the facility's ability to report on the achievements of the facility outcomes and NGO Sector Goals.
- > Perform other duties as assigned.

Skills, Knowledge and Experience

The Monitoring and Evaluation Specialist will have the following, skills knowledge and experience:

- > A master or higher degree in relevant discipline and practical experience in developing and implementing, monitoring and evaluation activities, preferably in the civil society, NGO, or non-profit area.
- > Minimum of five years of relevant professional experience in monitoring, evaluation, including data quality management, data verification, data collection and analysis, and reporting.
- > Minimum three years of experience in conducting capacity development in MEL methods and practices, preferably in a civil society context
- > Demonstrated experience supporting the monitoring and evaluation programs in line with DFAT Australian Aid or other donor context.
- > Experience working MEL with civil society organisations or NGOs
- > Ability to work independently, take initiative and manage a variety of activities concurrently
- > Ability to communicate technical issues effectively and persuasively orally and in written
- > Demonstrated ability to transfer knowledge through training and mentoring.
- > Demonstrated flexibility, adaptability and the ability to perform and collaborate under challenging conditions.
- > Professional-level English and Indonesian language competencies.

Position Description – Communications Officer/DFAT and other donor program liaison

The Communications Officer / DFAT and other donor program liaison will report to Senior Program Officer and provide support to program partners, and liaise DFAT and other donor programs as well as coordinate work on the database.

Responsibilities

- > Lead technical direction/technical assistance in program and activity planning for engagement with other DFAT programs;
- > Develop, plan and implement communication and community outreach program approach and strategies with NGOs and other stakeholders
- > Ensure and facilitate sharing of lessons-learnt and good practices for NGOs
- > Facilitate strategic relationships between DFAT programs and NGOs including information sharing and regular update to and from NGOs
- > Perform other duties as assigned.

Skills, Knowledge and Experience

The Communications Officer / DFAT and other donor program liaison will have the following, skills knowledge and experience:

- > At least a Bachelor's Degree in relevant field: development studies, social sciences including communication, public policy, social work, or other development-related fields; A master degree or other advanced degree is preferred
- > Have at least five years of experience in managing communications for development programs/projects, particularly involving NGOs / CSOs as well as other stakeholders at national and a local (provincial or district) level.
- > Highly familiar with current DFAT Australian aid programs and context
- > Familiarity with NGO context in Indonesia
- > Excellent relationship-building and relationship-management skills
- > Excellent interpersonal, verbal, written and cross-cultural communication skills essential
- > Demonstrated flexibility, adaptability and the ability to perform and collaborate under challenging conditions.
- > Professional-level English and Indonesian language competencies.

09

SUMMARY OF GOVERNANCE STAKEHOLDERS

Annex 9 Summary of Governance Stakeholders

National / support NGOs

Indonesian National NGOs are actors who have been playing a constructive and significant role in the country's movement for reform. They are vibrant, active and are evolving through the country's transition to be more developed and democratic. Some of them are performing better than others. Working with well performing national NGOs to support the capacity development of the NGO sector is crucial to NSSC success. Some prominent institutions and their leaders are both allies and advocates for NSSC agendas and should be part of the advisory body.

Subnational NGOs

Subnational NGOs have played a role as local defenders of reform, critical actors and have helped ensure decentralised democracy/political/financial power have positive impacts on the ground. Local NGOs work on various thematic issues and understand the local context better than others. However, they tend to have small budgets, are often 'one-man shows,' and are not well connected in many cases with higher-level NGOs. NSSC needs to ensure it is connected to sub national NGOs, accommodate their views and perspectives and ensure the facility supports their capacity as a sector. The facility should be perceived to work together collectively to develop NGO sector capacity in Indonesia.

The Office of the President

The president appointed the chief of the President's Staff and established the presidential support team under the President's Office in December 2014. This is the core team with responsibility to provide support to the president on various issues of coordination and communication. If the NSSC manages to build a link formally with this office, such as inviting them to co-Chair the Technical Committee, it will provide support for NSSC from the President and the executive overall. The President's Office has the stronger coordination mandate and could ensure ministries and departments support NSSC initiatives. An alternative option is for the NSSC to have indirect engagement with the President's Office either by consulting them informally on a regular basis.

National Development Planning Ministry (*Bappenas*)

Bappenas is mandated to assist the President with policy formulation and the coordination of development planning. Under President Joko Widodo's leadership, Bappenas is still the key government agency for planning and coordination. They are also perceived as a relatively neutral entity that works to support the executive on planning. The agency is open and experienced in engaging with non-state actors, including a familiarity with DFAT. The option to have Bappenas as a Co-Chair of the Technical Committee is a strong one. Alternatively the NSSC could establish a direct relationship on thematic issues with various units within Bappenas.

Ministry of Home Affairs (*Kemendagri*)

The Ministry of Home Affairs is specifically mandated to deal with NGO issues including registration and permits for NGO activities. The NGO community might be uncomfortable working with the ministry – it is unpopular due to its efforts to control, regulate and register NGO activities. NSSC needs to build at least a regular interaction with the Ministry of Home Affairs to ensure a common understanding and perception of NSSC work on support to the NGO sector. This will be especially important if working on the system for registering CSOs / NGOs becomes a priority for the NSSC, or if it will pursue work on laws like *UU Ormas* (mass organisation laws).

Ministry of Finance (*Kemenkeu*)

The finance minister assists the President in overall financial management, revenue, tax and management of wealth / assets. The ministry formulates the national policy on all aspect of the financial sector and its implementation as well as developing technical policies. It also monitors, evaluates and recommends changes in the financial sector to the President. NSSC could build a cooperation with the Ministry on two issues. One is on financial reform and the second one is on the tax relief and tax incentive policies for private sectors who are willing to provide donation to NGO sectors. Ministry of Finance is also responsible to ensure the financial decentralisation under the current autonomy policy is effective and supporting the national development agenda. This is a key relevant issue to NSSC.

National Parliament

Indonesia's National Parliament has gained significant power since the reformasi era commencing in 1998. It consists of the People's Representative Council (DPR) and the Regional Representative Council (DPD). The DPR is powerful in decision-making processes in Indonesia. They have been playing an increasingly powerful role in approving the national budget and setting the legislative agenda. They have a very mixed reputation with some perceiving the DPR as among the most corrupt entities in the country. NSSC needs to build a link with the DPR to ensure a collaborative relationship, especially on the legislative agenda.

Local government and parliaments

Since the enactment of Law regarding Local Government in Indonesia, local governments has a strategic position and now play a greater role in administering their affairs with a stronger power in financial and development planning at the provincial and kabupaten level. Both local government and DPRD involve in day to day activities of running the province / kabupaten and initiating local regulations. Since 2005, heads of local government (governors, regents and mayors) have been directly elected by popular election. The successful of local development and service deliver are determined by the capacity of local government in management of local resources and planning. Stronger NGO sectors at the subnational level is crucially important to ensure the effective role of NGOs as watchdogs, critical and constructive development partners with local government and DPRD. NSSC need to support the work to facilitate engagement between NGO sector and the local government and DPRD.

Chamber of Commerce and Industry (*KADIN*)

Kamar Dagang Indonesia (KADIN or Indonesia Chamber of Commerce and Industry) is the umbrella group for many businessmen / women and the private sector. They have a massive network nationally and in every province which could potentially develop cooperation with the NGO sector. The NSSC needs to engage with KADIN and this should be done through identification of the leadership structure in KADIN and followed up by meeting with these key individuals. In the long term a formal relationship needs to be established between NSSC and KADIN.

10

MONITORING, EVALUATION AND LEARNING FRAMEWORK

Annex 10 Monitoring, Evaluation and Learning Framework

1. Scope of the Monitoring, Evaluation and Learning (MEL) Framework

The basic premise of the design of this facility is that supporting NGOs in building on their strengths and addressing critical challenges will lead to a stronger NGO sector that better serves the needs and interests of all people in Indonesia's development. This MEL Framework is designed to explore and explain the contribution the NSSC makes towards developing a strong NGO sector nationally.

The NSSC aims to contribute towards the three key NGO Sector Goals that were identified as being critical:

- > equitable and constructive engagement with government and the private sector;
- > a well governed, independent and accountable sector; and
- > adequate, diversified funding.

To contribute towards these goals, the NSSC will bring together a wide variety of stakeholders who interact at different points in time and duration across a variety of institutional levels to achieve common objectives. The flexible nature of the NSSC will enable the pursuit of objectives that are innovative in nature, and in some cases emergent, such as initiating new relationships and exploring untested approaches. Successfully influencing such a complex processes of change will require a monitoring and evaluation system that makes strong use of evidence to underpin mutual learning.

