

**UNDP Indonesia – Mid-term Evaluation of Disaster  
Risk Reduction Based Rehabilitation and  
Reconstruction (DR4) Project**

**United Nations Development Programme  
Indonesia**

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*Evaluation team*

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## Abbreviations

AIFDR	Australian Indonesia Facility for Disaster Reduction
ARR	Aceh Recovery Response
BAPPENAS	National Development Planning Agency
BCPR	Bureau for Crisis Prevention and Recovery
BNPB	Badan Nasional Penanggulangan Bencana (National Disaster Management Agency)
BPBD	Badan Penanggulangan Bencana Daerah (Regional Disaster Management Agency)
CBO	Community Based Organization
CO	Country Office
CPAP	Country Programme Action Plan
CPD	Country Programme Document
CPRU	Crisis Preventions and Recovery Unit
DAC	Development Assistance Committee (of the OECD)
DaLA	Damage and Loss Assessment
DIY	Daerah Istimewa Yogyakarta
DR	Disaster Recovery
DR4	Disaster Risk Reduction based Rehabilitation and Reconstruction
DRR	Disaster Risk Reduction
ERNA	Early Recovery Needs Assessment
FAO	Food and Agriculture Organization
FGD	Focus Group Discussion
GFDRR	Global Fund for Disaster Risk Reduction
GOI	Government of Indonesia
HFA	Hyogo Framework for Action
HRNA	Human Recovery Needs Assessment
IMDFF-DR	Indonesian Multi-Donor Fund Facility for Disaster Recovery
ILO	International Labour Organization
INGO	International Non Government Organization
IOM	International Organization for Migration
IR	Inception Report
KII	Key Informant Interview
M&E	Monitoring and Evaluation
MoHA	Ministry of Home Affairs
MRR	Merapi Recovery Response
NAD	Naggore Aceh Darrusalem
NDMA	National Disaster Management Agency
OCHA	Office for Coordination of Humanitarian Affairs
OECD	Organization for Economic Cooperation in Development
PB	Project Board

PERKA	Peraturan Kepala (or Head of Agency’s Regulation)
PDNA	Post Disaster Needs Assessment
PMEU	Planning, Monitoring and Evaluation Unit
PMU	Project Management Unit
ProDoc	Project Document
RENAKSI	Rencana Aksi Rehabilitasi dan Rekonstruksi (Action Plan for Rehabilitation and Reconstruction)
RISE	Recovery Initiative for Sumatra Earthquake
Rp.	Indonesian Rupiah (US\$1=Rp. 11,000)
RRG	Rehabilitation and Reconstruction Guidelines
SCDRR	Safer Communities through Disaster Risk Reduction
SOP	Standard Operating Procedure
SSI	Semi-Structured Interview
TOC	Theory of Change
ToR	Terms of Reference
UNFPA	United Nations Fund for Population Activities
UNICEF	United Nations Children’s Fund
WHO	World Health Organization
\$	US Dollar, unless otherwise stated.

## Executive Summary

With the support of UNDP, the Government of Indonesia (GOI) embarked on the systematic development of its disaster recovery (rehabilitation and reconstruction) response capability since 2008. A project entitled ‘Disaster Risk Reduction based Rehabilitation and Reconstruction (DR4 Project)’ was launched to support the GOI establish rehabilitation and reconstruction planning and implementation processes that are guided by disaster risk reduction (DRR) principles in line with the GOI adopted Hyogo Framework for Action (HFA). The project’s aim is stated as: “GOI and communities capacity to respond to and recover from disasters and conflicts is more effective and timely”.

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An independent mid-term evaluation was undertaken to assess overall performance of the project and its achievements. The evaluation examined the progress made and challenges faced in the course of implementation over the last four years, with a view to derive lessons and recommendations for continuous improvement in implementation of the project over the remaining period of its duration.<sup>1</sup>

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The evaluation used a mixed-method approach which involved documents research, purposively selected key informant interviews (KIIs) with stakeholders, semi-structured interviews, site visits and observations, structured focus group discussions (FGD) and individual interviews with key stakeholders (Government Agencies at national, provincial and district levels and disaster-affected communities) targeted by the project.

### Overall Findings:

The DR4 project has helped the key GOI institution responsible for disaster recovery at national level, *Badan Nasional Penanggulangan Bencana* (BNPB), to develop leadership capacity on good recovery planning and implementation through development of new rehabilitation and reconstruction guidelines, partnership agreements and improved practices. Significant progress has been made in terms of developing a systematic approach to assessments and planning based on communities’ needs, with emphasis on risk reduction and timely response.

The capacity development at provincial level, however, remains uneven and the ability of provincial institutions to use policies and tools to deliver timely and effective response is limited, partly due to lack of knowledge about the tools and processes, and partly due to the decision making processes within the provincial administration under the decentralization framework which cause delays.

In the discourse on post-2015 Millennium Development Goals (MDG), emphasis on climate change adaptation and measures to avoid disaster impacts and recover from after-effects are likely to receive eminence. There is an emerging consensus for inclusion of disaster resilience as an ‘enabling factor’ in development goals. The work of the GOI under this project is generating valuable lessons that may help shape Indonesia’ development policies in the future.

<sup>1</sup> The implementation of the project commenced in 2009 and was initially due to end in 2013; its duration is now extended to end of 2014.

## Detailed Findings:

### Relevance and Appropriateness:

The outputs under the DR4 project are relevant in the context of local and national priorities and UNDP's mandate, and help responding agencies to focus on disaster-affected communities' needs during post-disaster recovery. The interventions and tools developed under the project are adapted to Indonesia's context, and are delivered through culturally appropriate methods.

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The focus of DR4 on building the capacity of GOI institutions at national, provincial and local levels has been highly relevant. Several initiatives under this project have been forward-looking and position the GOI to contribute significantly to understand community resilience and recovery, and how this links to development goals.

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Two major strategic interventions which have been initiated under the DR4 project that helped the GOI fill critical gaps in its post-disaster recovery response capacity were: (a) developing a post-disaster needs assessment (PDNA) process which integrates human recovery needs assessment (HRNA) with a conventional Damage and Loss Assessment (DaLA) tool; and (b) setting up the Indonesian Multi Donor Fund Facility for Disaster Recovery (IMDFF-DR) to provide a platform for international assistance for recovery through a coordinated approach. The former has enabled BNPB and Bappenas (due to its role in budgeting for rehabilitation and reconstruction programmes) to take into account social and development needs of communities in recovery planning and implementation following each major disaster. The results of the post disaster needs assessment have served as the financial basis to prepare medium and long-term recovery plans.

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### Effectiveness:

The project has made a substantial contribution to the development and finalization of several recovery policies, guidelines and manuals, although the level of awareness and knowledge about these policies and guidelines varies in the country. Various tools and practices developed by the project will require greater adaptation and socialization at provincial and local levels to make them user-friendly. The project will need to be more inclusive in its partnership in the future, and needs to communicate the results and outcome it is achieving better. Analysis of various regulations and decrees shows that there is slight ambiguity over leadership responsibility (within BNPB) during transition from emergency relief activities to early recovery activities.

Several key tools have been developed under this project to aid effective recovery assessment, planning, implementation and monitoring and evaluation. One critical issue regarding HRNA is that the time-frame for undertaking this may normally work fine in case of small and medium scale response which are mostly financed through the GOI resources, but in case of major international disasters where donors want to allocate resources fairly rapidly and immediately after the disaster, a delayed HRNA report may come in the way of resource mobilization.

UNDP's comparative advantage lies in its credibility and relationship with Government, and ability to forge partnership with broad range of organizations on disaster risk reduction and recovery. Despite this, the DR4 project is still largely perceived by most stakeholders except the BNPB, as a UNDP project. This may be due to the fact that most of the engagement with various stakeholders is fragmented and 'projectized', without space for a systematic engagement on recovery issues.

The indicators defined for the project are fairly detailed and output-oriented. However, reporting by the project is activity-oriented, as was evidenced from quarterly reports and annual progress reports seen by the evaluators.

**Efficiency:**

While the project implementation is fairly efficient as a delivery mechanism, there are structural issues in decentralized system of governance which caused delays in recovery response. In terms of project management, the organizational arrangement within the core team of the project in BNPB Jakarta, and subprojects in Yogyakarta and Padang is efficient. Overall, with a total budget of little over US\$ 2 million over four years in development of policies and tools, training and their application and field testing, the project is good value for money.

**Sustainability:**

There is ownership of the project at national level, although its sustainability can be strengthened by appropriately redesigning the institutional framework created through the Indonesian Multi-Donor Fund Facility for Disaster Recovery (IMDFF-DR) by broadening its mandate to include promoting partnership and best practices in recovery. There is no clearly articulated exit strategy for the project, although the strong sense of ownership by the BNPB should enable the latter to fully take over the role and activities currently performed by the project in future. However, BNPB is still evolving as an organization, and it will continue to need capacity building support in the coming years.

**Impact:**

At this stage, the evaluation could only examine the *contributions* of project interventions. The contributions of the project at the level of relevant institutions' capability, capacity, practices and their effects on communities have been significant. The project has made direct contributions: (a) at the level of enhancing Government institutions' *capability* through development of guidelines and policies; (b) *capacity* of various entities for facilitating development of operational structures for coordination and delivery through training and orientation and advisory support; (c) improved *practices* through use of tools like social audit, systematic VIS, involvement of local NGOs in delivery, etc; and (d) scaled up recovery interventions which had direct *effects* on communities on their livelihoods and recovery in respect of Merapi and Mentawai responses.

**Replicability:**

Lessons from the HRNA process and use of social audit tool in humanitarian response context should help in replicating and scaling up these tools in future recovery response.

**Lessons Learned:**

In discussions on post-2015 MDG agenda, it is increasingly being argued that there is a case for inclusion of disaster resilience as an 'enabling factor' in development goals, rather than treating resilience and DRR as part of disaster management alone. This provides strategic opportunity for proactive advocacy for risk reduction and strengthening resilience in development planning. Several initiatives under this project have been forward-looking and position the BNPB to contribute significantly to understanding of community resilience and recovery, and their links to development goals. The IMDFF-DR initiative has the potential to

demonstrate international partnership and platform for best practices in recovery in the context of countries which face frequent and regular disasters.

Currently donors have shown reluctance to engage on IMDFF-DR as this is solely a financing mechanism. However, with a redesigned and rebranded IMDFF-DR, donors will be interested in a multi-lateral initiative which keeps them engaged at national and regional level in terms of policy dialogue and capacity building. With such an ongoing engagement, the chances of the donors responding with funds for recovery in the event of a major disaster should the GOI make an appeal would be high.

### **Recommendations:**

- R1: BNPB to develop and roll out a systematic training and orientation programme for local officials in disaster-prone provinces to familiarize them with the use of key tools for assessment, planning, implementation and monitoring of recovery.
- R2: UNDP and BNPB to review tools like longitudinal study and recovery index and adapt these suitably to link them with existing tools and data that the local authorities/BNPB are already using as this will give the tools greater ownership.
- R3: The DR4 project needs to facilitate discussions within BNPB structure on clarifying roles and accountability for early recovery planning and programming and it links with both relief, and rehabilitation and reconstruction phase.
- R4: UNDP needs to review if a separate project management unit (PMU) is the best structure for the support provided by DR4, and explore options for making the process underpinning activities of DR4 more inclusive, capable of engaging a broad range of partners (NGOs, other UN agencies, CBOs, provincial officials and GOI) on dialogue and policy issues related to recovery.
- R5: Going into the future, while there is need for continued support to BNPB on its capacity development, IMDFF-DR steering committee needs to examine if it is best redesigned to take on a broader policy advocacy and knowledge management role as a platform to promote national and international engagement, and take forward the DR4 agenda in future.
- R6: The quality of project reports needs to be improved focusing on analysis of progress made, with case studies and empirical data which is currently weak.

## Section 1

# Introduction, Purpose and Methodology of the Evaluation

### 1.1 Background to the Evaluation:

1. The UNDP country office (CO), Indonesia, together with the Government of Indonesia (GOI) initiated a project ‘Disaster Risk Reduction based Rehabilitation and Reconstruction’ (DR4) in 2008. The project (2008-2013<sup>2</sup>) was designed to support the GOI establish rehabilitation and reconstruction planning and implementation processes that are guided by disaster risk reduction principles (DRR) and in line with the GOI adopted Hyogo Framework for Action (HFA). The project’s aim is stated as: “GOI and communities’ capacity to respond to and recover from disasters and conflicts is more effective and timely”. This is in line with UNDP’s Country Programme Action Plan’s (CPAP) outcome 4.2.

2. As required by the Project Board (PB),<sup>3</sup> an independent mid-term evaluation of the project was undertaken to assess overall performance of the project and its achievements to draw lessons that could inform ongoing implementation and future programming in the area of disaster recovery.

This report presents findings and conclusions of the evaluation.

### 1.2 Purpose and Objectives of the Evaluation:

#### 1.2.1 Purpose

3. The purpose of this mid-term evaluation is to assess overall performance and key achievements of the DR4 project, and draw lessons in relation to formulation of post-disaster recovery policies, strengthening of institutional framework of the GOI, developing tools and guidelines for post-disaster recovery, and provision of recovery assistance to disaster-affected communities in the country. The evaluation examined the progress made and challenges faced in the course of implementation over the last four years of the project with a view to derive lessons and recommendations for continuous improvement in the implementation of the project over the remaining period of its duration.

#### 1.2.2 Scope and objectives

4. The scope of the evaluation covered various activities undertaken since 2009 under the four outputs of the project as summarized below:

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<sup>2</sup> The implementation of the project commenced in 2009 and its duration is now extended to end of 2014.

<sup>3</sup> The PB consists of Bappenas (National Development Planning Agency), Badan Nasional Penanggulangan Bencana (BNPB, National Disaster Management Agency), Badan Penanggulangan Bencana Daerah (BPBD, Regional Disaster Management Agency), Ministry of Home Affairs (MoHA) and UNDP.