1.1 The purpose of the MEL Framework

The success of this facility will be largely dependent on the extent to which it can promote broader learning across a wide range of stakeholders and facilitate the emergence of effective contributions to developing a strong NGO sector. As a result, the MEL System will adopt a strong **learning focus**. The purpose of the MEL Framework is therefore to:

- > facilitate effective management of the NSSC by providing information on implementation process and promoting a continual learning culture;
- > provide accountability by demonstrating achievement of outcomes; and
- > provide the basis for broader learning by stakeholders.

1.2 Audience

The primary audience of data produced by the MEL system are the people who will actively use and reflect on this information to manage and improve implementation of the NSSC. This includes the core team, partner NGOs; those with an oversight function in DFAT as well as other programs in line with the frontline strategy; and the NSSC's governing bodies.

The Secondary audience are expected to have an interest in many aspects of the information produced, but may be less involved in using the evidence to inform day to day decisions. This includes a wider range of NGOs, Government partners, DFAT and NGOs globally. The Primary and Secondary audience and their specific interest in the information generated through the MEL System are detailed in Table 1.

Table 1. MEL audience and key purpose

| Audience | Stakeholder | MEL purpose |
|----------|-----------------------------|-------------|
| Primary | Core personnel | a, b, c |
| | Partner NGOs (implementing) | a, b, c |
| | DFAT (specific individuals) | a, b |

| Audience | Stakeholder | MEL purpose |
|------------------|--|-------------|
| | Governing bodies (Technical and NGO panel) | b, c |
| | Wider NGO across Indonesia | b, c |
| Secondary | Government of Indonesia | b, c |
| | DFAT more broadly | c |
| | Other DFAT programs | c |
| | The global NGO community | c |

a = management; b = accountability; c = broader learning

As the primary audience have a principal interest in using MEL data to actively manage the NSSC, reporting and communicating MEL System products will have a large focus on maximising broader learning and harnessing lessons to continually improve the way the NSSC contributes to NGO sector outcomes.

1.3 Approach to this MEL Framework

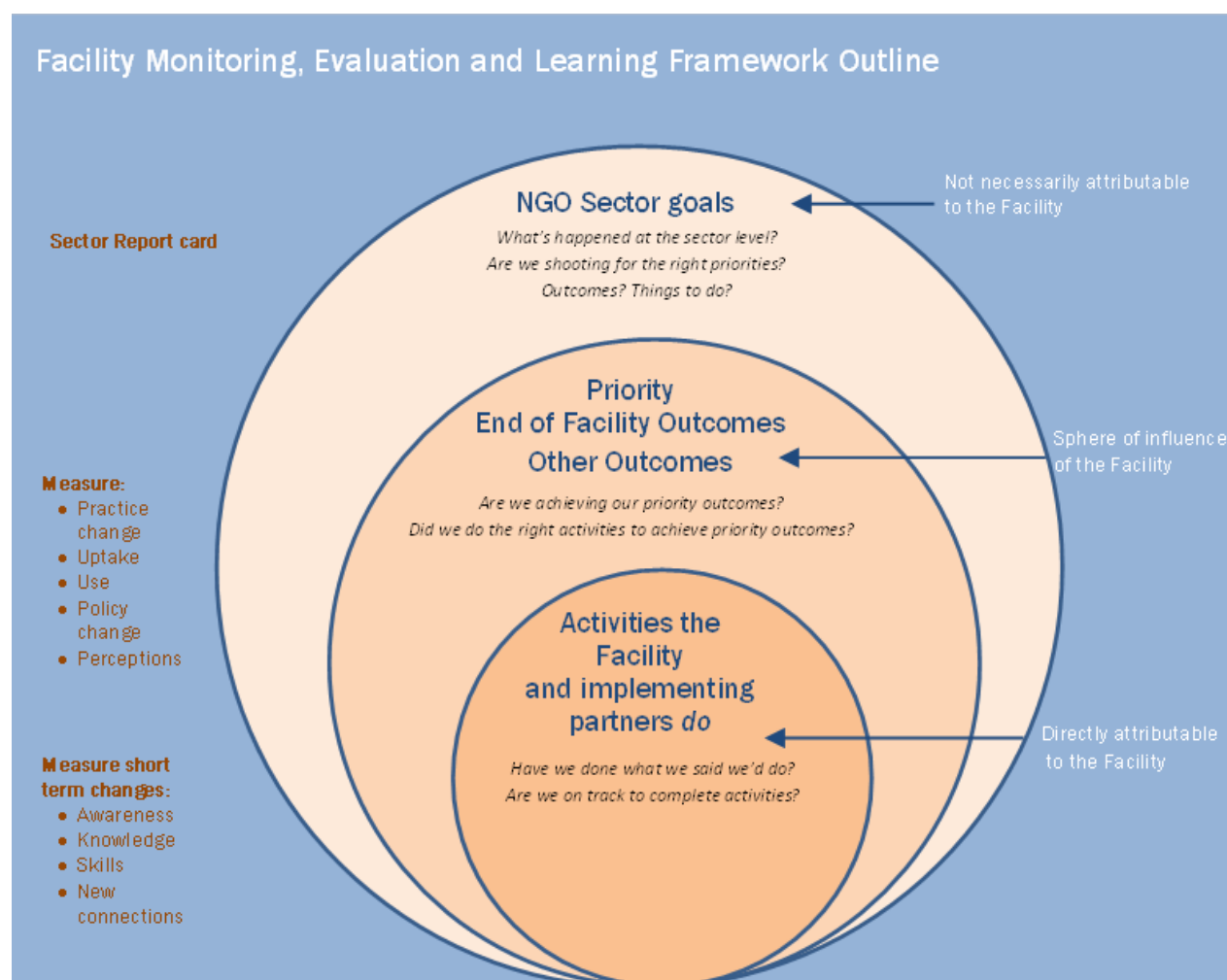
The approach to this MEL Framework is largely focussed on the needs of the core NSSC personnel and the NGO Advisory Panel for high utility evidence that will be used to continually improve the work of the NSSC. This can be described as a utilisation-focused approach, which selects key evaluation questions that relate closely to the needs of the primary audience for information.

Developed by Michael Quinn Patton, Utilisation-Focused Evaluation (UFE) is an approach based on the principle that a good MEL system should be judged on its usefulness to its intended users. Therefore, MEL should be planned and conducted in a way that enhances the likely utilisation of both the findings and of the process itself to inform decisions and improve performance. UFE has two essential elements. Firstly, the primary intended users of the evaluation must be clearly identified and personally engaged at the beginning of the evaluation process to ensure that their primary intended uses and information needs can be self-identified. Secondly, these intended uses of MEL system data and findings by the primary users should guide all other decisions that are made about the evaluation process. Accordingly, one of the first tasks of the MEL Adviser / NGO Provider⁶⁹ will be to discuss and agree these needs with the relevant governing bodies and confirm or refine the tentative Key Evaluation Questions presented below.

Given the emergent nature of NSSC outcomes and the flexibility of a facility approach to design and implementation, utilisation-focused evaluation is an appropriate choice as compared with other approaches for MEL. This framework will therefore largely be focused on the **process** through which change is exerted in the overall NGO Sector and how this can be improved, rather than on the detailed evaluation of the *impact* of these changes on equitable development outcomes.

However, stakeholders will also be interested in the outcomes of a strengthened sector for NGOs and in the detailed evaluation of the *impact* of these changes on equitable development outcomes. Contribution analysis will therefore be used to measure contribution to impact. These findings will be used to develop an overall performance story, which will aim to make plausible assertions about the contribution of facility activities to overall NGO Sector Goals. Figure 1 below outlines the different levels of contribution and attribution, with an explanation of the nature of the enquiry and their associated areas of focus.

⁶⁹ Refer section 5 below for a discussion of whether the MEL function would be undertaken by the NSSC Team or a contracted NGO provider

Figure 1 Three tiers of contribution and attribution

1.4 Components of this MEL Framework

This MEL Framework includes a set of interrelated components that collectively form its conceptual core starting from the theory of how NSSC is expected to work and then testing whether and how it did. These components comprise:

- > a facility logic that articulates three broader NGO Sector Goals that all NSSC activities will be expected to contribute towards, and the priority facility outcomes;
- > a set of overarching key monitoring and evaluation questions which summarise what the primary audience want to know about the performance of this facility, and ultimately will guide the data collection; and
- > a *tentative* results framework that will be progressively developed as activities are agreed in order to provide a 'snap shot' of performance towards priority outcomes across all facility inputs at regular time intervals.

These are described in detail below.