**Table 1: Outputs and project activities under DR4 project**

<b>Intended output</b>	<b>Activities</b>
Output 1: Disaster risk reduction based rehabilitation and reconstruction guidelines strengthened, enacted and implemented	<p>1.1 Enactment of socialized and updated DRR based rehabilitation and reconstruction guidelines (RRG).</p> <p>1.2 Design, institute and run training programmes for DRR based RRG.</p> <p>1.3 Capture and disseminate lessons learned through good practices and process documentation.</p>
Output 2: Institutional systems strengthened and established that support DRR guided rehabilitation and reconstruction	<p>2.1 Strengthen BNPB and Bappenas and interagency relationships for enacted recovery operations and support to establishment of Indonesia Multi-Donor Financing Fund for Disaster Recovery (IMDFF-DR).</p> <p>2.2 Strengthen institutional relationships and partnership that support recovery operations among GOI agencies, national NGOs, community-based organizations (CBO) and international humanitarian community, as well as other stakeholders in post-disaster recovery.</p> <p>2.3 Capture and disseminate lessons learned through good practice and process documentation.</p>
Output 3: Field application of DRR guided recovery practices, methodologies, guidelines and tools with feedback to the policy framework	<p>3.1 Develop and establish Indonesian Post Disaster Needs Assessment (I-PDNA) process building on current GOI adopted Damage and Loss Assessment (DaLA) process.</p> <p>3.2 Develop and establish a ‘disaster information preparedness system’ combined with early warning/disaster impact information.</p> <p>3.3 Develop recommendations for recovery guidelines, standards and monitoring frameworks.</p> <p>3.4 Capture and disseminate lessons learned through good practice and process documentation.</p>
Output 4: Recovery measures in the disaster affected areas implemented, guided by GOI’s PDNA and Post-Disaster Rehabilitation and Reconstruction Action Plan (RENAKSI)	<p>4.1 Undertake capacity assessment of BPBD and provide training to staff.</p> <p>4.2 Develop standard operating procedures (SOP) on PDNA, recovery coordination and RRG and provide resources to undertake PDNA exercise.</p> <p>4.3 Strengthen cooperation of local government and national government for finalization of RENAKSIs.</p> <p>4.4 Provide resources required for restoring functional capacities of affected services and offices.</p> <p>4.5 Undertake thorough assessment of livelihoods recovery needs.</p>

	4.6 Undertake cold lava study of Merapi disaster and ethnographic study on Mentawai response to disaster and disseminate the findings.
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5. Under output 4, the project has three sub-projects, namely:

1. Recovery Initiative for Sumatra Earthquake (RISE)
2. Merapi Recovery Response (MRR)
3. Aceh Recovery Response (ARR).

6. Specifically, the evaluation was geared towards the following objectives:<sup>4</sup>

1. To review and critically evaluate achievement of results since 2008;
2. To review and contextualize DR4 efforts and contributions to national efforts in development of national framework for post-disaster rehabilitation and reconstruction;
3. To assess the relevance and effectiveness of strategies and interventions applied by DR4;
4. To determine whether there have been any unexpected results in addition to the planned outputs specified in the project documents;
5. To gain insights into the level of satisfaction with the project's results/impacts amongst beneficiaries (direct and indirect), national government partners, and donors;
6. To assess DR4 efforts towards ensuring sustainability to enable UNDP and project beneficiaries to effectively respond to any future needs for institutional capacity development related to the application of PDNA and the subsequent recovery action plans in response of future disasters, as well as the recovery monitoring;
7. To distil and articulate lessons learned from DR4, including those pertaining to approaches, strategies, gender mainstreaming, management and partnerships, both in the context of country specific lessons and those relevant to other recovery programmes;
8. To assess the effectiveness of capacity development at the national and sub-national level and the extent to which this has contributed to overall improvement of recovery;
9. To determine the added value of the project and potential replicability;
10. To provide recommendations and insights to future programming in the areas of recovery policy advocacy, recovery assessment (PDNA), recovery planning and budgeting (RENAKSI), recovery financing, recovery coordination and implementation, and recovery monitoring.

### 1.3 Organization of the Evaluation:

7. The evaluation was commissioned by the UNDP country office (CO) in Indonesia and managed by its Planning, Monitoring and Evaluation Unit (PMEU). Through a national and international recruitment process, two independent consultants – one national and one international - were selected and tasked to carry out the evaluation. The field visit for the evaluation took place during 25 November to 12 December 2013. The PMEU team along with the Post-Crisis Recovery team provided support in arranging meetings and interviews, field visits and ensured that the evaluation team had access to necessary documents.

#### The evaluators and declaration of any bias:

*Abhijit Bhattacharjee* is an independent evaluation and strategy expert with over thirty years of senior management and consulting experience in international organisations in various parts of the world. With extensive experience in NGOs, the United Nations, Government aid agencies and Red Cross/Red Crescent Movement, he has carried out short-term consulting assignments for UNDP (and other UN agencies) from time to time, but has

<sup>4</sup> UNDP. Terms of Reference for mid-term evaluation of disaster risk reduction based rehabilitation and reconstruction.

never sought or occupied any full- or part-time staff position in any of the UN agencies, and had not worked on the DR4 in the past.

*Saediman Mboe* is an independent evaluation specialist with about 20 years of experience in research and consultancy in Indonesia. In addition to being a researcher at a university, he has done consultancy work with various NGOs/INGOs, governmental agencies, donor organizations, and UNDP. He had not worked on DR4 project in the past.

8. Following a series of initial briefings and meetings in Jakarta and prior to the commencement of fieldwork, the evaluation team produced an inception report<sup>5</sup> outlining key elements of the evaluation approach, framework and methodology which were agreed with the CO and relevant stakeholders. In the fieldwork phase, the evaluators travelled to three provinces (West Sumatra, Yogyakarta and Central Java) to gather data from an extensive range of sources, including provincial and district government authorities, beneficiary communities, various project staff and implementing partners directly working on disaster recovery. A full itinerary of the evaluators is given at Annex 3. At the end of the field visit an exit debrief was conducted in Jakarta with UNDP (and project) staff and GOI counterparts, where the team presented preliminary findings, following which draft reports were circulated for comments and further validation before the report was finalized.

## 1.4 Methodology:

### 1.4.1 Methodological approach

9. The overall methodology was based on both inductive and deductive approaches using quantitative and qualitative data gathered through a mixed-method approach from a carefully selected range of sources as indicated below. The data collection for this evaluation was mainly done through documents research, purposively selected key informant interviews (KIIs) with stakeholders, semi-structured interviews, site visits and observations, and structured focus group discussions (FGD) and individual interviews with key stakeholders (Government Agencies at national, provincial and district levels and disaster-affected communities) targeted by the project.

10. The emphasis of the evaluation was on contribution to change, rather than directly attributing all results to the project's activities – this is based on the premise that change is not linear and attributable to one specific intervention, but rather is the culmination of multiple interacting factors.

### 1.4.2 Evaluation criteria

11. The evaluation used the following criteria which are mainly<sup>6</sup> based on OECD/DAC criteria<sup>7</sup> for evaluation of development assistance:

- Relevance
- Appropriateness
- Effectiveness
- Efficiency
- Sustainability
- Impact
- Replicability

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<sup>5</sup> Attached as Annex 2.

<sup>6</sup> An additional criterion which is not part of OECD/DAC criteria UNDP would like to use in this evaluation is Replicability – to identify specific interventions that may be replicable in other situations and countries

<sup>7</sup> OECD/DAC. DAC Criteria for evaluating development assistance, 1991.

12. Detailed evaluation questions against each of the above criteria, methods and sources of data is provided in Table 2 of the Inception Report (IR).

### 1.4.3 Evaluation design and method

13. Instead of conventional experimental design or quasi-experimental design which has established counterfactuals to compare against,<sup>8</sup> the evaluation used non-experimental methods and sought to analyze multiple qualitative factors that influenced the project's outputs in the four dimensions, namely: (a) *Capability* - DRR-based policy guidelines for recovery, structure and institutional relationship, financing mechanism; (b) *Capacity* - human capital development; (c) *Practices* – field application of tools to test, validate and socialize new guidance; and (d) *Effects* - scaling up early recovery measures to meet the recovery needs of the disaster-affected.

#### Key methods

14. *Sampling methods*: For key informant interviews and documents research, the evaluation used purposive sampling – i.e., selection of sources of data based on an informed judgment by evaluators of their ability to contribute relevant data to answer the evaluation questions. For site visits and primary data-gathering from districts and communities, selection of exact locations was made on the basis of the following combined criteria:

- Areas where a critical mass of early recovery activities were carried out in the past 4 years (Yogyakarta and West Sumatra);
- Ease of access to local areas and communities;
- Government institutions and staff who have been recipients of training, orientation and direct assistance under the project on early recovery planning, monitoring, implementation and review.

Key documents were used to supplement data gathered through KIIs, site visits and focus group discussions. A detailed list of the key documents consulted is attached as Annex 5.

15. *Counterfactual*: The evaluation used existing data from CPDs, CPAP, ProDoc and relevant reports prior to 2008-2009 and, where substantive baseline data did not exist, the evaluation team attempted to retrospectively reconstruct baseline through structured focus group discussions (FGD) with stakeholder groups and communities in provinces and districts. Interview questions were designed to encourage memory recall by interviewees of the situation at the start of their engagement with the project's activities and then look back at changes, if any. The evaluators analyzed data to obtain a fuller picture of how change was being catalyzed to understand contributions made by UNDP in particular.

16. *Data-gathering and sources of data*: The evaluation conducted key informant interviews, semi-structured interviews (SSI) and group discussions with the stakeholders – UNDP staff, senior and mid-level government officials in Jakarta and provinces, community members, beneficiary communities, other UN agencies and selected NGOs. The following table shows the breakdown of primary data sources (key informants, FGDs, semi-structured interviews and site visits) in different locations during the fieldwork:

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<sup>8</sup> In the absence of a baseline – in terms of clearly articulated data on what capacity existed before the project and what specific change was intended – a conventional experimental design was not feasible.

**Table 2: Details of interviews and site visits conducted by the evaluation team**

<u>Primary data sources</u>	<u>Jakarta</u>	<u>Provinces</u>	<u>Total</u>
UNDP staff	6	6	12
Government staff	4	14	18
NGOs/INGOs	2	14	16
Other UN staff, donors, World Bank	10	0	10
Beneficiaries/communities			
Individual interviews		9	9
Sites/Focus groups		2	2

A full list of all interviewees is provided at Annex 4.

#### **Triangulation of data**

17. Triangulation is a core principle in mixed-method data collection as it ensures that the results are linked up into a coherent and credible evidence base. This review mainly relied on:

*Source triangulation.* The consultants compared information from different sources, i.e. at various management levels in different implementing partners, UNDP staff, project units, Government, NGOs, and donors.

*Method triangulation.* The consultants compared information collected by different methods, e.g. interviews, focus group discussion, documents review.

*Researcher triangulation.* Comparison and collation of information collected by different team members during the course of their desk research and data gathering.

*Oral presentation* of preliminary findings and conclusions to UNDP country office and key staff from the GOI counterpart Agency as part of the validation process.

18. As a principle, the evaluation ensured that opinions, views and perspectives offered by each interviewee or key informant were tested against information obtained from other interviewees and documents. Any perspective or data offered by an individual that could not be validated against data obtained from other sources was considered ‘unreliable evidence’ for the evaluation and, hence, rejected in the analysis.

### **1.5 Format of the Report:**

19. The report is presented in five sections. Section 2 gives a brief introduction to the context of UNDP programme in relation to DR4 project, followed by presentation of the evaluation’s observations and findings on various outputs which relate to the outcome as defined in the Results and Resources framework of the project document (ProDoc). Section 3 analyses the observations, evidences and findings on outputs and draws conclusions on overall contribution to the outcome based on the criteria for evaluation as per the TOR and evaluation framework based mainly on OECD evaluation criteria. Section 4 discusses strategic issues for

the project and summarizes the overall findings and lessons, and presents recommendations for future.

### 1.6 Limitations:

20. The evaluation was subject to the following limitations:

1. Reports and data available with UNDP and partner agencies were mostly input and activity oriented which to an extent limited their usefulness for evaluating outcome of the project.
2. As the methodology of the mid-term evaluation did not involve any systematic impact assessment, comments on impact in this report are limited to looking at the contributions and effects of the interventions.

## Section 2

# Introduction to the DR4 Project - Programme Context and Content

### 2.1 The Programme Context and Objectives:

#### 2.1.1 Overview

21. The overall context within which UNDP's programming on disaster recovery takes place in is described in the DR4 project document (ProDoc).<sup>9</sup> The project was originally planned to be implemented during 2008-2011. However, recovery responses to major disasters after 2008 expanded the scope of the project to include specific recovery interventions in at least three disasters, namely: Merapi volcano eruption and subsequent lava floods (2010); Sumatra /Mentawai earthquake and Tsunami (2010); and Aceh earthquake (2013). In recognition of the achievements of DR4 and the availability of funds from Bureau for Crisis Prevention and Recovery (BCPR) to support the early recovery activities in Mentawai (West Sumatra) and Merapi, the duration of DR4 project was extended to 2014.<sup>10</sup>

22. Since mid 2009, the DR4 project has supported the Government of Indonesia in strengthening its disaster management, particularly in building a planning system for recovery (rehabilitation and reconstruction) and implementing recovery interventions based on the principles of disaster risk reduction (DRR). The programme is implemented by BNPB with operational support from the Project Management Unit (PMU) under the Deputy for

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<sup>9</sup> BNPB/UNDP. Revised Project Document – Disaster Risk Reduction based Rehabilitation and Reconstruction (DR4)

<sup>10</sup> UNDP/BNPB. Disaster Risk Reduction based Rehabilitation and Reconstruction (DR4) Project: Policy Development and Field Applications. 1<sup>st</sup> Semester Progress Report: 1 January – 30 June 2013, November 2013 (Draft)

Rehabilitation and Reconstruction – BNPB.<sup>11</sup>

### 2.1.2 Key elements of context underpinning the DR4 project

23. Drawing on lessons from the Indian Ocean Tsunami of 2004 and earthquake in Yogyakarta in 2006, Indonesia has made phenomenal progress towards integrating disaster risk reduction in its overall disaster management. Besides a new disaster management law, the country has set up a National Disaster Management Agency (NDMA, or Badan Nasional Penanggulangan Bencana, BNPB) and provincial disaster management Agencies (Badan Penanggulangan Bencana Daerah, BPBD) to coordinate and provide leadership on various aspects of disaster management including preparedness, risk reduction, post-disaster relief response and recovery (rehabilitation and reconstruction).

24. The National Development Planning Agency (Bappenas) has formally made DRR one of the nation's eleven (11) development priorities and has included substantial budget for DRR in the last three GOI Annual Workplans. Budgeting for DRR has also been integrated into the Rehabilitation and Reconstruction Guidelines (RRG) endorsed in 2010 through Perka 17/2010, which requires a minimum 10 per cent of Rehabilitation and Reconstruction resources to be allocated for DRR.<sup>12</sup> Recovery response in the past had suffered from lack of a systematic approach to assessments and planning based on communities' needs, inadequate emphasis on risk reduction and lack of timely response.