2. Facility Logic

The facility logic provides the basis for the overall results framework which suggests the expected levels of outcomes progression over the seven years. These are included in diagrammatic form in

Figure 1 and Annex 6 of this design. There are three main **NGO Sector Goals** that NSSC will contribute towards, and these will be reported at Tier 1. These are:

- > more equitable and constructive engagement between NGOs and government and private sectors;
- > a well governed, independent, accountable NGO sector; and
- > adequate, diversified funding supporting a sustainable NGO sector.

These three NGO Sector Goals are recognised as being aspirational in their scope, as they involve many stakeholders and institutional processes which NSSC will seek to influence but cannot hope to control. They serve as constructs against which *all activities* will be selected – based on their capacity to make a measurable contribution towards progress.

This facility logic contends that these three NGO Sector Goals will help create a strong NGO sector in which NGOs from all development sectors can contribute towards the twin **broader development goals** of:

- > NGOs / Civil Society actively influencing pro-poor, inclusive political, social and economic reform (govt. and private sectors), and active citizenship; and
- > sustainable development that is characterised by equity between social groups, quality economic growth that is balanced between sectors and regions, and is in harmony with the needs of both people and the environment.

It should be noted that while essential, these three NGO Sector Goal are by no means the only elements that need to be in place to achieve the broader goals. They are, however, the primary focus of this particular facility and the ones towards which all activities will be specifically focussed. They will also not be directly attributable to NSSC, however NSSC will map and report changes to these at a sector level and its contribution towards them.

Sitting underneath these NGO Sector and Broad Development Goals are a range of **facility outcomes** that are expected to guide selection of priority activities for implementation by NSSC. Following extensive consultation between the Design team and the NGO panel advising the design process, a number of priority facility outcomes have been selected to be targeted in the first year of implementation. These priority outcomes *are* expected to be significantly influenced by NSSC:

- > strong partnerships, trust and interdependency among NGOs at different levels;
- > more NGOs adopting standards of good governance and accountability in their day-to-day operations;
- > more options of accessible domestic sources of funding for NGOs exist in practice; and
- > improved human resources and strong leadership in the NGO sector.

Details of how these outcomes ‘fit’ in the overall facility logic are provided in more detail in the logic model section of the design as well as in the facility logic annex.

In addition to activities to achieve the priority outcomes of NSSC in the first 12 months, the facility will pursue two key outputs: 1. ‘A comprehensive database of NGOs’, as it both contributes to successes in all three logic model pathways and was identified as a ‘quick win’ activity with strong support from all stakeholders; and 2. various activities to provide ‘support to other DFAT programs’, which will be undertaken concurrently through one of six key implementation strategies. The MEL Adviser will collaborate with the core NSSC leadership team to progressively set up appropriate monitoring frameworks for these outputs.

3. Key Monitoring and Evaluation Questions

These indicative key monitoring and evaluation questions are provided with the aim of:

- > helping stakeholders stay focused on the information of primary importance;
- > ensuring the necessary data (qualitative and quantitative, through monitoring and through evaluation) is collected and synthesised to answer these questions;
- > providing the structure for routine reporting against NSSC; and
- > forming the basis for any independent reviews and an end-of-facility evaluation.

As mentioned above, the key questions will be confirmed and refined with relevant governance and management bodies when NSSC begins implementation.

3.1 Generic Monitoring Questions

It is proposed that for each substantive activity implemented, separate micro logic models will be developed, along with an associated micro MEL Plan, as part of the contracting arrangements. As described in the section on Activity Implementation of the design, some activities will be implemented directly by NSSC while others will be contracted to implementing NGO partners. In either case, the implementer will be required to develop a micro activity logic and an associated micro MEL plan which outlines how data will be collected on the set of standard monitoring questions outlined below:

Generic monitoring questions for each priority outcome that nest under one of the NGO sector goal's (KEQ 1 – 3 below)

- What did we do, and how did it adhere to and how did it vary from the plan?
- Who did we reach, was it sufficient, and were they the right beneficiaries / actors / organisations?
- Are we on track to achieve the priority outcomes:
 - ✓ did we achieve our expected outcomes for the stage of the program?
 - ✓ what were the unexpected outcomes? (refer relevant results frameworks)
- What was the legacy of the activity and the likelihood of sustainability?

How were the principals of NSSC upheld throughout activity design and implementation

The micro logic models should track the envisioned pathway linking the activity to the relevant facility outcome and NGO Sector Goal. The micro MEL plans will also be expected, where relevant, to include **Influence plans**, which will detail *who* will be targeted for change in order to monitor the outcomes or evaluate effectiveness. Where relevant, they should also include plans for the creation of suitable baselines. The NSSC MEL Adviser will assist in ensuring the quality of the micro MEL Plans, and will check them against overall facility results framework indicators and / or expected markers of progress. It will be important that results can be readily aggregated, where appropriate, and reported using a Performance Story. This approach uses a results framework which assembles the data in a format which provides the empirical evidence necessary to inform a Contribution Analysis and answer the Key Evaluation Questions (below). All monitoring data collected will be disaggregated according to gender and variables relevant to inclusion; these variables will be identified through the gender and inclusion strategies that NSSC will develop. Where relevant they will also be disaggregated by organisational type and on a geographic basis (local, district, provincial, national).

3.2 Key Evaluation Questions

The first three (Key Evaluation Questions) KEQs questions relate to the three **NGO Sector Goals**, while KEQs 4 – 6 refer to the substantive areas of program implementation arrangements; engagement principles; and relevance. The issue of relevance is important to periodically assess as it concerns the ongoing *priorities* of NSSC, rather than just the activities. As the socio-political context changes over the life of NSSC there may be a need to refocus the priorities as well as the supporting activities to achieve them.

KEY EVALUATION QUESTIONS

1. To what extent and how did the facility contribute towards equitable and constructive engagement between NGOs / government and private sector?
2. To what extent and how did the facility contribute towards a well governed, independent, accountable NGO sector?
3. To what extent and how did the facility contribute towards more diversified funding supporting a sustainable NGO sector?
4. Are the structures, systems, and approach for the facility effective for achieving facility outcomes?
5. How well did the facility uphold engagement principles (e.g. NGO ownership, inclusive development, fostering innovation, learning, whole of sector, gender equity, sustainability?)
6. Are we doing the 'right' things: Is the balance of activities appropriate to achieve priority outcomes given the available resources? To what extent are the facility priorities still relevant to the context and needs?

These KEQs have been further broken down into a set of sub-questions which will serve to guide data collection. Priority activities are shown in Red:

Table 2. Summary of KEQs, Sub-Questions and possible methods of data collection

These KEQs have been further broken down into a set of possible sub-questions which will serve to guide data collection. These will need to be refined for the first three KEQs especially as more priorities are identified and their associated activities refined. As such, only those KEQs with priority outcomes that have been tentatively agreed for the first 18 months (shown in Red) along with the generic ones (4–6) include a summary of possible data collection methods at this stage. Details of the tentative results framework for priority outcomes along with more detailed explanation of the data collection methods are also provided in the sections below.

| Sub Question (Priority Outcomes) | Possible data collection methods |
|--|--|
| KEQ 1: To what extent and how did NSSC contribute towards equitable and constructive engagement between NGOs / government and private sector? | |
| 1.1 Did the government and private sector's knowledge of effective engagement with NGOs and the regulations around engagement improve? | |
| 1.2 Did the frequency of engagement (stakeholders 'at-the-table') or active collaborations increase and in what sectors? | TBD |
| 1.3 Does the government and the private sector increasingly value the input of NGOs and how is this manifested? | TBD |
| 1.4 To what extent and how did facility support impact on the legal / regulatory environment relevant to NGO's operating environment? | TBD |
| KEQ 2: To what extent and how did NSSC contribute towards a well governed, independent, accountable NGO sector? | |
| 2.1 To what extent were the human resources / Leadership of the sector strengthened? | <ul style="list-style-type: none"> ▪ NGO Panel approval process ▪ Network Diagnostics ▪ Independent expert review |