25. A strong impetus for this emphasis on recovery has come from the fact that the GOI has invested heavily on DRR with the adoption of Hyogo Framework for Action (HFA) and its commitment to the International Strategy for Disaster Reduction (ISDR) guidelines for establishing a national DRR platform. UNDP has supported the GOI in this endeavour through two major projects, namely: (a) "Safer Communities through Disaster Risk Reduction in Development (SCDRR), being implemented by Bappenas<sup>13</sup> at the national level; and (b) at the Provincial level the "Making Aceh Safer Through Disaster Risk Reduction in Development" (DRR-A) project implemented by the Aceh Provincial Government.

26. With the setting up of the National Disaster Management Agency (BNPB) in 2007, its Department of Rehabilitation and Reconstruction started the major task of building the foundations for good recovery planning and implementation through identifying, developing and putting in place new rehabilitation and reconstruction guidelines, partnership agreements and improved practices. The DR4 project in particular has been instrumental in helping BNPB develop a comprehensive recovery framework and tools.

### 2.1.3 DR4 Project – theory of change (TOC) and project outputs

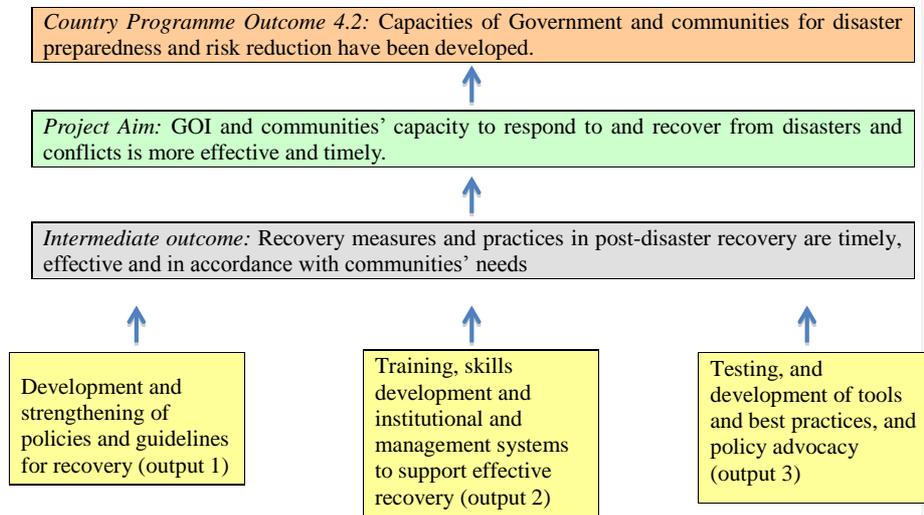
27. The Theory of Change (TOC) underpinning DR4 project can be summed up as: Create institutional framework and capacity for post-disaster recovery using good practices for disaster risk reduction and resilience, and socializing practical tools for recovery planning, resource mobilization, delivery and monitoring at national and local levels.

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<sup>11</sup> Disaster Risk Reduction based Rehabilitation and Reconstruction (DR4) - A collaboration between National Disaster Management Agency (BNPB) and United Nations Development Programme (UNDP): The Formulation of Post-Disaster Needs Assessment (PDNA) Guideline: Indonesia's Experience

<sup>12</sup> BNPB/UNDP. Revised Project Document – Disaster Risk Reduction based Rehabilitation and Reconstruction (DR4)

<sup>13</sup> Now the project is being implemented by BNPB.



**Figure 1: Simplified representation of the theory of change for DR4 project**

28. Project reports and related documents indicate that the project has made significant progress in relation to the outputs and intermediate outcomes. In specific terms, the project has accomplished the following since its inception in 2008:<sup>14</sup>

*Policy and guidelines:*

- 1) Finalization of refined Indonesian Post-disaster Rehabilitation and Reconstruction Guidelines (RRG)
- 2) Enactment of umbrella policy and formal guidelines for undertaking post-disaster recovery – the post-disaster RRG
- 3) Enactment of I-PDNA guideline and manual
- 4) Enactment of the Rehabilitation and Reconstruction Grants Management manual
- 5) Enactment of the Rehabilitation and Reconstruction Monitoring and Evaluation manual

*Capacity and institutional development:*

- 6) Support to establishment of the Indonesia Multi-Donor Funds Facility for Disaster Recovery (IMDFF-DR)
- 7) Development of training modules for BNPB and BPBD staff on RRG and I-PDNA
- 8) Initial capacity and needs assessments of priority selected government line agencies, local government agencies and key community based organizations (CBOs) and non-governmental organizations (NGOs) involved in disaster recovery.

*Tools development and best practices:*

- 9) Design, application and refinement of Human Recovery Needs Assessment (HRNA) in post-earthquake situation in West Sumatra; West Java; Papua's Yapen and Waropen following an earthquake; Wondama Bay following a flood; post-earthquake and tsunami Mentawai, West Sumatra; and post-volcanic eruption Yogyakarta and Central Java

<sup>14</sup> UNDP. Terms of Reference - Mid-Term Evaluation of Disaster Risk Reduction Based Rehabilitation and Reconstruction (DR4) Project, September 2013

- 10) Refinement of Economic Empowerment, Housing Reconstruction, and Infrastructure Rehabilitation and Reconstruction manuals of the RRG.

## 2.2 Resources:

**Table 3: Outputs, activities and resources on DR4 project<sup>15</sup>**

EXPECTED OUTPUTS	Expenditures (\$)
	2009 -2013
Output 1: DRR based rehabilitation & reconstruction guidelines strengthened enacted and established	1,498,425.09
	<b>1,498,425.09</b>
Output 2: Institutional systems that support DRR based recovery (rehabilitation & reconstruction) strengthened and established	319,874.34
	<b>319,874.34</b>
Output 3: Field application of DRR based recovery (rehabilitation & reconstruction practices, methodologies, guidelines and tools with feed-back to the policy framework	291,895.94
	<b>291,895.94</b>
Output 4 (RISE): Recovery Measures to the disaster affected areas implemented, guided by GoI's Post Disaster Needs Assessment (PDNA) and Post Disaster Rehabilitation and Reconstruction Action Plan (RENAKSI) (Recovery Initiatives for Sumatra Earthquake/RISE)	3,706,108.49
	<b>3,706,108.49</b>
Output 4 (MRR): Recovery Measures to the disaster affected areas implemented, guided by GoI's Post Disaster Needs Assessment (PDNA) and Post Disaster Rehabilitation and Reconstruction Action Plan (RENAKSI) (Merapi Recovery Response/MRR)	956,791.57
	<b>956,791.57</b>
Output 4 (AQRR)	50,000.00
<b>Sub Total Output 4 (AQRR)</b>	<b>50,000.00</b>
<b>Total Output 4</b>	<b>4,712,900.06</b>
<b>GRAND TOTAL DR4 from 2009- 2013</b>	<b>6,823,095.43</b>

<sup>15</sup> Source: Project document DR4, and financial data made available by UNDP.

## Section 3

# Evaluation Findings – Assessment against Evaluation Criteria

### 3.1 Relevance:<sup>16</sup>

Relevance is concerned with assessing whether projects and programmes are in line with national and local priorities and refers to the overall goal and purpose of a project.

#### Finding 1

**The outputs under the DR4 project are relevant in the context of local and national priorities and UNDP's mandate, and help responding agencies focus on disaster-affected communities' needs during post-disaster recovery.**

#### 3.1.1 National priorities and UNDP mandate

29. Since the Tsunami of 2004 and Yogyakarta earthquake of 2006, Indonesia has moved from a reactive mode to a comprehensive approach to disaster management. The disaster management law of 2007 (24/2007) establishes a legal and regulatory framework for both national and provincial governments to coordinate the work of various line ministries and local authorities on risk reduction, rehabilitation and reconstruction (recovery) and emergency response. The GOI's newly established National Disaster Management Agency (BNPB) through its Department of Rehabilitation and Reconstruction has led the major task of building the foundations needed for good recovery planning and implementation through identifying, developing and putting in place new rehabilitating and reconstruction guidelines, partnership agreements and improved practices.

30. Overall, there is close alignment of the project with the Disaster Management Law No. 24/2007, and its derivative regulations such as Presidential Regulation No. 8/2008 regarding BNPB; Government regulation No. 21/2008 regarding Implementation of Disaster Management, Government regulation No. 23/2008 regarding Involvement of International Organization and Non-Governmental Foreign Organizations in Disaster Management.

31. At the request of the GOI, UNDP began assisting key institutions of the government, namely BNPB and BPBD, in the former's attempt to put in place necessary policy framework, guidelines, tools, procedures and capacity to undertake recovery with a risk reduction perspective. This complements ongoing support of UNDP to the GOI (BNPB and

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<sup>16</sup> *Questions/issues examined:* (1) To what extent do the intended outcome and relevant outputs address national policies and priorities and to what extent are these aligned with UNDP's mandate in Indonesia? (2) Have the project interventions been relevant to women and other marginalized populations, and needs of communities affected by disasters? (3) Has the project been able to adapt its programming to the changing context to address priority needs (in relation to recovery) in the country?

Bappenas) on DRR through various other projects namely: SCDRR,<sup>17</sup> National DRR platform, and Making Aceh Safer through Disaster Risk Reduction in Development (DRR-A).

32. UNDP Indonesia CO's Country Programme Action Plan (CPAP) for 2011-2014 prioritizes recovery under its post-crisis recovery programme. The programme seeks to support national and local governments to institutionalize recovery tools and mechanisms that have been developed and apply global best practices and principles of 'do no harm', 'build back better', gender, environment sustainability and good governance in recovery response.<sup>18</sup>

33. Two major strategic interventions which have been initiated under the DR4 project that helped the GOI fill critical gaps in its post-disaster recovery response capacity were: (a) developing a post-disaster needs assessment (PDNA) process which integrates human recovery needs assessment (HRNA) with a conventional Damage and Loss Assessment (DaLA) tool; and (b) setting up the Indonesian Multi Donor Fund Facility for Disaster Recovery (IMDFF-DR) to provide a platform for international assistance for recovery through a coordinated approach. The former has enabled BNPB and Bappenas (due to its role in budgeting for rehabilitation and reconstruction programmes) to take into account social and development needs of communities in recovery planning and implementation following each major disaster. The results of the post disaster needs assessment have served as the financial basis to prepare medium term and long-term recovery plan. The PDNA is coordinated by BNPB with support from Bappenas and UNDP, and involvement of all line ministries and the local government.<sup>19</sup>

### 3.1.2 Need-based

34. The project has focused on developing guidelines, tools, methods and capability that connect recovery assessments and measures to needs of communities and vulnerable population. After adoption of the Disaster Management Law 24/2007, the need was to issue derivative regulations. In Indonesia, usually there is a long gap between the enactment of law and subsequent issuance of its derivative regulations (government regulation, presidential regulation, presidential decree, ministerial regulation, ministerial decree/decision) as these require substantial technical expertise to develop. BNPB which was a new Agency where staff came from various ministries/agencies with limited experiences or expertise in disaster management did not have the capacity for this. The DR4 project filled the gap.

35. The rehabilitation and reconstruction guidelines (RRG) make clear references to vulnerability and needs of households. The HRNA focuses on assessing the impact of disasters on people and priorities for recovery in the communities, and covers the physical as well as non-physical aspects related to the needs in humanitarian recovery.<sup>20</sup>

36. The three subprojects under the DR4 are located in the three heavily disaster-prone areas. MRR is in Yogyakarta and Central Java where eruption of Mount Merapi occurs every four years or so. Project interventions are relevant to the needs of local governments. In West Sumatra, after the earthquake and tsunami, there was a strong need to restore local government capacities to ensure effective delivery of emergency assistance, resumption of public service and early recovery planning and implementation. There was also a need to undertake structurally safe and environmentally sound rubble clearance and removal of dangerous structure, and to support spontaneous safe and disaster resistant house

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<sup>17</sup> Currently in its second phase

<sup>18</sup> UNDP Indonesia/GOI. CPAP 2011-2014 (ref: outcome 4.2; outputs 4.2.1, 4.2.2 and 4.2.3)

<sup>19</sup> UNDP. Project Document - Recovery Initiatives for Sumatra Earthquake (RISE)

<sup>20</sup> Disaster Risk Reduction based Rehabilitation and Reconstruction (DR4) - A collaboration between National Disaster Management Agency (BNPB) and United Nations Development Programme (UNDP): The Formulation of Post-Disaster Needs Assessment (PDNA) Guideline: Indonesia's Experience

reconstruction, all of which were supported through the RISE programme. In Central Java and Yogyakarta, after the eruption, there was a strong need for strengthened capacity of local government to manage and coordinate DRR based recovery programmes and mainstream DRR with involvement of all stakeholders.

37. In the field of recovery information preparedness and utilization, the village information system (VIS) established in 9 affected villages within 3 districts of Central Java and Yogyakarta are functioning and operational. The VIS in 9 villages are equipped with complete features of basic village administration component, early warning system (EWS), social audit,<sup>21</sup> and recovery monitoring, capturing key statistics about the socio-economic and well being status of individual households. These enhance the capacity of the communities to channel their views on recovery to respective government agencies,<sup>22</sup> a view confirmed by community members and leaders interviewed for this evaluation. Similar database was also established through RISE in West Sumatra and handed over to the local government (Provincial BPBD and Mentawai BPBD) which used this to track progress of recovery activities during coordination meetings.

38. At the level of various ongoing responses, the UN joint programmes for livelihoods recovery in Mentawai and Merapi<sup>23</sup> focus on disaster-affected communities, with specific emphasis laid on livelihoods needs of households who are provided training, assets and support on marketing based on their need to re-establish livelihoods. In Padang, the savings and loans programme under the RISE specifically targeted women who constitute 90 per cent of the beneficiaries.<sup>24</sup> Several important gender equity principles and rights-based approach<sup>25</sup> are recognized and incorporated in the PDNA as outlined in the Ministerial Decree no.15/2011. Ministerial Decree (PERKA) no. 17/2010 on RRG (Chapter IV, on Fundamental Principal, point 3) and PERKA no. 15 year 2011 on PDNA (Chapter II, Point B, Fundamental Principles and Need Assessment Recovery of Rehabilitation and Reconstruction) make specific provision for inclusion of marginalized groups such as elderly, people disability and children, and gender mainstreaming in recovery assessments and planning.<sup>26</sup>

### 3.1.3 Changing context and emerging issues

39. Over the coming decades, disaster risk and disaster losses are expected to increase as the impact of climate change on the severity and frequency of hazards is felt.<sup>27</sup> Indonesia is one of the world's most vulnerable countries to natural disasters, but its risks are shifting: as elsewhere in the world, fewer people are dying from floods, earthquakes and volcanic eruptions, even as the economic toll from these disasters is growing. Preparedness and emergency response to natural disasters have improved worldwide, but equivalent measures to protect economies have lagged. This upward trend in economic losses is expected to continue as a result of the rising concentration of people living in areas more exposed to

<sup>21</sup> Social audit is defined as the process evaluating a firm's various operating procedures, code of conduct, mode of delivery and other factors to determine its effect on a society. In this case, this is done by the village communities through a structured tool which enables them to provide feedback to the relevant government counterparts (BDBP and other local authorities) providing services to the communities.

<sup>22</sup> UNDP. Proposal to the Indonesia Multi- Donor Fund for Disaster Recovery (IMDFF- DR) for Time and Cost Extension of Merapi Volcanic Eruption Livelihoods Recovery

<sup>23</sup> Merapi Volcanic Eruption Livelihood Recovery Programme, and Mentawai Islands Livelihoods Recovery Programme – both funded by Indonesia Multi Donor Fund Facility for Disaster Recovery.

<sup>24</sup> Interview with a senior manager of a partner NGO, RISE programme.

<sup>25</sup> In PERKA no. 15 year 2011 on PDNA (Chapter II, Point B), it is stated that the Assessment of Post-Disaster Needs should also be based on fundamental principles consisting of (i) participatory approach, (ii) evidence based approach, (iii) disaster risk reduction approach, (iv) basic rights approach: to use right based approach so that assessment of effect and impact of the disaster can be oriented toward the fulfillment of such basic rights, (v) accountability, and (vi) digital based in information system format.

<sup>26</sup> UNDP. Quarterly Report – DR4 Project, 1 January – 31 March 2013

<sup>27</sup> Tom Mitchell. Options for including disaster resilience in post-2015 development goals. ODI Background Note, September 2012

natural disasters and climate change. Given the projected increase in the occurrence of disasters, development progress will be contingent more than ever before on measures to avoid disaster impacts and recover from after-effects. Accordingly, there is a case for inclusion of disaster resilience as an ‘enabling factor’ in development goals.

40. In this context, the focus of DR4 on building the capacity of GOI institutions at national, provincial and local levels has been highly relevant. Several initiatives under this project have been forward-looking and position the GOI to contribute significantly to understanding of community resilience and recovery, and their links to development goals. The IMDFF-DR initiative has the potential to demonstrate international partnership and platform for best practices in recovery in the context of countries which face frequent and regular disasters.

### 3.2 Appropriateness:<sup>28</sup>

Appropriateness considers cultural acceptance and feasibility of activities or method of delivery of a development initiative and examines whether the initiative is acceptable and feasible within the local context.

#### Finding 2

**The interventions and tools developed under the project are adapted to Indonesian context, and are delivered through culturally appropriate methods.**

#### 3.2.1 Cultural norms and expectations

41. The DR4 project is delivered under National Implementation Modality (NIM) whereby the primary ownership of the project and responsibility for implementation lies with the national government, and funds are channeled by UNDP through the nodal agency, BNPB. In a country like Indonesia with a strong government and capacity for disaster management, this is appropriate. At the level of communities and households, activities targeting economic recovery like business development training for small and medium enterprises in Mentawai, market support for *salak*<sup>29</sup> farmers, small scale poultry and cattle rearing support through cooperatives in Merapi-affected villages, and support to *sharia*-based savings and loan cooperative in West Sumatra are key examples of socially and culturally appropriate interventions under output 4 of the project.

#### 3.2.2 Acceptance and use of policies, tools and guidance

42. DR4 has assisted BNPB in developing a monitoring system for post-disaster recovery based on longitudinal studies and measurement of recovery index, with bulk of the resources<sup>30</sup> for the exercise coming from the latter, indicating GOI’s keen interest in using the tool. The social audit process which has been piloted in Yogyakarta is already being used by communities and local government authorities as tools for demonstrating transparency and accountability to affected communities. Besides supporting in development and application of

<sup>28</sup> *Questions/Issues examined:* (1) To what extent the policies, tools and guidance developed in relation to recovery programming render themselves to use, acceptance and replication at national, regional and district levels? (2) Do the tools and method of delivery of recovery interventions that flow from this project respect the cultural norms and expectations of disaster-affected communities?

<sup>29</sup> Also called snake fruit (*Salacca zalacca*). It is a type of palm tree and the fruits are about the size and shape of a ripe fig.

<sup>30</sup> The first round of longitudinal study cost about Rp. 1.6 billion, of which Rp. 1.2 billion came from the GOI and the rest from UNDP.

these tools, the DR4 project, through UNDP's internal surge capacity, assisted BNPB in bolstering capacity for technical assistance during various phases of specific recovery responses in the past four years.

43. The DR4 project has enabled Indonesia to adopt and develop the HRNA tool in conjunction with DaLA as part of I-PDNA process. The HRNA in West Sumatra was performed using data collection instruments directly adapted from a number of instruments that had already been applied in post-disaster needs assessments in other parts of the world. The methods for collecting the data consisted of survey of the affected households, interviews with key informers and focus group discussions. As the questionnaires developed for this assessment were too many<sup>31</sup> and relatively complicated, BNPB and UNDP have been making attempts to adapt these to the conditions and characteristics of Indonesia.

### 3.3 Effectiveness:<sup>32</sup>

Effectiveness measures the extent to which the programme or activities achieve their purpose, or whether this can be expected to happen on the basis of the outputs.

#### Finding 3

**The project has made substantial contribution to development and finalization of several recovery policies and guidelines and manuals, although the level of awareness and knowledge about these policies and guidelines varies in the country. Various tools and practices developed by the project will require greater adaptation and socialization at provincial and local levels to make them user-friendly. The project will need to be more inclusive in its partnership in future, and needs to communicate the results and outcome it is achieving better. Analysis of various regulations and decrees shows that there is slight ambiguity over leadership responsibility (within BNPB) during transition from emergency relief activities to early recovery activities.**

#### 3.3.1 Project design and logic

44. As discussed in section 2.1.3 above, the theory of change (TOC) underpinning the project shows a coherent link between the outcome, project outputs and activities. The TOC has focused on a twin approach to achieving the outcome through: (a) creation of policy infrastructure, tools, guidelines and mechanisms; and (b) specific post-disaster recovery response to ground the application of best practices and tools. Within UNDP, the project which is part of post-disaster programme has strong linkage with the DRR programme. At the

<sup>31</sup> Disaster Risk Reduction based Rehabilitation and Reconstruction (DR4) - A Collaboration between National Disaster Management Agency (BNPB) and United Nations Development Programme (UNDP). The Formulation of Post-Disaster Needs Assessment (PDNA) Guideline: Indonesia's Experience

<sup>32</sup> *Questions/Issues examined:* (1) Is there a clear implementation logic and theory of change underpinning the project that informs outcome, output and activities under the DR4 project? (2) To what extent the planned outcome has been or is being achieved? Are there any additional outcome(s) being achieved beyond the intended outcome? (3) How have corresponding results at the output level delivered by the project affected the outcome? What are the challenges to achieving the outcome? (4) How does PDNA and recovery needs assessment and monitoring framework take into account DRR principles, livelihoods strengthening and gender mainstreaming? (5) Has UNDP best utilized its comparative advantage in deciding to deliver planned outputs? What are the key gaps that UNDP interventions could address within its comparative advantage that would significantly contribute to the achievement of the outcome? What specific value was added by UNDP in setting up IMDF-DR? (6) Has UNDP's partnership strategy been appropriate and effective in contributing to the outcome? (7) To what extent did the results, both at the outcome and output levels, take into account gender equality issues? (8) Is the current set of indicators for both outcome and output effective in informing the progress made towards the outcomes? If not, what indicators should be used? Are the progress reports evidence-based and do these track outcomes?

level of BNPB which is the executing agency, the project's ownership is with the Deputy Director III who is responsible for post-disaster recovery. UNDP's DRR programme is directly linked to the prevention and preparedness arm of BNPB through the Deputy Director I.<sup>33</sup> It can be argued whether DR4 project needed to be a separate project, or is it best integrated as part of regular portfolio of BNPB (Deputy III or Deputy II responsible for disaster response and relief). This may be a question to address in future, but given that capacity for post-disaster recovery is only beginning to be systematized now, the need for a specific project like DR4 which exclusively focuses on capacity and gaps in recovery, remains. In this regard, the project needs to foster strong linkage with the UNDP-assisted ongoing Safer Communities Disaster Risk Reduction (SC-DRR) which is executed by the Deputy I as this project aims to improve risk management in Indonesia by considering the ways in which DRR can be integrated into the country's standard development process.

### 3.3.2 Overall results and outcome

#### National policies and framework

45. In the past four years, the project has made substantial contribution to development and finalization of several recovery policies and guidelines and manuals.<sup>34</sup> BNPB has issued key recovery policies and technical guidelines through BNPB ministerial decrees, including: (i) BNPB Decree No. 17 of 2010 on Rehabilitation and Reconstruction Guidelines (RRG); (ii) BNPB Decree No. 15 of 2011 on Indonesian – Post Disaster Needs Assessment (I-PDNA); (iii) BNPB Decree No. 14 of 2011 on recovery grants; (iv) BNPB Decree No. 5 of 2012 on recovery monitoring and evaluation. These policies and guidelines were developed with technical support from DR4. DR4 has continued to work on the formulation of the guidelines on post-disaster recovery action plan (RENAKSI). This particular guideline is to serve as a reference document for recovery programming in Indonesia.<sup>35</sup>

46. The level of awareness and knowledge about these policies and guidelines varies in the country, with officials from Jakarta having undergone repeated training and orientation on these, while in the provinces, only a few officials were aware of existence of these. In west Sumatra, DI Yogyakarta (DIY) and Central Java which were visited by the evaluation team, BPBD officials, NGO partners and members of DRR forum who were generally aware of these lacked adequate knowledge regarding application of these in their work. While some staff from various BPBDs may have received orientation on RRG, frequent transfer of staff has meant that knowledge is lost to the organization. Those who attended some of the training were of the view that some of the policies and guidelines are fairly technical and require repeated training and orientation, but most of them have generally received one-off exposure to these, and that limited their ability to use these during recovery assessments, planning and implementation. It is noted that the BNPB's Deputy Office for Rehabilitation and Reconstruction is now working with its Training and Education Centre (*Pusdiklat*) on design and systematic roll out of RRG training module.

47. In terms of institutional systems, DR4 facilitated creation of the IMDFF-DR and provided technical assistance to develop institutional Standard Operating Procedures (SOP) for the organization which was hosted in the Bappenas – in coming months, this is moving to BNPB.

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<sup>33</sup> BNPB's structure is organized around three phases on disaster management: pre-disaster (Deputy Director I); during disaster response/relief (Deputy Director II); and post-disaster (Deputy Director III).

<sup>34</sup> There are also post-disaster Economic Empowerment Manual, and Housing Reconstruction Manual. These have been completed, and handed over to BNPB for enactment. The project also completed the development of RR and PDNA training modules. These have been piloted (training for 12 selected provinces) and some revisions are underway.

<sup>35</sup> UNDP/BNPB. Disaster Risk Reduction based Rehabilitation and Reconstruction (DR4) Project: Policy Development and Field Applications. 1<sup>st</sup> Semester Progress Report: 1 January – 30 June 2013, November 2013 (Draft)

IMDFF-DR seeks to mobilize funds and coordinate international aid in order to support the Government of Indonesia in performing rehabilitation and reconstruction in regions affected by natural disasters.<sup>36</sup> So far it has received support only from the New Zealand Aid and has not had the traction to fulfill its proclaimed multi-donor character. Despite this weakness, the IMDFF-DR initiative has proven its usefulness to the GOI in its recovery endeavours in Merapi and Mentawai in particular through the two windows which build on the comparative advantage of the UN for early recovery, housing, livelihood and capacity building (Governance, DRR, I-PDNA, RENAKSI) and the World Bank for rehabilitation/reconstruction; housing, technical assistance and capacity building (Governance, DRR, I-PDNA, RENAKSI,) and their respective implementation modalities and mandates in order to ensure maximum benefit for the Government of Indonesia.

48. Analysis of various regulations and decrees shows that there is slight ambiguity over leadership responsibility (within BNPB) during transition from emergency relief activities to early recovery activities. It is also unclear what authority local government has at the end of emergency relief activities and how to continue into early recovery activities in terms of funding and timing. The Disaster Management Law (24/2007) does not make any reference to the term “early recovery”, although it defines recovery in comprehensive terms. In Government Regulation No. 21/2008 regarding Implementation of Disaster Management, recovery is included in Chapter III related to emergency relief and in Chapter IV on rehabilitation. These two chapters deal with recovery during emergency relief and recovery of human aspects especially non-physical aspect (social and psychological), as well as efforts to make social, economic, environment, governmental system and community services. Further, the Guidelines for the Utilization of On-Call Fund issued by the Head of BNPB (6A/2012) specifies activities for emergency relief and early recovery, starting from the rapid response team going to the field to conduct assessment; establish emergency relief command; deciding disaster status or level; publication of rapid assessment results and emergency needs; rescue and evacuation of victims; provisions of basic necessities and recovery of vital infrastructure. This decree makes reference to *emergency transition to recovery* status which could be considered to denote more appropriately the period of implementation of early recovery.

### **Tools and practices**

49. As part of the PDNA, the project has facilitated integrating HRNA with DaLA and the tool has already been officially adopted by BNPB since December 2011, making it the first country in the world to have an integrated recovery assessment tools that combine DaLA and HRNA. The challenge remains on how to socialize this tool to help recovery programme formulation both at the national and sub-national levels. As the tool is relatively time-consuming and involves extensive survey which Government officials are not fully trained in using, UNDP continues to drive the HRNA process.

50. Another issue around HRNA is that as it can only be undertaken close to the end of the emergency response when the GOI has already announced closure of relief phase, HRNA’s findings take some time to come out. In the case of HRNA in West Java earthquake (2009), the delay in carrying out the HRNA activities meant that the results of HRNA could not be integrated into the Action Plan (RENAKSI) document in time.<sup>37</sup> The time-frame for HRNA may normally work fine in case of small and medium scale response which are mostly financed through the GOI resources, but in case of major international disasters where donors want to allocate resources fairly rapidly and immediately after the disaster, a delayed HRNA

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<sup>36</sup> UNDP/BNPB. Disaster Risk Reduction based Rehabilitation and Reconstruction (DR4) Project: Policy Development and Field Applications. 1<sup>st</sup> Semester Progress Report: 1 January – 30 June 2013, November 2013 (Draft)

<sup>37</sup> Disaster Risk Reduction based Rehabilitation and Reconstruction (DR4) - A Collaboration between National Disaster Management Agency (BNPB) and United Nations Development Programme (UNDP). The Formulation of Post-Disaster Needs Assessment (PDNA) Guideline: Indonesia’s Experience

/I-PDNA report may come in the way of resource mobilization. In this regard, with the support of early recovery cluster, the project is now assisting BNPB to develop a comprehensive early recovery assessment tool - an ERNA (early recovery needs assessment) tool is now being formulated.<sup>38</sup>

51. With reference to recovery preparedness system, the project has developed and piloted the Village Information System (VIS) in the areas affected by the 2010 Mt. Merapi eruption and recovery database in West Sumatra. With funding from BCPR, the project piloted VIS in four selected villages. The VIS/database is designed to support the RENAksi implementation and broader disaster management in the affected areas through early warning system, data preparedness, feedback mechanism, and participatory monitoring exercise. Much of these features utilize online network with interconnection to the existing information systems at BPBD, BNPB, BPPTK and other relevant actors, such as national and local information commissioners, local and national ombudsman, and local government.