| Sub Question (Priority Outcomes) | Possible data collection methods |
|---|---|
| | <ul style="list-style-type: none"> ▪ MIS data ▪ Event Evaluation questionnaires ▪ NGO user / satisfaction surveys ▪ Log of requests ▪ NGO sector survey ▪ Media monitoring ▪ Sense-maker data OR Most significant change stories ▪ NGO sentinel re-survey (from 2014 baseline) |
| 2.2 To what extent did NGOs at different levels strengthen their partnerships, trust and interdependency? | <ul style="list-style-type: none"> ▪ NGO Panel approval process ▪ Database analytics (webstats) ▪ Network diagnostics ▪ Sense-maker data or Most significant change stories ▪ NGO sentinel re-survey (from 2014 baseline) |
| 2.3 To what extent are NGOs adopting standards of good governance and accountability? | <ul style="list-style-type: none"> ▪ NGO Panel approval process ▪ Independent expert review ▪ NGO survey ▪ Spot check Audits ▪ Sense-maker data OR Most significant change stories ▪ Secondary Source: Edleman Trust Barometer ▪ NGO sentinel re-survey (from 2014 baseline) |
| 2.4 Did NSSC strengthen the capacity of intermediary NGO support organisations? | TBD |
| KEQ 3: To what extent and how did NSSC contribute towards more diversified funding supporting a sustainable NGO sector? | |
| 3.1 How and to what extent was the private sector and the public more incentivised to fund NGOs? | . |
| 3.2 Did the number of options for domestic funding increase? | <ul style="list-style-type: none"> ▪ NGO Panel endorsement of the working group members and work plan ▪ Independent expert review ▪ Process tracing studies ▪ Log of policy changes (updated in database) ▪ Private sector and public attitude surveys ▪ NGO Sector survey ▪ NGO sentinel re-survey (from 2014 baseline) |
| 3.3 Were NGOs successful in creating their own funding (other than donations / contracts)? | TBD |
| 3.4 Was there a change in the number of active NGOs due to changes to available funding? | TBD |
| KEQ 4: Are the structures, systems, and approach for NSSC effective for achieving facility outcomes? | |
| 4.1 How well have outputs been delivered relative to plans? | <ul style="list-style-type: none"> ▪ MIS data on completion rates ▪ Routine reporting of activity progress |
| 4.2 Has the governance of NSSC supported efficient and effective implementation? | <ul style="list-style-type: none"> ▪ facility feedback mechanism record review ▪ NGO sector survey ▪ Reflection workshops |
| 4.3 Has the capacity of NGOs been built sufficiently to ensure quality implementation of activities (where appropriate)? | <ul style="list-style-type: none"> ▪ NGO Organisational Capacity assessments |
| KEQ 5: How well did NSSC uphold engagement principles (e.g. NGO ownership, inclusive development, fostering innovation, learning, whole of sector, gender equity, sustainability?) | |
| 5.1 Was NSSC sufficiently 'owned' by the NGO sector? | <ul style="list-style-type: none"> ▪ MIS data ▪ NGO sector survey ▪ Reflection workshops |
| 5.2 How have the principles of gender equity and social inclusion been incorporated into the work of NSSC? | <ul style="list-style-type: none"> ▪ MIS data ▪ Independent expert review |
| 5.3 Were the activities of NSSC sufficient innovative? | <ul style="list-style-type: none"> ▪ Individual initiative monitoring data ▪ MIS data |
| 5.4 Did facility activities reach the right people and in the right way? | <ul style="list-style-type: none"> ▪ Individual initiative monitoring data ▪ Influence logs |

| Sub Question (Priority Outcomes) | Possible data collection methods |
|---|--|
| KEQ 6: Are we doing the 'right' things: Is the balance of activities appropriate to achieve priority outcomes given the available resources? To what extent are NSSC's priorities still relevant to the context and needs? | |
| 6.1 What was the relative resource allocation across the sector and was it the right balance? | <ul style="list-style-type: none"> ▪ MIS data ▪ Reflection workshops |
| 6.2 How has the context of the NGO sector changed, and is NSSC / its program of activities still a relevant modality for change? | <ul style="list-style-type: none"> ▪ CIVICUS enabling environment tool ▪ Media monitoring ▪ Secondary source analytical studies ▪ Trust Barometer ▪ NGO survey ▪ Qualitative field methods |
| 6.3 How are NSSC's priorities serving the interests of other DFAT-funded programs? | <ul style="list-style-type: none"> ▪ DFAT ATL meeting minutes / surveys ▪ Request log ▪ Satisfaction surveys |

4. Preliminary Results Framework

It is too early to develop comprehensive performance expectations due to the flexibility inherent in this facility approach. In order to reinforce the primacy of NGO 'ownership' of facility outcomes, these will first need to be more broadly agreed and associated priorities set, and then more specific performance expectations can be progressively developed through a collaborative approach between the core team, Technical Committee and NGO Advisory Panel, and in close consultation with DFAT.

An indicative Results Framework is offered to form the basis for the comprehensive MEL system developed during facility inception. This includes detail for the four priority outcomes nominated for implementation in the first 18 months of NSSC. It is set out according to Figure 2 below, which is a more extended version of the Change timeframe diagram found in the design:

Figure 2 Results Framework Concept

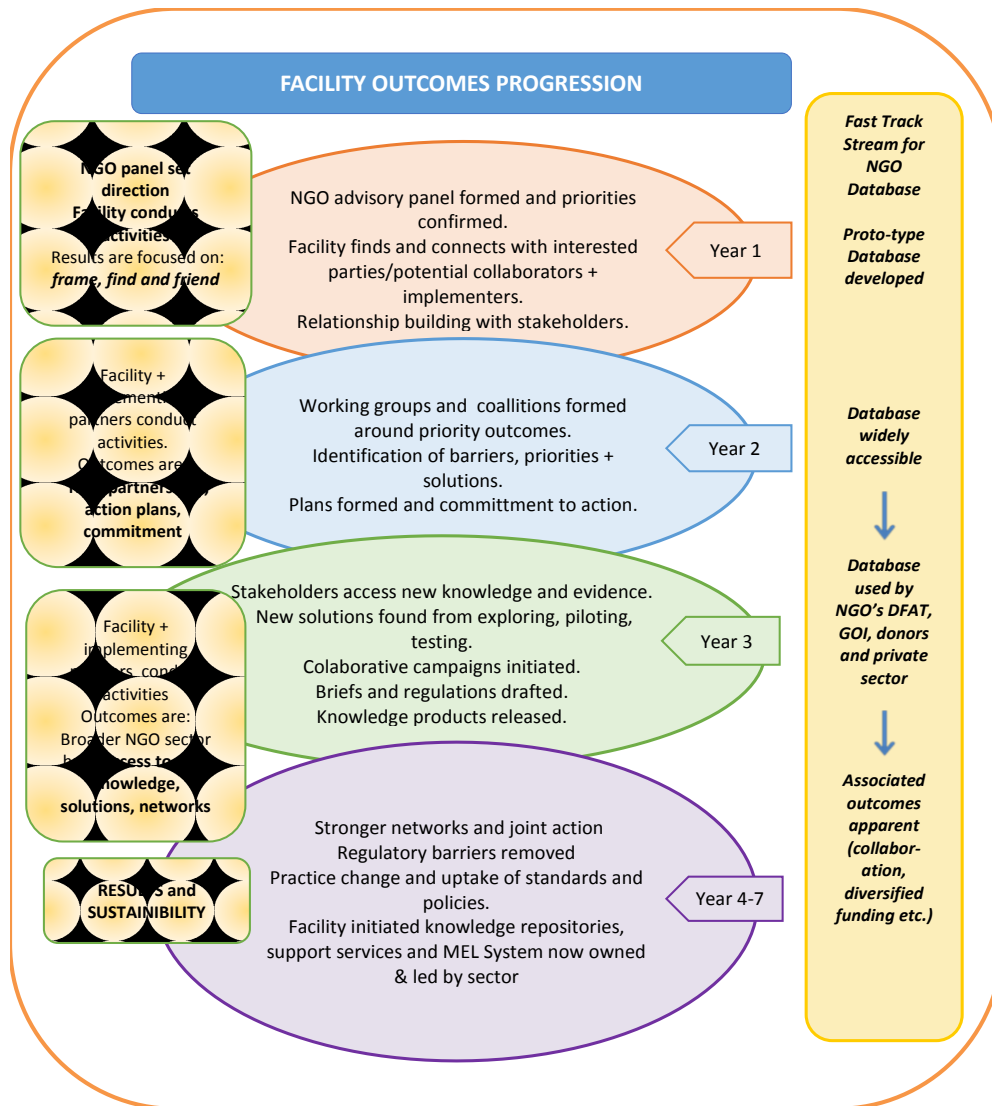


Figure 2 indicates the expected progression of implementation, where year 1 and 2 activities are more concerned with facility establishment, partner identification, direction setting and commitment to action, while year 3 is starting to produce outcomes and opportunities for wider learning and application, and by final year 7, results are more observable and sustained. Figure 2 also shows the expectations around the data base for more rapid progress.

The following performance results matrix reflects this progression, with year 1 indicators relating more to assessing output quality, while those at year 7 attempt to measure broader outcome contributions.

Table 2 Tentative Facility Results Framework for Priority Outcome areas identified for implementation in the first 18 months related to KEQ 2–3**KEQ 2: To what extent and how did NSSC contribute towards a well governed, independent, accountable NGO sector?**

| Sub-question (related to priority outcomes) | End of Year | What success would look like | Progress markers / Evidence of Achievement / Key indicators | Methods to collect indicators and / or address questions | When | Who |
|--|---|--|---|--|--|----------------------------|
| 2.1 To what extent were the human resources / Leadership of the sector strengthened? | 1-2 (2017 / 18) | Key actors are identified and networks established. A representative working group is functioning with a work plan finalised | NGO Panel endorsement of the working group members | NGO Panel approval process | 2017 | NGO Panel |
| | | | Number and spread of NGOs / representatives active in the Leadership networks (geographic, size, sector etc.) | Network Diagnostics | 2017 | Core Team / NGO Contract |
| | | | A comprehensive work plan which addresses gender equity and inclusivity, and is based on sound leadership development literature | NGO Panel approval process | 2017 | NGO Panel |
| | 3 (2019) | A set of core values and civic virtues considered essential for leadership in the sector are identified by the working group and agreed among the wider network. This would include strategies for regeneration of human resources in the sector. A leadership development centre framework would be developed to promote understanding and demonstration of these leadership values, and elements of the framework would be trialled. | Pilot activities are producing workable strategies that can be developed into curricula activities by the leadership development centre | Independent expert review | 2019 | Core Team |
| | | | No. of courses / capacity events / products offered annually by the leadership development centre, including their perceived quality and level of accessibility | MIS data Event Evaluation questionnaires | 2019 – ongoing | MEL Adviser / NGO provider |
| | | | No. of NGO representatives accessing leadership development centre activities (gender / location disaggregated) | MIS data NGO user / satisfaction surveys | 2019 – ongoing | MEL Adviser / NGO provider |
| | | | 7 (2023) | A fully functional leadership development centre that is self-funded and is being utilised by NGOs to build capacity of future sector leaders. A process of leadership renewal is becoming institutionalised and leadership change is evident in the sector. | An incremental increase in the demand for leadership capacity development services | Log of requests |
| | No. of 'new' leaders who are representing the sector | NGO sector survey Media monitoring | | | 2022 2020 – ongoing | MEL Adviser / NGO provider |
| | No. of NGOs reporting satisfaction with the leadership of the sector | Sense-maker data OR Most significant change stories | | | 2020 – ongoing | NGO provider |
| | Increases in (individual NGOs): -% of NGOs with female directors -% of NGOs who have regeneration plans (and % who implement them) -% of NGOs who changed their management personnel or reductions in years served in director roles | NGO sentinel re-survey (from 2014 baseline) | | | 2022 | NGO provider |

| Sub-question (related to priority outcomes) | End of Year | What success would look like | Progress markers / Evidence of Achievement / Key indicators | Methods to collect indicators and / or address questions | When | Who |
|--|-----------------|--|---|--|----------------|----------------------------|
| 2.2 To what extent did NGOs at different levels strengthen their partnerships, trust and interdependency? | 1-2 (2017 / 18) | Barriers to effective networking have been identified and a strategy developed to address them, which includes tools for identification of common interests, effective communications, inclusive membership mechanisms, and partnership building and strengthening | NGO Panel approval of the strategy | NGO Panel approval process | 2017 | NGO Panel |
| | 3 (2019) | Local, subnational, provincial and national level organisations would be actively relating to each other, and to other external stakeholders | Increase in the number of NGOs becoming 'connected' (including through NSSC's database) | Database analytics (webstats) Network diagnostics | 2019 – ongoing | MEL Adviser / NGO provider |
| | 7 (2023) | Collaborative campaigns / actions are stronger as a result of the collective action of network members (local to national) | Incremental improvements in network: Connectivity, Health and Results | Network diagnostics | 2020 – ongoing | NGO provider |
| No. of NGOs active in facility-related networks reporting more effective campaigns / actions as a result of networking | | | Sense-maker data or Most significant change stories | 2022 | NGO provider | |
| Increases in the (individual NGOs): -% of local NGOs interacting with key stakeholders (private sector / parliamentarians / donors) -% increases in National / local NGO interactions -% levels of satisfaction with existing networks (including private sector and government) -% increases in the <i>frequency</i> of interaction among targeted stakeholders -% changes in targeted activity types (sectoral) by geographic location (national / subnational) -% changes in NGOs engaging in advocacy - the % of National NGOs that call for proposals for partnering opportunities | | | NGO sentinel re-survey (from 2014 baseline) | 2022 | NGO provider | |
| 2.3 To what extent are NGOs adopting standards of good governance and accountability? | 1-2 (2017 / 18) | A representative working group of NGOs has committed to developing standards of good governance and accountability and has agreed a process for their development | NGO Panel approval of the working group members and process | NGO Panel approval process | 2017 | NGO Panel |
| | 3 | The scope of the standards are agreed which | NGO Panel approval of the scope of the | NGO Panel approval | 2017 | NGO Panel |

| Sub-question (related to priority outcomes) | End of Year | What success would look like | Progress markers / Evidence of Achievement / Key indicators | Methods to collect indicators and / or address questions | When | Who |
|---|-------------|---|--|--|-----------------|----------------------------|
| | (2019) | represent the diversity of NGOs and are based on a study of international best practice, and a trial of the standards by self-identified NGOs is supported with growing interest. A system for governance of the standards is explored | standards | process | | |
| | | | Evidence the standards trialed reflect international best practice for governance standards | Independent expert review | 2019 | Core Team |
| | | | % of participating NGOs reporting satisfaction with the relevance of the standards and their appropriateness to need (disaggregated by NGO type) | NGO survey | 2019 / 2020 | NGO provider |
| | 7 (2023) | Application of the standards by a growing number of NGOs is resulting in greater trust more broadly, and donors / funders are prioritising partnering with NGOs who demonstrate application. There are also initiatives to link the standards with concrete benefits (i.e. formal accreditation; tax exemption; preferred service provider status etc.) | Increase in no. of NGOs who report progress on applying the standards (including trusted systems of donation receipt) | NGO survey Spot check Audits | 2022 2022 | NGO provider |
| | | | Increase in the incidence of adherence to standards bringing tangible benefits to NGOs | Sense-maker data or Most significant change stories | 2022 | NGO provider |
| | | | Increase in % of Indonesian respondents who trust NGOs (currently increased from 73–77% in 2015) | Secondary Source: Edleman Trust Barometer | Annually – 2023 | MEL Adviser / NGO provider |
| | | | Increase in: -% of NGOs with legal bodies / status -% of local NGOs doing audits -% of all NGOs that share financial reporting publically -% of all NGOs that share performance reporting publically | NGO sentinel re-survey (from 2014 baseline) | 2022 | NGO provider |

KEQ 3: To what extent and how did NSSC contribute towards more diversified funding supporting a sustainable NGO sector?

| Sub-question (related to priority outcomes) | End of Year | What success would look like | Progress markers / Evidence of Achievement / Key indicators | Methods to collect indicators and / or address questions | When | Who |
|--|--------------------|---|---|--|----------------|--------------|
| 3.2 Did the number of options for accessing domestic funding increase? | 1-2 (2017 / 18) | Working group members are identified and established, including members of BAPPENAS and LKKP to work on budgeting for the NGO sector. Financial modelling to determine the most promising avenues of funding is completed | A representative working group would be functioning with a work plan for working on NGO sector budgeting | NGO Panel endorsement of the working group members and work plan | 2017 | NGO Panel |
| | | | An options paper details the most promising sources of domestic funding and priority target areas agreed, including whether practice, policy or attitude changes are key. | Independent expert review | 2017 | Core Team |
| | 3 (2019) | Appropriate practice change and their targets identified OR alternative policies drafted, OR an effective communications strategy developed to target potential funders | Policies targeting the tax code or CSR regulations are realistic and meet the needs of all stakeholders | Independent expert review | 2019 – ongoing | Core Team |
| | | | GoI is adopting policy changes | Process tracing studies, Log of policy changes (updated in database) | 2020-ongoing | Core Team |
| | | | More key actors (high net worth individuals, CSR managers, politicians etc.) are aware of the potential for donating to NGOs, | Private sector and public attitude surveys | 2020 – ongoing | NGO provider |
| | 7 (2023) | More NGOs are reporting receiving funding from domestic funding sources | Increase in the number of NGOs | NGO Sector survey | 2022 – ongoing | NGO provider |
| | | | reporting increases in the proportion of their funding derived from domestic sources | NGO sentinel re-survey (from 2014 baseline) | 2022 | NGO provider |

4.1 Baseline creation

The baseline will be focused at two levels: the NGO sector level, which will be collected and reported as part of a NGO wide sector report card and will include indicators on the broader enabling environment; and at a micro level, where micro-base lines will be created for priority outcomes (refer Figure 1 above).