52. Based on the successful implementation of this system, the VIS in Yogyakarta was expanded further to five other villages with funding from IMDFF-DR. The VIS gathers population, household and village economy, infrastructure and resources data for each village and can thus serve in recovery planning and monitoring.

53. An innovative initiative developed as part of the MRR in several districts of Yogyakarta and Central Java was the concept of 'sister villages'. The idea is to foster twinning between a disaster-prone village and another village in the area which is considered less disaster-prone so that in the event of a disaster, pre-existing relationships would help facilitate evacuation and temporary resettlement of people.

54. Another important tool that has been developed under this project is the longitudinal study to assess progress in recovery. This along with a related tool, recovery index, measures recovery across five dimensions:

- Housing
- Infrastructure
- Productive economy
- Social sector, and
- Cross-cutting issues.

55. These tools are still in development stage and the project is working with external consultants and companies to test and refine these. An important factor, besides cost, that will determine their continued use and ownership by BPBD in the provinces and districts will be their simplicity and user-friendliness. Presently, the tools are delinked from regular monitoring which the BPBD and local communities are working on namely, VIS and social audit. It will be important in future to ensure that the longitudinal study and recovery index are suitably adapted to link them to the tools currently owned and used by the BPBD and communities. This will demystify the tools and increase the likelihood of these being adopted by the local and provincial governments.

### 3.3.3 DRR principles and livelihoods strengthening

56. The Head of BNPB regulation No. 15/2011 regarding I-PDNA states that RR should be done using the principles of '*build back better* and *disaster risk reduction*'. I-PDNA guidelines aim to support DRR programmes during post-disaster period. I-PDNA consists of

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<sup>38</sup> UNDP/BNPB. DR4) Project: 1<sup>st</sup> Semester Progress Report.

three elements, namely assessment of disaster effect, assessment of disaster impact, and assessment of recovery needs. Assessment of recovery needs focuses on five elements namely development, replacement, support for access, recovery of function, and risk reduction. Disaster risk reduction as an overarching principle underpins the I-PDNA. The scope of I-PDNA covers six aspects in RR which are mentioned in the RRG, namely human development, housing, infrastructure, economy, social, and inter-sectoral. Livelihood strengthening is included in the economic aspect. The six aspects are integrated into the components of disaster effect assessment, disaster impact assessment, and recovery needs assessment. The economic aspect covering livelihoods is included in disaster effect assessment, assessment of damage, loss, access, function, and risk. It is also included in the assessment of disaster impact assessment. Finally, economic aspect is assessed for recovery needs, covering needs for development, replacement, provision of access, resumption of function, and risk reduction.

### 3.3.4 Comparative advantage and partnership

57. UNDP's comparative advantage lies in its credibility and relationship with Government, and ability to forge partnership with broad range of organizations on disaster risk reduction and recovery. UNDP brought in experiences and ideas regarding best practices in recovery from other countries that helped the BNPB which has limited internal capacity to develop policies and guidelines. Several examples of partnerships in the DR4 project were seen by the evaluation: (a) partnership with the World Bank and New Zealand Aid on the IMDFF-DR; (b) Merapi Recovery Consortium which brings people from local government, UN, citizens and private sector; (c) partnership with local NGOs in DIY, Central Java and West Sumatra on livelihoods programming; and (d) new partnership with Australia-Indonesia Facility for Disaster Reduction (AIFDR) to provide a joint support to BNPB Training Centre (Diklat) in developing reconstruction and rehabilitation curriculum modules.

58. Through another UNDP project, Safer Communities through Disaster Risk Reduction (SCDRR), a Capacity Assessment and Capacity Development (CA/CD) of BNPB was completed in late 2009. The assessment findings strengthened the strategic support that can be leveraged by DR4 project for RR implementation during the early recovery phases.<sup>39</sup>

59. The evaluation noted that despite these partnerships, DR4 is still largely perceived by most stakeholders except the BNPB as a UNDP project. This may be due to the fact that most of the engagement with various stakeholders is fragmented and 'projectized', without space for a systematic engagement on recovery issues.

### 3.3.5 Gender equality, output and outcome tracking

60. RRG emphasizes six basic principles in recovery interventions, and one of these is that RR activities need to put priority on gender equity and equality which is deeply incorporated into the I-PDNA, namely in the disaster effect and impact assessments, and in recovery needs assessment. Another principle is to give priority to the interests of vulnerable group namely the aged, women, children, and people with disabilities. RRG also mentions that in the implementation of disaster management, community involvement should take into account the gender representation.

61. The indicators defined for the project are fairly detailed and output-oriented. However, reporting by the project is activity-oriented, as was evidenced from the quarterly reports and annual progress reports seen by the evaluators. The evaluators found the reports generally unduly long, with poor analysis of outputs, outcome and lessons, a view strongly echoed by at least two key external stakeholders of the project. There are a number of contributing factors

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<sup>39</sup> UNDP. Quarterly Report – DR4 Project, 1 January – 31 March 2013

for this: (a) there is no dedicated staff for monitoring or reporting at the project level; and (b) the way the project is set up and implemented often means that UNDP contributes to a small part of a bigger whole, with several other organizations also contributing to one outcome, and specific results are not tracked well due to weak capacity of staff in results management of complex projects.

### 3.4 Efficiency:<sup>40</sup>

Efficiency measures how economically inputs (funds, expertise, time) have been converted into outputs.

#### Finding 4

**While the project implementation is fairly efficient as a delivery mechanism, there are structural issues in decentralized system of governance which caused delays in recovery response.**

#### 3.4.1 Programme resources and delivery

62. DR4 project has allowed UNDP to get into direct implementation arrangement, when appropriate, as it did in relation to the West Sumatra earthquake to be able to respond to early recovery needs fast. Following the Earthquake, the UN system in Indonesia immediately sent an inter-agency assessment mission to the affected area, comprising participants from FAO, OCHA, UNDP, UNFPA, UNICEF, and WHO to complement NGO assessments conducted by national NGOs and the Indonesian Red Cross. The UNDP country office deployed a team to the most severely affected districts to assess the early recovery needs focused on three sectors: governance; public and private infrastructure; and environment which includes waste management and debris clearance.<sup>41</sup>

63. In relation to recovery response in Mentawai and Merapi-affected areas, there are factors which caused delays in implementation. There are incompatible regulatory references guiding the implementation of RENAKSI vis-a-vis the basic public administration regulations within the decentralized framework in the country, as became evident in the Merapi recovery response.<sup>42</sup> BPBDs are established under the local governments, who are under the overall oversight of the Ministry of Home Affairs (MoHA), but are technically under the guidance of BNPB. The benefits to BPBDs from working with both BNPB and MoHA are occasionally outweighed by the complexity of having to deal with the regulations of two different lines of authority which caused delays in implementation due to slow disbursement of the recovery funds.<sup>43</sup>

64. In terms of project management, the organizational arrangement within the core team of the project in BNPB Jakarta, and subprojects in Yogyakarta and Padang is efficient. The office in Jakarta focuses on influencing and developing policies and guidelines at the national level, and the subprojects coordinate and deliver activities at the field level. The latter also inform policy from field experiences, and test the policies or guidelines in field conditions prior to being formally adopted.

<sup>40</sup> *Questions/Issues examined:* (1) Were programme resources/ funds efficiently applied? What internal factors (design, management, human and financial resources, field delivery capacity etc) and what external factors (physical, political, security) are affecting achievement of planned results? (2) Are the activities cost-effective and do they deliver value for money? How is value for money monitored and what type of data /mechanism used? (3) What M & E system/strategy and quality assurance system have been put in place and how effective are these?

<sup>41</sup> UNDP. Project Document - Recovery Initiatives for Sumatra Earthquake (RISE)

<sup>42</sup> Merapi Supplemental Report: IMDFF-DR UN Joint Programme – Merapi Livelihoods Recovery programme, January-May 2013

<sup>43</sup> UNDP/BNPB. DR4) Project: 1<sup>st</sup> Semester Progress Report, 2013

### 3.4.2 Value for money

65. The evaluation has not seen any report or document that showed any systematic attempt at monitoring value for money. The evaluation team has analyzed a few activities undertaken by the project and found that the project is generally delivering good value for money, as the following examples show:

- a) The longitudinal study (first round) in Merapi cost about US\$ 145,000 which works out to about US\$ 2.70 for each affected household. It is understood that subsequent studies would cost less (about US\$2/household) as the tools are already developed.
- b) The outputs of the project in terms of policies, guidelines and manuals, as well as delivery of subprojects is significant, despite the fact that the PMU is very small, with only 4 staff. Overall, with a total budget of little over US\$ 2 million over four years in development of policies and tools, training and their application and field testing, the project is good value for money.

### 3.4.3 Quality assurance, monitoring and evaluation (M&E)

66. Regular monitoring of activities by project staff is geared toward monitoring delivery of project activities, physical quantities and project outputs. There is no dedicated staff for M & E and reporting for this project. At the level of BNPB, however, there exists a Monitoring and Evaluation framework, based on the Head of BNPB Regulation No. 5/2012 regarding Guidelines for Post-Disaster RR Implementation. This guides M & E for overall recovery interventions and uses five criteria, namely consistency, coordination, consultation/participation, capacity, and sustainability. In the criteria for consultation/participation, there are questions about participation of women, children and people with disability from planning to implementation of RR. There are also questionnaires on specific theme (women, children, the aged, and people with disabilities). In the questions for in-depth interviews, in the aspect of human development, there is sub-aspect “women empowerment and child protection,” consisting of questions categorized under five criteria mentioned above. Likewise, in the M&E framework, DRR is included in the questionnaire as a specific theme.

## 3.5 Sustainability:<sup>44</sup>

Sustainability is concerned with assessing whether the benefits of an activity are likely to continue after donor funding has been withdrawn.

### Finding 5

**There is ownership of the project at national level, although its sustainability can be strengthened by appropriately redesigning the IMDFF-DR by broadening its mandate to include promoting partnership and best practices in recovery.**

<sup>44</sup> (1) *Questions/Issues examined:* How strong is the level of ownership of the results by the relevant government entities and other stakeholders (e.g. early recovery cluster members, IMDFF-DR)? (2) What is the level of capacity and commitment from the Government and other stakeholders to ensure sustainability of the results achieved? Has partnership strategy enabled integration and embedding of programme implementation in the government system? (3) Does the project have an exit strategy? What will happen at the end of the project? What could be done to strengthen sustainability?

### 3.5.1 Ownership by the Government

67. There is a strong sense of Government's ownership of various initiatives supported by the DR4 project at the national level. BNPB's willingness to shoulder financial responsibilities speaks volume about its appreciation and recognition of the added value provided by the project. This willingness will be a good ground to explore possibility of cost-sharing in the future, when appropriate regulations are in place in Indonesia.<sup>45</sup> In the provinces, however, this is lacking and DR4 is clearly perceived to be a UNDP project. This may be partly due to the fact that provincial officials have not had any substantial involvement in several of the initiatives under the DR4 project namely, HRNA, longitudinal study, recovery index, and in planning of recovery programmes which were led mostly by BNPB and /line ministries at the national level, and partly due to the weak capacity of BPBDs. One potential way forward would be to link the project with other initiatives that are taking place at the provincial level, through for example, UNDP projects that deal with planning and budgeting.

68. Many of the local BPBDs in Yogyakarta and Central Java provinces were only established at the end of 2010 or early 2011. DR4 carried out institutional capacity assessment of BPBD in West Sumatra province and Mentawai district, and series of capacity development activities have been facilitated including team building and coordination with relevant local government units (LGUs). It is understood that some of the provinces like Aceh, Yogyakarta and West Sumatra which deal with disasters on a regular basis and have had to cope with several major disasters in the past decade have better capacity than many other provinces which are disaster-prone. It is very likely that capacity in other provinces are far weaker than these provinces where bulk of DR4 support has been concentrated in so far.

### 3.5.2 Exit strategy

69. There is no clearly articulated exit strategy for the project, although the strong sense of ownership by the BNPB should enable the latter to fully take over the role and activities currently performed by the project in future. However, BNPB is still evolving as an organization, and it will continue to need capacity building support in the coming years. Although broad policy parameters are in place, there still remain important issues which the organization needs to sort out. For example, the overlapping functions and roles between the Deputy for Emergency Response and Deputy for Rehabilitation and Reconstruction within BNPB cause problems of accountability. Further, capacity development of BPBDs at provincial level remains uneven. As the evaluation<sup>46</sup> of another UNDP project working on similar issues noted, activities were more effective in provinces where local institutions demonstrated stronger capacity such as West Sumatra and Yogyakarta.

70. Moving forward, the evaluation is of the view that, given the perception of DR4 as a UNDP project among several stakeholders – external agencies and provincial authorities in particular – there is need to put in place a more inclusive mechanism which can provide a platform for several external agencies and donors to engage in. One option would be to reposition and redesign IMDFF-DR as a mechanism for policy dialogue, capacity building and knowledge management forum bringing in national, regional and international best practices and standards in recovery. Besides engaging donors directly on policy dialogue, this could also enhance partnership with other major initiatives of DRR and DR in the country, for example Australian Indonesia Facility for Disaster Reduction (AIFDR). It is to be noted that currently donors have shown reluctance to engage on IMDFF-DR as this is solely a financing mechanism and, not surprisingly, donors do not have the appetite for putting money upfront

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<sup>45</sup> UNDP/BNPB. Disaster Risk Reduction based Rehabilitation and Reconstruction (DR4) Project: Policy Development and Field Applications. 1<sup>st</sup> Semester Progress Report: 1 January – 30 June 2013, November 2013 (Draft)

<sup>46</sup> SC-DRR Project Evaluation Final Report

for recovery in anticipation of a future disaster. However, with a redesigned and rebranded IMDFF-DR, donors will be interested in a multi-lateral initiative which keeps them engaged at national and regional level in terms of policy dialogue and capacity building. With such an ongoing engagement, the chances of the donors responding with funds for recovery in the event of a major disaster should the GOI make an appeal would be high.

### 3.6 Impact:<sup>47</sup>

Impact refers to measured changes in human development and people's well-being brought about by the project, indirectly or directly, intended or unintended.

#### Finding 6

**At this stage, the evaluation could only examine the *contributions* of project interventions. The contributions of the project at the level of relevant institutions' capability, capacity, practices and their effects on communities have been significant.**

71. The evaluation took place at a time when many of the activities under the project were still being implemented or nearing completion, and thus reliable data to comment on impact did not exist. While the policies and tools the project assisted in their development and implementation have provided the overall framework for recovery responses in West Sumatra, DIY, Aceh and other disasters, their direct impact on the wellbeing of affected communities can only be assessed through an impact study with experimental or quasi-experimental design.

72. The joint programmes in response to Mentawai and Merapi disasters are, besides creating livelihoods opportunities for affected households, promoting community based DRR measures (for example, risk reduction measures in management of communal cage; conflict reduction mechanisms in relocation sites, etc). As mentioned in the section on methodology, the changes the project is seeking are complex and not linear – in the sense that specific impacts can be directly attributed to individual interventions under the project. However, it is clear from the previous sections that the project has made direct contributions: (a) at the level of enhancing Government institutions' *capability* through development of guidelines and policies; (b) *capacity* of various entities for facilitating development of operational structures for coordination and delivery through training and orientation and advisory support; (c) improved *practices* through use of tools like social audit, systematic VIS, involvement of local NGOs in delivery, etc; and (d) scaled up recovery interventions which had direct *effects* on communities on their livelihoods and recovery in respect of Merapi and Mentawai responses.

73. There are other initiatives – some by the GOI on its own, and others supported by different agencies and projects (AIFDR, World Bank, UNDP's SC-DRR) which are also working on similar issues, but retrospective recall by stakeholders and scan of various progress reports clearly establish that among all such initiatives, DR4 played a significant catalytic role over the past 3-4 years in galvanizing the changes described above.

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<sup>47</sup> *Questions/Issues examined:* (1) What is the contribution of the project outcome to overall recovery of disaster-affected communities, and based on the evidence so far, can the outcome lead to greater resilience in communities? (2) What changes (directly and indirectly, intended and unintended) in human development and people's well being are brought about by the project implementation?

### 3.7 Replicability:<sup>48</sup>

#### Finding 7

**Lessons from the HRNA process and use of social audit tool in humanitarian response context should help in replicating and scaling up these tools in future recovery response.**

74. Several initiatives under the DR4 project have potential for replication and scaling up. The testing and development of HRNA as part of PDNA has significantly improved the recovery assessment in the country. The experiences and lessons that came out of the process could be valuable to other countries in the region which face frequent disasters and have relatively strong disaster management regime (Vietnam, Bangladesh, India, China, Nepal, Pakistan, for example). The other initiatives during recovery were the use of social audit as a mechanism for promoting accountability to communities and establishment VIS in some of the disaster-affected villages. Although the social audit tool is not new, its adaptation in post-disaster context should bear interesting lessons that need to be documented. Currently the tool has been used only in DIY, and lessons from this should enable replication in other provinces.

## Section 4

# Overall Conclusions on Performance, Lessons and Recommendations

### 4.1 Overall Outcome:

75. The DR4 project has been instrumental in helping BNPB develop capacity to provide leadership on good recovery planning and implementation through development of new rehabilitation and reconstruction guidelines, partnership agreements and improved practices. These have helped overcome some of the weaknesses in recovery response in the past which suffered from lack of a systematic approach to assessments and planning based on communities' needs, inadequate emphasis on risk reduction and lack of timely response.

76. In terms of delivery of response, however, there still remain important issues which need to be addressed. The capacity development of BPBDs at provincial level remains uneven and their ability to use policies and tools to deliver timely and effective response is limited, partly due to lack of knowledge about the tools and processes, and partly due to the decision making processes within the provincial administration under the decentralization framework which cause delays. Further, within BNPB, the overlapping functions and roles between the Deputy for Emergency Response and Deputy for Rehabilitation and Reconstruction within BNPB cause problems of accountability, especially in relation to early recovery planning and response.

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<sup>48</sup> *Question/Issue examined:* Which successful interventions could be replicated in other situations and countries? What conditions need to be in place for DR4's efforts to be replicable in other settings?

77. DR4 has facilitated several important partnerships between UNDP, GOI and other key institutions, namely: (a) partnership with the World Bank and New Zealand Aid on the IMDFF-DR; (b) Merapi Recovery Consortium which brings people from local government, UN, citizens and private sector; (c) partnership with local NGOs in DIY, Central Java and West Sumatra on livelihoods programming; and (d) new partnership with AIFDR. Despite these partnerships, DR4 is still largely perceived by most stakeholders as a UNDP project. This may be due to the fact that most of the engagement with various stakeholders is fragmented and ‘projectized’, without space for a systematic engagement on recovery issues.

#### 4.2 Strategic Issues and Lessons for the Future:

78. In the context of post-2015 MDG agenda, discussions are taking place on linking development agenda with the Hyogo Framework for Action (HFA) 2005-2015, climate change adaptation and global agreement to build resilience to disasters. It is increasingly being argued that there is a case for inclusion of disaster resilience as an ‘enabling factor’ in development goals, rather than treating resilience and DRR as part of disaster management alone. This provides strategic opportunity for proactive advocacy for risk reduction and strengthening resilience in development planning. Several initiatives under this project have been forward-looking and position the BNPB to contribute significantly to understanding of community resilience and recovery, and their links to development goals. The IMDFF-DR initiative has the potential to demonstrate international partnership and platform for best practices in recovery in the context of countries which face frequent and regular disasters.

79. Moving forward, there is need to put in place a more inclusive mechanism which can provide a platform for several external agencies and donors to engage in. One option would be to reposition and redesign IMDFF-DR as a mechanism for policy dialogue and advocacy, capacity building and knowledge management forum bringing in national, regional and international best practices and standards in recovery. It is to be noted that currently donors have shown reluctance to engage on IMDFF-DR as this is solely a financing mechanism. However, with a redesigned and rebranded IMDFF-DR, donors will be interested in a multi-lateral initiative which keeps them engaged at national and regional level in terms of policy dialogue and capacity building. With such an ongoing engagement, the chances of the donors responding with funds for recovery in the event of a major disaster should the GOI make an appeal would be high.

80. Other important lessons the DR4 project has brought home for future implementation of the project are:

1. **Linking early recovery assessment with relief response:** Carrying out assessments in the middle of an emergency response phase has specific challenges related to the sensitivity of the survivors of the disaster. The hardship that they suffered as a result of the disaster makes them very sensitive when they are surveyed. Rather than being a respondent in a survey, many of them prefer direct assistance. In view of such a condition, it would be much better if the survey or interview or discussion with the survivors could be conducted at the same time as distributing assistance.<sup>49</sup>
2. **Demystifying tools:** Important tools like longitudinal study and recovery index have been developed with the help of external consultants and companies to test and refine these. Presently, the tools are delinked from regular monitoring which the BPBD and local communities are working on namely, VIS and social audit. It will be important

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<sup>49</sup> Disaster Risk Reduction based Rehabilitation and Reconstruction (DR4) - A Collaboration between National Disaster Management Agency (BNPB) and United Nations Development Programme (UNDP). The Formulation of Post-Disaster Needs Assessment (PDNA) Guideline: Indonesia’s Experience

in future to ensure that the new tools are suitably adapted to link them to the tools currently owned and used by the BPBD and communities.

3. Communicating results: The project has been weak in reporting on results and its achievements in a way that can engage other stakeholders to realize the value it is adding to recovery capacity in the country. Better outcome reporting and analysis of success factors in relation to Merapi recovery for example, could help in demonstrating the value of the project.

### 4.3 Recommendations:

- R1: BNPB to develop and rollout a systematic training and orientation programme for BPBD officials in disaster-prone provinces to familiarize them with the use of key tools for assessment, planning, implementation and monitoring of recovery.
- R2: UNDP and BNPB to review tools like longitudinal study and recovery index and adapt these suitably to link them with existing tools and data (VIS, social audit) that the local authorities/BNPB are already using as this will give the tools greater ownership.
- R3: The DR4 project needs to facilitate discussions within BNPB structure on clarifying roles and accountability for early recovery planning and programming and it links with both relief, and rehabilitation and reconstruction phase.
- R4: UNDP needs to review if a separate project management unit (PMU) is the best structure for the support provided by DR4, and explore options for making the process underpinning activities of DR4 more inclusive, capable of engaging a broad range of partners (NGOs, other UN agencies, CBOs, provincial officials and GOI) on dialogue and policy issues related to recovery.
- R5: Going into the future, while there is need for continued support to BNPB on its capacity development, IMDFF-DR steering committee needs to examine if it is best redesigned to take on a broader policy advocacy and knowledge management role as a platform to promote national and international engagement, and take forward the DR4 agenda in future.
- R6: The quality of project reports needs to be improved focusing on analysis of progress made, with case studies and empirical data which is currently weak.

## Annex 1

# Terms of Reference – Mid-Term Evaluation of DR4 Project



## II. Background Information

The “Disaster Risk Reduction Based Rehabilitation and Reconstruction” (DR4) Project is designed to support the Government of Indonesia in establishing rehabilitation and reconstruction planning and implementation processes that are guided by disaster risk reduction (DRR) principles and are in line with the Hyogo Framework for Action adopted by the GOI. The overall development objective of the project is to “strengthen the capacity of Indonesia’s national and local government agencies to coordinate and implement gender sensitive, pre and post disaster recovery planning processes and practices based on disaster risk reduction principles”. While the project was initiated in 2008, its full-scale implementation started in 2009. The project is directed by BNPB (National Agency for Disaster Management) in partnership with Bappenas (National Development Planning Agency) and Kemendagri (Ministry of Home Affairs).

This project has been a strategic intervention of UNDP in advocating a comprehensive recovery framework for Indonesia, which is consistent with UNDP Indonesia Country Programme Outcome 4.2, which states that: “GOI and communities capacity to respond to and recover from disasters and conflicts is more effective and timely”. The primary objective of the project is therefore to support GOI to ensure that post-disaster rehabilitation and reconstruction programme planning, implementation, monitoring and evaluation may take place effectively while considering the critical needs of the disaster affected communities. This specific objective has been addressed through a four-pronged approach, which includes:

- (i) establishment of a disaster risk reduction based rehabilitation and reconstruction policy and guidelines;
- (ii) building and strengthening the institutional framework for rehabilitation and reconstruction at national and local levels;
- (iii) field applications of the DRR based Recovery practices, methodologies, guidelines and tools with a feedback mechanism to policy framework; and,
- (iv) undertaking recovery measures in disaster-affected areas.

These four elements of project support have indeed constituted the four major outputs of the project, whose primary accomplishments are described below. **Summary of Project Progress and Accomplishments: 2008 – 2012**

### ***Output 1: Disaster risk reduction (DRR) based rehabilitation and reconstruction guidelines enacted, established, and strengthened***

Under this particular output, the project has, since 2009, focused on supporting BNPB to develop and disseminate the Rehabilitation and Reconstruction Guidelines (RRGs). Through intensive broad-based consultations with relevant recovery stakeholders in the country, including relevant government line agencies, local governments and their agencies (provincial, district and urban governmental agencies) as well as key GOI recovery partners

including key public and private sector partners, the international community, and national civil society networks, the RRG was eventually adopted by GOI and was enacted as a ministerial regulation of the Head of BNPB in 2010.

In the period of 2009-2012, the DR4 Project made substantial contribution in the finalization and the subsequent enactment of one umbrella guideline, namely, Rehabilitation and Reconstruction Guidelines (the RRG), and its ancillary operational guidelines/manuals, namely: (a) *the Indonesia Post Disaster Needs Assessment Manual (I-PDNA), developed jointly with the World Bank's GFDRR Indonesia project*, (b) *the Rehabilitation and Reconstruction Grants Management Manual*, and (c) *the Monitoring and Evaluation Manual for Rehabilitation and Reconstruction*.

In addition, this particular project output has also focused on the training methodology and training delivery mechanism for government officials from various ministries and line agencies at the national, provincial, and district levels on application of the RRGs (rehabilitation and reconstruction guidelines).

Starting in 2012, the DR4 project facilitated the process of formulating RRGs into training modules, through a Working Group participated by representatives from BNPB, Bappenas, MOHA, the World Bank, Indonesia Disaster Management Society (MPBI), and UNDP. The RRGs are being mainstreamed as a part of the standard competency requirements for the officials of BNPB and Local Disaster Management Agency (BPBD) through training and professional development programme(s). The training modules are set to the standards employed by the BNPB's Training and Education Center (Pusdiklat BNPB).

**Output 2: Institutional systems that support DRR based recovery (rehabilitation and reconstruction) strengthened and established**

One of the key initiatives supported by the project was the establishment of the Indonesian Multi Donor Fund Facility for Disaster Recovery (IMDFF-DR) in 2011. This entity was conceived to complement the government's financing for recovery by mobilizing contributions from development partners to support government initiatives for rehabilitation and reconstruction. Since its formation, the entity has developed into a standing mechanism for coordinating the post-disaster recovery response of various scales, in the events where the government deems international support as necessary. The establishment of the facility was guided by the principles of national ownership, as stipulated in the Jakarta Commitment.

In mid-2011 the IMDFF-DR received its first contribution from the New Zealand Government through NZAid, which contributed NZD 4 million, of which NZD 3 million was allocated for UN window and NZD 1 million for the World Bank window. By end of the year 2011, the IMDFF-DR Secretariat began its operation. In supporting the Secretariat, the initial work plan was developed and discussed by UNDP, BNPB, and the National Development Planning Agency (Bappenas) to ensure clear lines of responsibility among all parties. DR4 facilitated this process and convened consultations that eventually led to the development and finalization of the Standard Operating Procedures (SOP) or Operations Manual, which has provided good grounds for the work of the Secretariat.

This output also covers the support to initial capacity and needs assessments of priority-selected government line agencies, local government agencies and key community based organizations (CBOs) or non-governmental organizations (NGOs) involved in disaster recovery including needed interagency and inter-organizational terms of reference, protocols, agreements, standards, SOPs and pre-agreed financial mechanisms.

Within this context, the project supported an institutional scanning on recovery governance in Indonesia in 2011. The scanning study mapped out and looked at the roles of various institutions both at the national and sub-national level in supporting Post-Disaster Recovery, including the existing financing mechanism. The national institutional scanning was completed in 2011, and since March 2012 a similar, but expanded, mapping and analysis was

initiated to cover international organizations and development partners (UN, World Bank, development partners and international NGOs) and their roles. The purpose of this expanded scanning study is to further look at the roles of international organizations and development partners in supporting the post-disaster recovery initiatives in Indonesia. This expanded study supported by UNDP BCPR and APCR was already accomplished in mid 2012. The project is in discussion with GOI partners to host a national workshop to share the findings of the study, thereby contributing to the discourse on recovery governance in Indonesia.