Base line at tier 1: Sector level

Establishing a valid baseline for capturing sector-level change is notoriously problematic. Reliable indicators for concepts of ‘constructive engagement,’ ‘well governed’ and ‘adequate, diversified resources’ and markers of progress towards them need to be constructed together with key stakeholders to ensure a common understanding of what their achievement would look like. The types of indicators used by CIVICUS and various civil society indexes might provide a good starting point for developing these constructs, – particularly those adapted for Indonesia already by YAPPIKA and Konsil LSM – however they would need to be reviewed to make sure they were collecting information of interest to the NSSC. More information is provided in the section on tools below.

Target setting could involve the development of performance rubrics which set out a shared understanding of what ‘good’ would look like, and identify agreed markers of progress at the various stages. From this, an overall macro baseline for the sector against these three constructs could be established during year 1 and assessed on an annual basis. These would need to be sufficiently flexible to reflect changes to the strategic direction, and possibly accommodate the different pathways for change which may emerge over the seven years. The extent of macro-level baseline data collection would also need to be carefully weighed against the utility of the data – in particular, the likelihood of change being detected at a wider level over this relatively short timeframe.

As a wider baseline measurement of sectoral changes in key areas relating to networking, funding sources and levels, and collaboration, overall data collection will be augmented by a re-survey (in 2022) of relevant variables of the data collected to date through the Design Phase research program (see the methods section below for details, and the variables from this survey indicated in the tentative results framework above). It must be acknowledged however that any observable changes could not be directly attributed to NSSC, as the interaction of these individuals and organisations with facility activities may be difficult to distinguish (these districts / NGOs are not being specifically targeted for facility support). However the sample size was sufficiently large and representative to reflect changes which may occur across the NGO sector in general, and to which NSSC may have contributed. This would provide an overall snapshot of changes to individual NGOs over seven years, and contribute data to assessing the overall ‘health’ of the sector in 2022.

Base line at tier 2 and 3: Activity and Outcome level Micro-baselines

It is anticipated that separate, more micro-level baselines for each substantive priority outcome would be developed (where appropriate) in order to measure on-going performance. This would likely be more tightly focused on the actors / beneficiaries targeted, or be confined to specific geographic locations, depending on the nature of the activity and its targeted facility outcome. Plans for baseline data collection should be included in each micro- MEL plan, and focus on the evidence needed to progressively answer key evaluation questions as new activities come on stream.

5. Implementation of the MEL Framework

5.1 Who will provide MEL services?

In line with the engagement principles and investment criteria guiding decisions around facility implementation, it is intended that the actual design and implementation of the MEL system itself be subject to the same planning and selection process as all other facility activities. As the function of monitoring the health of the NGO sector is anticipated to be one that should be sustained, the

Technical Committee, in conjunction with the NGO Advisory Panel will agree with NSSC's core team the parameters and quality standards for the MEL system and assess whether the bulk of the 'work' of MEL can be adequately done by a local NGO. If so, an NGO capable of providing these services will be contracted (NGO provider). If not, MEL capacity will need to be built in a local NGO to firstly: serve the broad needs of NSSC; and secondly, monitor the health of the NGO sector in the long term. NSSC will assist in building this capacity as an outcome in itself. Strengthened MEL capacity is a core need identified by Indonesian NGOs.⁷⁰ By supporting the development of a local partner NGO, a legacy would be not only ongoing monitoring of NGO sector health, but could ultimately bolster the provision of evaluation capacity building services to other NGOs beyond the life of NSSC (strengthened intermediary organisations).

While locating the MEL services 'outside' NSSC has the added advantage of encouraging a fresh perspective on *monitoring* the performance of NSSC as a whole, it should be stressed that any on-going *evaluative* judgements that inform management decisions will be made by the Technical Committee, the NGO Advisory Panel and the core facility team (with the exception of independent reviews, including a DFAT mid-term review and an end of initiative evaluation) based on the evidence produced by the system.

Under either scenario, it is proposed that the core team include an MEL Adviser (at the very minimum) on a full time basis while the system is being developed and established (refer Annex 9 for indicative position description). This is to ensure that all DFAT MEL standards and reporting needs can be and are met by the system developed. If capacity building is deemed necessary to ensure the required quality is attained and maintained, an MEL Adviser with particular skills in MEL capacity building will be required for a longer period to ensure quality standards are met while local capacity grows.

6. Possible methods and tools for data collection

A diverse array of methods and tools will be developed to collect and capture the data necessary to monitor progress and answer the evaluation questions. These will be progressively assembled depending on the information needs for each activity, and many will become part of the MEL plans of individual activities. The indicative list below has been provided based on the tentative results framework, KEQs and sub-questions, and includes a mixture of routine self-reporting, independent assessment, exceptional incidents / outcome reporting, and wider surveying:

- > **NGO Panel approval process**, for assessment of progress at the level of **outputs**, and for which a detailed list of considerations of quality (including gender equity and inclusivity criteria) and a format for the formal approval process will be developed, including a brief written record of approval, reasons for non-approval, and suggested improvements.
- > **Network Diagnostics**, which will be applied for monitoring the level of Connectivity, Health, or Results of NGO networks, with specific questions and methods developed for different stages of network evolution (**outputs and outcomes**), including Catalysing, Launching, Organising, Performing / Adapting, and where relevant Transitioning / transforming).⁷¹
- > **Independent expert review**, specific Terms of Reference for short review pieces will be developed for commissioning the input of specialists with experience in other country settings to ensure international best-practice is being applied in the production of key **outputs**. They may also be used for more rigorous evaluation of trials and pilots (**outcomes**) before innovations are advocated more widely or scaled-up.
- > **Event Evaluation questionnaires**, will be developed to provide (where relevant) pre-testing and post testing of changes to participants knowledge, attitudes, intended behaviour changes, or impressions – as appropriate to the intended outcomes of each event. They may be administered immediately following an event or at an agreed time period after the event.

70 See for example the MAMPU MEL Framework, 2014 where partner NGOs expressed a strong desire for MEL capacity support

71 Phases of network evaluation identified by the 'Network Impact and Centre for Evaluation Innovation's' Framing Paper: The state of Network Evaluation, July 2014

- > **NGO user / satisfaction surveys**, will be conducted periodically to assess the **intermediate outcomes** of activities aimed to meet the sector strengthening needs of NGOs by monitoring user views on their usability and quality (e.g. the database, NGO standards, the performance of NSSC / NGO panel).
- > **Log of requests**, will be kept by services developed to meet NGO needs to monitor the level of demand as an indicator of their quality and appropriateness to intended users, including the efficiency through which this demand is being met. Conversely, logs will be kept on demands for NGO / facility services, for example by DFAT, Gol and the private sector.
- > **Facility Feedback Mechanism**, will be a 'space' included on NSSC's website for the broader NGO community to comment on the performance of NSSC as a whole, both positive and negative – as well as making suggestions for improvement. These will be consolidated and reported to the NGO Panel / core team with documented actions arising, and where relevant, follow-up actions reported back through the website.
- > **NGO sector surveys**, will target the knowledge, attitudes or behaviour changes within the broader NGO sector, including the wider enabling environment, to assess longer-term **EoFOs**.
- > **Media monitoring**, will be undertaken by NGO networks / coalitions around agreed issues or government policy changes and reported regularly to NSSC in order to centralise information across Indonesia.
- > **Sense-maker data OR Most significant change stories**, which are methods for monitoring stakeholder's impressions of changes that occurred *because of* facility activities, which therefore demonstrate perceived **contribution to outcomes**. Sense-maker⁷² has an accessible mobile phone data entry platform which has the advantage of allowing for a rapid, wide-spread recording of related outcomes, whereas most significant change is a more labour intensive process but has a potentially higher level of quality control of data.
- > **NGO sentinel re-survey (from 2014 baseline)**, which would re-survey the 105 subnational NGOs in seven cities / districts in four provinces (Central Sulawesi, East Java, Jambi and West Sumatera), and 42 national / support NGOs; and, if relevant, a sample of the 249 individuals in the same cities / districts from district / city government, the private sector or the NGO community. While it is acknowledged that any observable changes could not be directly attributed to NSSC (these NGOs / individuals will not be specifically *targeted* as direct beneficiaries of facility activities and therefore may have no interaction with associated activities), the sample size was sufficiently large and representative to reflect changes across the NGO sector in general, to which NSSC may have contributed.
- > **Database analytics (webstats)**, possibly using Google Analytics, to track usage patterns of databases and use them to continually improve access.
- > **Spot check Audits**, specifically relating to individual NGO applications of NGO sector standards to evaluate the degree of adherence and identify areas of support to improve their application. These would likely be performed by a trusted intermediary NGO organisation on the basis of anonymity, emphasising their value to participating NGOs as a learning opportunity.
- > **Process tracing studies**, for targeted policy / regulatory changes that take place over the life of NSSC. These would involve interviews with key decision-makers to 'backwards map' the key events / processes which were thought to have influenced the change. In this way, the contribution of facility activities to policy / regulatory change **outcomes** would be assessed.
- > **Edleman Trust Barometer**, provides an indicator of changes to public perceptions of 'how much you trust [NGOs] to do what is right'. This would provide an indicator of **broader contextual changes**. Based on an annual survey of 1000 individuals from the general public plus an additional