**Output 3: Field application of DRR based recovery (rehabilitation and reconstruction) practices, methodologies, guidelines and tools with feedback mechanism to the policy framework**

Through intensive advocacy in the course of 2009 through 2011, a comprehensive methodology of the Indonesian Post Disaster Needs Assessment (I-PDNA) was eventually finalized, enacted and applied. Based on lessons learned from the field applications, the PDNA methodology was further refined to fit the Indonesian context. In the formulation and fine-tuning of the I-PDNA methodology, the initial process began with the drafting of a concept by a small team of experts based on the desk review in early 2011. The initial concept was then continuously updated based on application experiences following disasters in a number of high-risks areas. This comprehensive/participatory process has led to the finalization of the PDNA guideline at the end of 2011.

One of the most important elements of successful rehabilitation and reconstruction is area-based, hazard-by-hazard preparation for recovery prior to the next disaster. BNPB and Bappenas currently refer to such a system as “disaster information preparedness”. While the current disaster database provides useful information on disaster trends, more specific data sets are still required to adequately inform recovery planning. Promoting the disaster recovery information preparedness at the national level requires a solid data collection methodology and the supporting infrastructure at the sub-national level. Within this context, DR4 has promoted a village-based data system through the Merapi Recovery Response (MRR) sub-project, by setting up the Village Information System (VIS) that is intended to capture the disaster impact at the community level. Useful lessons from Merapi’s VIS may be replicated in other regions in view of promoting the disaster recovery information preparedness.

BNPB has also been charged with planning the development of a full range of disaster recovery related guidelines and standards. This project has been supporting studies leading to the development of early recovery processes such as restoring livelihoods and income, providing safe temporary transitional or permanent housing and restoring critical facilities and lifeline infrastructure in local communities. In 2012, DR4 supported BNPB in producing sector-based manuals as part of the Rehabilitation and Reconstruction Guidelines, namely the Economic Empowerment and Housing Reconstruction manuals.

**Output 4: Recovery measures in the disaster-affected areas implemented, guided by GoI’s Post Disaster Needs Assessment (PDNA) and Post-disaster Rehabilitation and Reconstruction Action Plan.**

With the support from BCPR, the project has supported recovery initiatives at the sub-national level through the two sub-projects, namely, Merapi Recovery Response (MRR) focusing on Yogyakarta and Central Java, responding to post-eruption recovery, and Recovery Initiatives for Sumatra Earthquake (RISE) focusing on West Sumatra in responding to the 2009 earthquake and 2010 Mentawai tsunami. In the two regions, disaster recovery monitoring systems were developed, to promote active participation of the communities. In Yogyakarta and Central Java, a Longitudinal Study was designed and tested to capture the progress of recovery programme.

After an intensive implementation over the past five years, it is the right time to review the current status of recovery discourse in Indonesia, along with the evolving priorities of GOI within the framework of the transition from the current Medium Term Development Plan

(2009 – 2014) and the beginning of the next strategic plan (2014 and beyond). In this transitional context, it is useful to look at the relevance of UNDP support related to recovery advocacy in the past five years, while analyzing further key recovery issues/gaps in the country where UNDP intervention would be necessary.

As endorsed by the Project Board of the DR4 Project, UNDP is therefore commissioning a consultancy work to undertake a mid-term evaluation of the DR4 project to address the above question.

#### **Overview of DR4's post-disaster recovery achievements 2008-2012**

2009

- 1) Finalization of refined Indonesian Post-disaster Rehabilitation and Reconstruction Guidelines (RRG)
- 2) Design and application test of Human Recovery Needs Assessment (HRNA) in post-earthquake situation in West Sumatra and West Java
- 3) Application and refinement of HRNA in post-earthquake situation in West Sumatra and West Java

2010

- 1) Application and refinement HRNA in Papua's Yapen and Waropen following an earthquake and in Wondama Bay following a flood
- 2) Enactment of umbrella policy and formal guidelines for undertaking post-disaster recovery – the post-disaster RRG
- 3) Application and refinement of Indonesia Post-Disaster Needs Assessment (I-PDNA) in post-earthquake and tsunami Mentawai, West Sumatra and post-volcanic eruption Yogyakarta and Central Java

2011

- 1) Enactment of I-PDNA guideline and manual
- 2) Development of training modules for BNPB and BPBD staff on RRG and I-PDNA
- 3) Support to establishment of the Indonesia Multi-Donor Funds Facility for Disaster Recovery (IMDFF-DR)
- 4) Enactment of the Rehabilitation and Reconstruction Grants Management manual

2012

- 1) Enactment of the Rehabilitation and Reconstruction Monitoring and Evaluation manual
- 2) Completion of report on Institution Scanning for post-disaster recovery institutional framework in Indonesia
- 3) Finalization of training modules for BNPB and BPBD staff on RRG and I-PDNA
- 4) Refinement of Economic Empowerment and Housing Reconstruction manuals of the RRG
- 5) Refinement of Monitoring and Supervision manual for Infrastructure Rehabilitation and Reconstruction
- 6) Cross-learning visit on disaster management by government delegations from Nepal and Bangladesh.

### **III. Objectives of Assignment**

The main purpose of this assignment is to undertake an independent, mid-term evaluation of the DR4 Project as commissioned by the Project Board of DR4, which comprises of UNDP, BNPB, Bappenas, and Ministry of Home Affairs. The independent mid-term evaluation is expected to look at the project's successes and failures, long-term results, the sustainability of project benefits, synthesize lessons learned, and to produce recommendations for future programming of the project in response to the current challenges of post-disaster recovery in Indonesia. The evaluation will therefore assess key achievements and contributions of the project in the formulation of post-disaster recovery policies in Indonesia, the strengthening of

institutional framework for post-disaster recovery, the capacity strengthening for GOI in the formulation of sound methodology and tools for post-disaster recovery, and the provision of recovery assistance in the disaster affected regions of Indonesia since 2008.

Knowledge and information obtained from the evaluation will be used as a basis for designing future interventions as well as for better management for results by UNDP, including the formulation of project strategies to respond to post-disaster recovery challenges within the framework of the current CPAP and beyond. The mid-term evaluation will also support public accountability of the project vis-à-vis the Government of Indonesia, UNDP, and relevant development partners, including New Zealand, IDF, and BCPR.

The evaluation is also expected to provide recommendations on key areas of recovery advocacy to be considered by the project for future interventions. The resulting evaluation findings and report will therefore include detailed recommendations for prescribed activities and results for the next phase of the DR4 Project.

#### IV. Scope of work

##### **Scope of Work**

The mid-term evaluation (MTE) shall examine progress, achievements, critical shortcomings, good practices and lessons learned from the project. This will allow UNDP, GOI and the relevant development partners (BCPR, IDF, and others) to identify key areas that are replicable and the necessary conditions for project achievements and progress to be sustainable. At the same time, the evaluation is expected to analyze the results achieved by the project in view of the broader recovery outcome as stipulated in UNDP's and GOI's CPAP 2011-2015.

Within this scope of work, the evaluation shall cover all activities undertaken by the DR4 Project since 2008. The evaluation mission will have a full flexibility to employ appropriate approaches, methodology, and techniques in undertaking the evaluation – which are to be proposed to, and endorsed by UNDP Evaluation Task Manager – including soliciting on stakeholders' and beneficiaries' perceptions, secondary data, government documents and project documentation, where applicable. UNDP Programme and DR4 Project staff will be available for consultation. The evaluation should ensure that beneficiary feedback is quantifiable and traceable where possible.

##### **Specific Objectives**

The specific objectives of the mid-term evaluation are as follows:

11. To review and critically evaluate the achievement of results since 2008;
12. To review and contextualize DR4 efforts and contributions to national efforts the development of the national framework for post-disaster rehabilitation and reconstruction;
13. To assess the relevance and effectiveness of strategies and interventions applied by DR4;
14. To determine whether there have been any unexpected results in addition to the planned outputs specified in the project documents;
15. To gain insights into the level of satisfaction with the project's results/impacts amongst beneficiaries (direct and indirect), national government partners, and donors;
16. To assess DR4 efforts towards ensuring sustainability to enable UNDP and project beneficiaries to sustain the benefits of the project and effectively respond to any future needs for institutional capacity development related to the application of PDNA and the subsequent recovery action plans [i.e. Action Plan for Rehabilitation and Reconstruction or RENAksi] in response of future disasters, as well as the recovery monitoring;
17. To distil and articulate lessons learned from DR4, including those pertaining to

approaches, strategies, gender mainstreaming (where relevant), management and partnerships, both in the context of country specific lessons and those relevant to other recovery programmes;

18. To assess the effectiveness of capacity development at the national and sub-national level and the extent to which this has contributed to overall improvement of recovery;
19. To determine the added value of the project and potential replicability;
20. To provide recommendations and insights to future programming in the areas of recovery policy advocacy, recovery assessment (PDNA), recovery planning and budgeting (RENAKSI), recovery financing, recovery coordination and implementation, and recovery monitoring;

### **Evaluation criteria**

The mid-term evaluation exercise shall use the standard OECD/DAC Evaluation Criteria for Evaluation of Development Assistance namely: relevance, effectiveness, efficiency, impact and sustainability (For details see pages 168-170 of the Handbook on Planning, Monitoring and Evaluating for Development Results: <http://www.undp.org/evaluation/handbook>). In addition, other criteria to be used in this evaluation are value added and replicability. Based on these criteria, the selected consultants are expected to develop detailed relevant questions per criteria as outlined below.

**Relevance:** The extent to which the expected results of the intervention are consistent with national and local policies and priorities and the needs of intended beneficiaries. Relevance also considers responsiveness to changing and emerging development priorities and needs, and gender equality.

**Appropriateness:** Considers the cultural acceptance and feasibility of activities or method of delivery of a development initiative. Appropriateness examines whether the initiative as it is operationalized is acceptable and is feasible within the local context.

**Effectiveness:** The extent to which the project's intended results were achieved. Effectiveness measures the extent to which observed changes can be attributed to project activities and outputs.

**Efficiency:** A measure of how economically resources/inputs (funds, expertise, equipment, time, etc.) were converted to results. An initiative is efficient when it uses resources appropriately and economically to produce the desired outputs.

**Sustainability:** The extent to which project benefits will continue after assistance has come to an end. This includes evaluating the extent to which relevant social, economic, political, institutional, and other conditions are present and, based on that assessment making projection about the national capacity to maintain, manage and ensure the development results in future.

**Impact:** The measured changes in human development and people's well-being brought about by the project, indirectly or directly, intended or unintended.

**Replicability** (for government, other BCPR-supported countries and UNDP Indonesia): What successful interventions could be replicated in other situations and countries? What conditions need to be in place for DR4's efforts to be replicable in other settings?

## **V. Evaluation Questions and Methodology**

### **Evaluation questions**

Evaluation questions must be agreed upon by the Project Board that commissions the evaluation.

The consultant will work in a team to develop a list of questions based on the criteria above and the following broad questions, which are the minimum that need to be addressed in this evaluation:

- What has been achieved and has this been done right? (Were stated outputs and outcomes achieved and were they done effectively and efficiently? Can success, or lack of it, be attributable to the project's design, theory of change and implementation logic?)
- Have the right things been done? (Were the activities, outputs and the outcomes relevant, appropriate and strategic to development priorities, national goals and UNDP's mandate?)
- Have the right things been done with the right people and partners? (Has the partnership strategy been appropriate and effective?)
- What have been the benefits of the projects on individuals (men and women), institutions and the enabling environment?
- Are the results sustainable? (Will the results be sustained by the beneficiaries and will they lead to benefits beyond the life of the existing project?)
- What should we continue doing, what is replicable or can be scaled up, and how might we do things better in the future? (What lessons and findings are relevant for future programming or for other similar initiatives elsewhere?)
- Has the project properly addressed crosscutting issues (like gender)? How might we do things better in the future?

### **Methodology**

The team of the evaluators will design a detailed step-by-step work plan that specifies the methods the evaluation will use to collect the information needed to address its purpose and objectives. The overall approach and methodology should ensure the most reliable and valid answers to the evaluation questions and criteria within the limits of resources (for more details see pages 172-177 of Handbook on Planning, Monitoring and Evaluating for Development Results: <http://www.undp.org/evaluation/handbook>).

The evaluation will consist of three main stages: 1) preparation and planning, 2) in-depth data collection, and 3) analysis and report writing.

#### ***Preparation and planning stage***

**Desk review of existing project documents:** The evaluation team will review important primary and secondary documentation, including the Project Document (Prodoc), Results and Resources Framework (RRF), Country Programme Action Plan, project reports (Quarterly Monitoring Reports and Internal Project Assurance Reports), relevant government planning documents, donor reports, financial reports, project reviews, studies conducted by the project, training materials, etc. Introductory meetings with UNDP, BNPB, Bappenas, IDF, and World Bank will be arranged.

Following the desk review, the evaluators will develop an inception report. An evaluation matrix should be included in the inception report and used as a reference in planning and conducting the evaluation. The evaluation matrix should summarize the evaluation design and methodology and should include data sources, data collection, analysis tools or methods appropriate for each data source, and the standard or measure by which each question will be evaluated (For details see pages 199-200 of the Handbook on Planning, Monitoring and

Evaluating for Development Results).

***In-depth data collection stage***

**Field visits:** Field visits to selected project locations will be undertaken, during which the evaluation team will use selected techniques and instruments for data collection that will enable them to respond to the questions in the evaluation framework (as indicated in a detailed evaluation matrix to be included in the inception report).

Suggested methods include:

- Direct observations
- Semi-structured and individual interviews
- Focus group discussions
- Case studies
- Questionnaires
- Before and after comparison assessments (for example, in the context of planning and budgeting)
- Stakeholder consultation

**Sampling:** The sample must be selected on the basis of a rationale or purpose that is directly related to the evaluation purposes and is intended to ensure accuracy in the interpretation of findings and usefulness of evaluation results. Sampling criteria should take into account types of activities implemented in the certain regions (West Sumatra, Central Java and Yogyakarta) and quality of results. Likewise, the evaluators should develop sampling procedures for beneficiaries, which is a representative sample on the basis of a rationale and purpose that is directly related to the purpose of this evaluation. A sampling plan and sample selection criteria (including size, characteristics and methodology) should be included in the inception report submitted by the evaluators. At minimum, stakeholders to be consulted should include principal beneficiaries, project board members, UNDP staff and management, IDF, New Zealand and other development partners working in the same field (such as the World Bank).