72 Sense Maker collects data through encouraging stakeholders to input their stories of change according to their own assessment of its importance and domain <http://cognitive-edge.com>

200 'informed public' this survey has been conducted on an annual basis over the last seven years in Indonesia.⁷³

- > **CIVICUS Enabling Environment Index**, which collates secondary data from 71 sources on 53 indicators relating to both supply side (CSO capacity) and demand side (government legislation etc.) issues. In its first report in 2013, Indonesia was ranked 60 out of 109 countries on Socio-economic, Social Cultural and Governance Environment dimensions. This could provide a potential proxy indicator for **broader sectoral change** *relative to other countries* if and when it is repeated over the life of NSSC.⁷⁴ For a more detailed baseline, the **CIVICUS Civil Society Index-Rapid Assessment (CSI-RA)** could be assessed for its suitability according to the priorities of NSSC. This would be more suited to strengthening self-assessment and advocacy for change.

Other methods and tools are expected to be developed as part of the individual activity MEL plans – including for micro-level activities such as assessing the results of targeted advocacy campaigns, training evaluations, promotional material evaluations, and tracking research / information uptake or policy influence etc.

7. How the evidence collected will be utilised

A robust **Management Information Systems (MIS) database**, will need to be created to collate basic monitoring data from all activities (i.e. individual activity MEL Plan data) in order to generate progress reports. This database will be managed by the MEL Adviser / Officer and the NGO Provider, and MEL data collated and provided to the core team members, NGO Advisory Panel and Technical Committee for analysis, reporting and publication and dissemination of key results and lessons.

This system will need to be capable of meeting the needs of DFAT's Annual Quality at Implementation reporting, and producing:

- > six monthly reports to DFAT;
- > Annual Plans based on a consolidation of the monitoring data (including risks);
- > innovative knowledge products which can be communicated simply and broadly;
- > provide the data for an Independent Mid Term Review; and
- > provide the data for an Independent Evaluation in the final year of NSSC.

In keeping with the strong learning focus of this MEL Framework, a number of key learning opportunities will be integrated into the process to ensure the data is jointly analysed and any issues or trends are considered and incorporated into future directions and activities.

7.1 A Results Chart approach to synthesising data

Results charts are a tool used to summarise and compile evidence against key evaluation questions and sub-questions, which is then utilised to produce a narrative which tells the 'story' of performance, or the extent to which progress was made, against each question. They can be updated on an ongoing basis as new data comes to hand, and can therefore be used to provide a snapshot of progress at any time during implementation. More formally, they form the basis for annual reviews and the 'rating' of achievement towards outcomes and contributions toward broader goals. The MEL Adviser and NGO provider will develop a suitable format for the results chart based on the evolving Results Framework, and will facilitate the ongoing compilation and review of results chart data.

⁷³ Edelman is a privately owned public relations consultancy specializing in corporate communications, consumer and brand marketing, government, and media relations. The survey looks at trust across business, government, media and NGOs. In 2014 73% of respondents trusted NGOs which increased to 77% in 2015 <http://www.edelman.com/insights/intellectual-property/2015-edelman-trust-barometer/trust-and-innovation-edelman-trust-barometer/global-results/>

⁷⁴ See <http://www.civicus.org/eei/> According to personal correspondence with CIVICUS, a decision has not been made as to whether this survey will be repeated, and if so, when (email with a CIVICUS Research Officer, 3/3/2015)

7.2 Regular, formal reflective workshops

These will be workshops which bring together the Core Team and Governing Bodies (Technical and Advisory Panels), and other stakeholders as required in order to review Results Chart data and make evaluative judgements on ratings of overall progress and discuss and document lessons learned. Changes to implementation / strategic direction to improve achievement of outcomes will be made at these meetings based on these lessons and overall assessments of progress. The workshop will synthesise data against all KEQs / sub-questions produce a documented plan of action for ongoing improvement. Strategic reflection questions will be developed for three of the six KEQs (4, 5 and 6) which do not lend themselves as readily to measurement by unique indicators. These will take the existing evidence base and apply it to a different set of questions about which participants will be required to make a value judgement on the adequacy or otherwise of progress. The first reflection workshop should be held no later than the end of the first 12 months of implementation, and a schedule agreed for subsequent workshops. Ideally, these would take place every four months – at least at the initial stages, in order to ensure regular learning and refinement to facility activities.

7.3 Ad hoc reflection events

These will bring together key stakeholders to assess and reflect on the data produced by the MEL system around individual activity implementation. Key actors will be asked to reflect on whether the activity as implemented is on track to meet its objectives, and if not, recommend ways for moving forward more effectively. This will also require the innovative presentation of data which communicate key findings quickly and effectively, and targets the areas of decision making most needed to maximise stakeholder input. Alternative communications platforms will be explored to increase the ability of often busy individuals to participate without the need for travel (especially to facilitate a spectrum of national / local input).

7.4 Sharing of evidence more broadly

Key results from the MEL system will be provided to the Communications Adviser for 'packaging' and communicating through NSSC's website on an ongoing basis, including the periodic sector 'report card'. Members of the NGO Advisory Panel will also be encouraged to share findings and convey key messages by presenting relevant reporting at a range of Sector events among their networks.

7.5 Reporting

The six monthly reports will aggregate the monitoring data provided on **each activity** according to the generic monitoring questions which will provide data on:

- > achievements against the plans and budgets and any variations (efficiency);
- > beneficiaries / actors / organisations reached – gender and geographic disaggregated (effectiveness / gender equity);
- > any outcomes achieved – expected and unexpected (effectiveness / gender equity);
- > what changes occurred at the sector level, and did NSSC contribute towards this change, or is it likely to in the future (effectiveness / gender equity); and
- > what was the legacy of the activity? (sustainability)

The Annual Plans will include information on:

- > up-dated monitoring data;
- > key challenges and any changes to risks;
- > changes to the internal or external context (political, social, economic, donor);
- > analysis of the adequacy of the MEL system overall and any proposed changes;

- > progress against NSSC's work plan and any constraints; and
- > a detailed description of the subsequent 12 months of activity planning.

The timing of the Annual Plans will need to take account of DFAT's information cycle needs for Aid Quality Check data (currently December–February).

8. Budget

As explained in NSSC design, in keeping with the strong learning and evidence-based focus of facility activity planning and management, it is proposed that 10% of the overall facility budget be allocated to developing and implementing the MEL system.

11

RISK REGISTER MATRIX

Annex 11 Risk Register Matrix

Key to Risk Management Matrix:

L = Likelihood (5= Almost certain, 4= Likely, 3= Possible, 2= Unlikely, 1= Rare)

C = Consequence (5= Severe, 4= Major, 3= Moderate, 2 = Minor, 1= Negligible)

R = Risk level (VH= Very High, H= High, M= Medium, L= Low)

| Risk | Potential adverse consequence | L | C | R | Risk mitigation strategy | Responsibility |
|--|--|---|---|---|--|--|
| Contextual | | | | | | |
| The GoI policy and regulatory environment does not remain conducive to fostering and promoting an independent NGO sector. | Worsening of GoI / NGO relationships and loss of support for some of the facility objectives | 2 | 4 | M | Regular monitoring of the GoI / NGO relationship Continue to promote effective working partnerships between GoI / NGOs as an essential driver of equitable development, and build on successes. Focus on strengthening NGO core capacities to increase collaboration opportunities and / or to serve their constituencies independently of government. | DFAT IP* NGO Panel* NGO Partners* |
| Key NGOs resist DFAT engagement in shaping the NGO 'sector' | The facility is not able to influence a sufficient number of strategic NGO actors and fragmentation occurs within the NGO sector | 2 | 3 | L | The principle of promoting ownership needs to be strongly adhered to in all facility activities with consistent messaging from DFAT. An effective and inclusive communication strategy will be developed to promote this messaging. Focus on working with willing NGOs while communicating successes to the less willing. | DFAT IP NGO Panel |
| Challenges emerge in relations between DFAT and the NGO 'sector' (or individuals within it) | NGOs lose confidence in DFAT's engagement in the NGO sector, and as a result the reputation of the facility is threatened | 2 | 2 | L | NSSC promotes the primacy of NGO ownership of the facility and its objectives | DFAT IP NGO Panel |
| The external donor environment does not remain conducive to supporting an independent NGO sector, e.g. Competing facilities emerge which facilitate direct funding to NGOs for service provision | Donor dependency is promoted among individual NGOs and they are less focused on strengthening the sector as a whole. | 2 | 2 | L | DFAT pro-active communication with donors to promote NGO sectoral strengthening. An effective communication strategy will target key messages to donors about preferred funding mechanisms. | DFAT IP |

| Risk | Potential adverse consequence | L | C | R | Risk mitigation strategy | Responsibility |
|---|---|---|-----|-----|---|--------------------|
| Implementation | | | | | | |
| NGO participation and relationships | | | | | | |
| Individual NGOs see little benefit from adhering to principles of accountability and good governance (materially, organisationally) | Reduces facility's commitment to work on developing standards for the sector, or once developed, the standards are of little practical use to NGOs | 3 | 2-3 | M-L | Develop standards in a manner that reflects the value of the standards to the NGOs and maximises their utility | IP NGO Partners |
| Fraud by NGO partners | Fiduciary impact; reduces the facility's own credibility as a centre that promotes good governance and accountability | 2 | 2 | L | The NGO partners selected will principally be well known and trusted national NGOs, with a strong track record in accountability and financial management of donor funds Due diligence will be conducted on all contracted partners and all partners will be required to sign onto and adhere to DFAT's zero tolerance fraud policy. The NSSC will have robust financial management systems and financial processes will monitored continuously and spot checks conducted on a regular basis to ensure compliance with financial systems. | IP NGO Partners |
| The facility is unable to reach a sufficiently broad range of NGOs including those that are smaller, less professionally, structured or based in remote areas | The facility is not perceived as being truly 'representative', which reduces overall commitment to facility objectives and compromises the facility's principles of engagement. | 2 | 3 | M | Implementation needs to ensure the diversity grows over time through innovative engagement strategies. Affirmative action strategies will be progressively developed to encourage NGO sub-sectors who are under-represented. | IP NGO panel |
| The facility cannot effectively manage relations between NGO Partners | The facility's reputation among NGO Partners is damaged. Impacts on facility's ability to implement activities – particularly those requiring contracting | 3 | 4 | H | Careful recruitment of the NGO Panel. Accountable and transparent process of NGO Partner selection | IP NGO Panel |
| NGO Panel members will not contribute enough voluntary time to drive the strategic planning and direction of the facility | Strategic direction and priority setting of the facility will be delayed. Progress may be slower than optimal. | 2 | 2 | L | NGO Panel members will define the scope of their own engagement and monitor their ongoing ability to commit. The IP will explore the possibility of introducing an honorarium for services if progress is severely compromised. | IP NGO Panel |

| Risk | Potential adverse consequence | L | C | R | Risk mitigation strategy | Responsibility |
|---|---|---|---|---|---|-------------------------|
| Managing implementation | | | | | | |
| Differing expectation of key stakeholders on what the facility can achieve in the immediate short term may force a program of change before adequate relational foundations are laid. | Strong relationships on which the facility depends will be compromised, reducing the potential for sustainable change. | 4 | 3 | H | Manage expectations from the design stage through to mobilisation. Use information from the MEL system to decide an appropriate pace of change throughout | DFAT IP NGO Panel |
| Personnel and management (including DFAT) will not be able to pick up this design and go forward with it without starting over again from scratch | The work done with NGOs to date to design the facility loses momentum and risks relationships with stakeholders who have already invested time and energy into contributing to the design process | 3 | 4 | H | DFAT ensure complete handover of information, data and contacts from the research and design team Careful recruitment of core facility staff with experience in NGO sector building and existing networks and up-to-date knowledge of the sector and the NSSC design process | DFAT IP |
| Potential Gol counterparts or actors to be involved in the work are not engaged because they were not engaged at a high or formal level during the design process | The facility start up is even slower than expected | 2 | 4 | M | Before going to market DFAT works with relevant Gol directorates to build support DFAT and facility staff work with people who had been engaged during the design process (they were supportive of the idea) Open communication about the reason why engagement did not happen during the design (lack of certainty on funding and placement of the facility of DFAT's part) NGOs involved in the facility work with their allies in government to build support | DFAT IP NGO Panel |
| The Gol counterpart selected does not remain an advocate for the facility | Building equitable government / NGO collaborations may be compromised | 2 | 2 | L | Careful selection of the Gol representative on the Technical Advisory Committee, and frequent, direct communications with them on all facility strategic decisions | DFAT IP NGO panel |
| The nature of the investment as a 'facility' and with its NGO sector focus leads to a lack of focus | The facility provides small one-off grants that do not lead to broader change | 3 | 3 | M | Careful application of the NGO sector logic and the priority setting approach / investment criteria NSSC leaders and the NGO Panel consistently return to the broader goals and orient and monitor activities towards them | IP NGO Panel |
| The facility is not able to create a sufficiently | Potential collaborators are not able to access | 2 | 4 | M | The scope and purpose of communication platforms | IP |

| Risk | Potential adverse consequence | L | C | R | Risk mitigation strategy | Responsibility |
|---|---|---|---|---|---|---------------------------------|
| effective and accessible communication platform / s | information on NGOs. NGOs are not able to effectively network with potential collaborators, donors, other NGOs and knowledge products of the facility. | | | | and their content need to have a strong utility focus as determined by all stakeholders. Innovative communications methods will be trialled and adopted to maximise access (gender and disability inclusive, appropriate technologies etc.). | NGO Panel NGO Partners |
| Activity design risks | | | | | | |
| Alternative sources of funding available to NGOs are not able to be identified and accessed | Continued dependency on international donors. Funding diversification objectives are not met. | 3 | 4 | H | Ambitious nature of the funding diversification endeavour must be acknowledged by all stakeholders and monitored. Program theory re-visited in the light of monitoring data as agreed by stakeholders | IP NGO Panel |
| The complexity of the problems the GoI is faced with are too overwhelming to allow for their sufficient attention to accommodating NGO participation in development | The approach of the facility to support effective GoI / NGO relationships does not gain sufficient traction | 3 | 2 | L | Utilise the GoI representative in the Technical Advisory Committee as an advocate to broader government. Engage lower levels of government directly to advocate to higher levels. | DFAT IP NGO panel |
| NGOs may not endorse private sector involvement due to perceived / real issues with the ethics of the private sector | The approach of the facility to support effective private sector / NGO relationships including funding does not gain sufficient traction | 2 | 3 | L | Be clear from the start about the element of collaboration with the private sector involved. Engage NGOs who are open to the idea to discuss with those who are hesitant. Engage individuals from the private sector who are sensitive to NGO concerns. | IP NGO panel |
| The facility is not able to sufficiently influence changes to targeted areas of the regulatory framework | The right regulatory mechanisms are not in place to support achievement of facility outcomes (NGO enabling environment, private sector engagement, public donations etc.) | 4 | 2 | M | Identify and engage up-front with a wide range of actors who are engaged in policy advocacy. Provide quality knowledge products that provide evidence for change. Seek innovations to maximise focus and successes within less favourable regulatory frameworks. | IP NGO Panel NGO Partners |
| Working with NGOs that conduct advocacy is seen as interference in Indonesian domestic matters | Backlash from GoI that might impact other programs as well | 2 | 4 | M | Build strong buy-in upfront from GOI counterparts and a range of other government stakeholders (noting that support for the idea was positive during the design phase) Continue to involve and communicate openly with stakeholders | IP NGO Panel DFAT |

| Risk | Potential adverse consequence | L | C | R | Risk mitigation strategy | Responsibility |
|--|--|---|---|---|--|----------------|
| | | | | | Be clear and upfront with NGO partners about the possibility of some activities not being fundable out of NSSC grants, and actively monitor for such activities Coordinate with existing, successful DFAT programs that work with advocacy NGOs | |
| Difficulties effectively coordinating and supporting other DFAT programs | Successes in increasing effectiveness of other programs in working with NGOs (and thus of issue-based sector programs) will be limited | 4 | 2 | M | The facility will have a position and resources to actively coordinate, unlike most programs DFAT team takes an active role from early on in helping with internal coordination Personnel that know DFAT systems and programs and good networks should be retained | DFAT IP |

| | |
|--------------|--|
| NGO panel | Members of the NGO Advisory Panel who will determine the strategic focus of all facility activities |
| NGO partners | Selected NGOs who partner with the NSSC to implement specific activities |
| IP | Representatives of DFAT's implementing partner for the facility and core facility staff contracted to the IP |