***Data analysis and report writing stage***

During this stage, the evaluation team will use the results from the data collected to answer the evaluation questions and criteria. Any additional consultations with key informants can be held at the national level during this stage. A debriefing will be held with project board members to present and confirm findings.

In the evaluation report, findings should be presented as factual statements based on an analysis of the data. They should be structured around the evaluation questions and criteria. Conclusions should be comprehensive and balanced, and highlight both strengths and weaknesses. Recommendations provided should be targeted, practical and feasible. The report should include a discussion on lessons learned, which should be concise and based on specific evidence presented in the report.

**VI. Deliverables / Final Products Expected**

At minimum the evaluation team is accountable for the following products:

- Evaluation inception report: An inception report should be prepared by the evaluators before going into the full-fledged data collection exercise. Based on the Terms of Reference, initial meetings with UNDP programme staff and PMEU, and desk review of relevant documents, the evaluators should develop the inception report. The report should include, at minimum, a detailed description of the evaluation purpose and scope, evaluation criteria and questions, methodology, sampling, evaluation matrix, and a revised workplan.

- Draft evaluation report: PMEU of UNDP Indonesia and the Project Board of DR4 will review the draft evaluation report to ensure that the evaluation meets the required quality criteria. DR4 will facilitate the review process by organizing a mini workshop for UNDP, project board members, and key partners in Jakarta to review the draft report and discuss the findings and provide inputs. The final report will reflect the results of the workshop and feedback from participants.
- Final evaluation report

Review/approval time required to review/approve the outputs prior to authorizing payments:

No	Deliverables	Payment	Due date
1	Inception report: - Project Evaluation Approach and Methodology - Implementation Arrangement - Evaluation work plan - Annex 1: Proposed list of respondents - Annex 2: Proposed agenda	20%	Day 6
2	Draft evaluation report and presentation of draft report	40%	Day 23
3	Final evaluation report	40%	Day 30

Submit the expected written outputs above in printed and soft versions; MS Word (.doc) format including power point presentation.

## VII. Requirements

The evaluation team will consist of one international consultant as team leader and one national as member of the team.

The international consultant should possess the following competencies:

- Experience in monitoring and evaluation including demonstrated experience with program assessments;
- A background in development;
- Familiarity with monitoring and evaluation techniques including in-depth interviews; focus group discussions and participatory information collection techniques;
- Strong analytical skills;
- Experience in working with government agencies (central and local), civil society organizations, international organizations, UN Agencies, and Donors. Direct experience working in Indonesia is an asset;
- Experience in evaluating projects, particularly on issues related to disaster management like DRR, humanitarian response, and post-disaster recovery;
- Understanding of policy-making and capacity development issues in Indonesia;
- Understanding of Indonesian government systems, especially policy and budget development at the national, district and provincial level;
- Good interpersonal and cross-cultural communication skills
- Ability to work efficiently and independently under pressure, handle multi tasking situations with strong delivery orientation;
- Experience in leading evaluation teams. A good team player committed to enhancing and bringing additional value to the work of the team as a whole;
- Advance proficiency in operating Microsoft office applications;
- Fluent written and oral English.

### VIII. Recruitment Qualifications

Education: Master degree or higher in development, disaster management, political sciences, or other relevant fields.

Experience: A minimum of 10 years of experience working in disaster management and recovery programmes in developing countries. Experience in project/programme design, monitoring and evaluation. First-hand knowledge of the Indonesian development environment is an asset.

Specific skills: Ability and experience in leading evaluation teams, and delivering high quality reports.

Language Requirements: Excellent command of the English language, spoken and written. Knowledge of Bahasa Indonesia is an asset.

### IX. Time Frame for Evaluation Process

Activities	Time Frame
Briefing of evaluators	Day 1
Desk Review and Finalizing the evaluation design and methods and preparing the detailed inception report	Day 1-5
Finalizing the evaluation design and methods and preparing the detailed inception report	Day 6
In-country evaluation mission (visit to the field, interviews, questionnaire)	Day 7 - 17
Preparing the draft report	Day 18 - 23
Stakeholder meeting and review of the draft report (for quality assurance)	Day 26
Incorporating comments and finalizing the evaluation report	Day 27 to day 30

### X. Implementation Arrangements

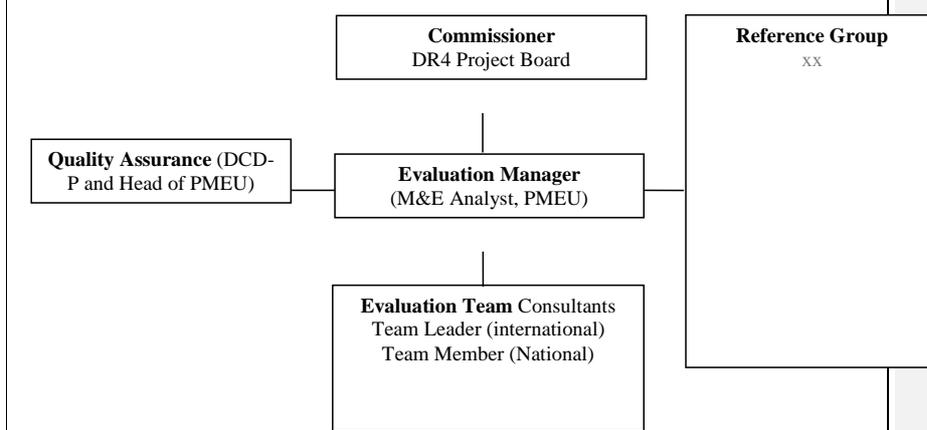
The consultant will compose an evaluation team under the supervision of the evaluation manager. The roles of evaluation team and its relations vis-à-vis other evaluation stakeholders are described in the table below and in the management structure.

**Table 1: Key roles and responsibilities in the evaluation process**

Person or Organization	Roles and Responsibilities
DR4 Project Board as commissioner of the evaluation	<ul style="list-style-type: none"> <li>Determine which output will be evaluated and when</li> <li>Provide clear advice to the evaluation manager at the onset on how the findings will be used</li> <li>Respond to the evaluation by preparing a management response and use of findings as appropriate</li> <li>Take responsibility for learning across evaluation on various content areas and about evaluations</li> <li>Safeguard the independence of the exercise</li> <li>Allocate adequate funding and human resources</li> </ul>
Quality Assurance (DCD-P and Head of	<ul style="list-style-type: none"> <li>Review documents as required and provide advice on the quality of the evaluation and option for improvement</li> </ul>

<p><b>PMEU)</b></p> <p><b>Evaluation Manager:</b> M&amp;E Analyst (PMEU)</p>	<ul style="list-style-type: none"> <li>• Lead the development of the evaluation TOR</li> <li>• Manage the selection and recruitment of the external evaluators</li> <li>• Manage the contractual arrangements, the budget, and the personnel involved in the evaluation</li> <li>• Provide executive and coordination support to the reference group</li> <li>• Provide the evaluators with administrative support and required data</li> <li>• Liaise and respond to the commissioners</li> <li>• Connect the evaluation team with the wider programme unit, senior management and key evaluations stakeholders, and ensure a fully inclusive and transparent approach to the evaluation</li> <li>• Review the inception report and the draft evaluation report; ensure the final draft meet quality standard</li> </ul>
<p><b>Reference Group:</b> Representatives of the following stakeholders: Bappenas, BNPB, MOHA, NZAid</p>	<ul style="list-style-type: none"> <li>• Define or confirm the profile, competencies and roles and responsibilities of the evaluation team</li> <li>• Participate in drafting and review of draft ToR</li> <li>• Assist in collecting required data</li> <li>• Oversee progress and conduct of the evaluation</li> <li>• Review the draft evaluation report and ensure final draft meets quality standard</li> </ul>
<p><b>Evaluation Team:</b> One international and one national consultant</p>	<ul style="list-style-type: none"> <li>• Fulfil the contractual arrangements in line with the United Nations Evaluation Group (UNEG) norms and standards and ethical guidelines; this includes developing an evaluation matrix as part of the inception report, drafting reports, briefing the commissioner and stakeholders on the progress and key findings and recommendations as needed.</li> </ul>

**Figure 1: Proposed management structure for DR4 mid-term evaluation**



**Annex 1: The Report should include the following headings**

Title and opening pages

Table of contents

List of acronyms and abbreviations

Executive summary

Introduction

Description of the intervention

Evaluation Scope and objectives

Evaluation approach and methods

Data analysis

Findings and conclusions

General Recommendations

Specific recommendations for replication within existing government institutions and programmes

Lessons learned

Annexes

The report should also contain boxes with case studies.

## Annex 2:

### **Inception report<sup>50</sup>**

#### **UNDP Indonesia – Mid-term Evaluation of Disaster Risk Reduction Based Rehabilitation and Reconstruction (DR4) Project**

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##### **Abbreviations used:**

BAPPENAS	National Development Planning Agency
BNPB	Badan Nasional Penanggulangan Bencana (National Disaster Management Agency)
BPBD	Badan Penanggulangan Bencana Daerah (Regional Disaster Management Agency)
CBO	Community Based Organization
CO	Country Office
CPAP	Country Programme Action Plan
CPD	Country Programme Document
CPRU	Crisis Preventions and Recovery Unit
DAC	Disaster Affected Communities
DALA	Damage and Loss Assessment
DR	Disaster Recovery
DR4	Disaster Risk Reduction based Rehabilitation and Reconstruction
DRR	Disaster Risk Reduction
GFDRR	Global Fund for Disaster Risk Reduction
GOI	Government of Indonesia
HFA	Hyogo Framework for Action
IMDFF-DR	Indonesian Multi-Donor Fund Facility for Disaster Recovery
IR	Inception Report
KII	Key Informant Interview
NDMA	National Disaster Management Agency
OCHA	Office for Coordination of Humanitarian Affairs
PDNA	Post Disaster Needs Assessment
ProDoc	Project Document
RENAKSI	Rencana Aksi Rehabilitasi dan Rekonstruksi (Action Plan for Rehabilitation and Reconstruction)
RRG	Rehabilitation and Reconstruction Guidelines
SOP	Standard Operating Procedure
TOC	Theory of Change
ToR	Terms of Reference
UNDAF	United Nations Development Assistance Framework

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<sup>50</sup> Evaluation team: Abhijit Bhattacharjee; Saediman Mboe

# 1. Background and Introduction:

## 1.1 Introduction to the evaluation

This inception report (IR) relates to a proposed mid-term evaluation of the Disaster Risk Reduction Based Rehabilitation and Reconstruction (DR4) Project which is being implemented by BPNB (the National Disaster Management Agency of Indonesia) in partnership with Bappenas (National Development Planning Agency) and Kemendagri (Ministry of Home Affairs), with support from UNDP. This report outlines the key elements of the evaluation framework, methodology and data analysis the evaluation team will follow for the exercise.

## 1.2 Background – the project context and objectives

This project (2008-2013)<sup>51</sup> is designed to support the Government of Indonesia (GOI) establish rehabilitation and reconstruction planning and implementation processes that are guided by disaster risk reduction principles (DRR) and in line with the GOI adopted HFA-DRR. The project's aim is stated as: “GOI and communities capacity to respond to and recover from disasters and conflicts is more effective and timely”. This is in line with UNDP CPAP's outcome 4.2 which aims at: “Capacities of government and communities for disaster preparedness and reduction have been developed”.

The context within which this project is being implemented is described in detail in the project document.<sup>52</sup> The project objective has been sought to be achieved through four main outputs, namely:

- (i) establishment of a disaster risk reduction (DRR) based rehabilitation and reconstruction policy and guidelines;*
- (ii) building and strengthening the institutional framework for rehabilitation and reconstruction at national and local levels;*
- (iii) field applications of the DRR based Recovery practices, methodologies, guidelines and tools with a feedback mechanism to policy framework; and,*
- (iv) undertaking recovery measures in disaster-affected areas.*

This project was conceptualized and launched in the backdrop of lessons emerging from major disasters in the past decade, namely the 2004 tsunami in Aceh and 2006 Yogyakarta earthquake which led the GOI to emphasize disaster risk reduction in its disaster planning and management. The new Disaster Management Law 24/2007 enacted by the GOI which accords to its citizens rights to protection and assistance in relation to disasters, through comprehensive disaster management measures that include pre-disaster planning, preparedness, risk reduction, response and recovery, provides the overall framework for post-disaster recovery in the country.

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<sup>51</sup> Initiated in 2008, but actual implementation started in 2009. Originally the project was to end in 2011, but was subsequently extended to include specific recovery activities in the aftermath of Merapi and West Sumatra disasters.

<sup>52</sup> NDMA/UNDP. Revised Project Document – “Never Again a Disaster Like This!” Disaster Risk Reduction based Rehabilitation and Reconstruction (DR4) Development Programme, 11 September 2013

## 2. Purpose, Scope and Objectives of the Evaluation:

### 2.1 Purpose and scope

The purpose of this mid-term evaluation is to assess the overall performance and key achievements of the DR4 project, and draw lessons in relation to formulation of post-disaster recovery policies, strengthening of institutional framework of the GOI, developing tools and guidelines for post-disaster recovery, and provision of recovery assistance to disaster-affected communities in the country.

The scope of the evaluation will cover various activities undertaken since 2009 under the four outputs of the project as summarized below:

**Table 1: Outputs and project activities under DR4 project**

<b>Intended output</b>	<b>Activities</b>
Output 1: Disaster risk reduction based rehabilitation and reconstruction guidelines strengthened, enacted and implemented	<p>1.1 Enactment of socialized and updated DRR based rehabilitation and reconstruction guidelines (RRG).</p> <p>1.2 Design, institute and run training programmes for DRR based RRG.</p> <p>1.3 Capture and disseminate lessons learned through good practices and process documentation.</p>
Output 2: Institutional systems strengthened and established that support DRR guided rehabilitation and reconstruction	<p>2.1 Strengthen BNPB and Bappenas, and interagency relationships for enacted recovery operations and support to establishment of Indonesia Multi-Donor Financing Fund – Disaster Recovery (IMDFF-DR).</p> <p>2.2 Strengthen institutional relationships and partnership that support recovery operations among GOI agencies, national NGOs, community-based organizations (CBO) and international humanitarian community, as well as other stakeholders in post-disaster recovery.</p> <p>2.3 Capture and disseminate lessons learned through good practice and process documentation.</p>
Output 3: Field application of DRR guided recovery practices, methodologies, guidelines and tools with feedback to the policy framework	<p>3.1 Develop and establish Indonesian Post Disaster Needs Assessment (I-PDNA) process building on current GOI adopted Damage and Loss Assessment (DALA) process that is DRR-guided, community needs centred, gender sensitive and based on a framework of common ‘beginning-to-end’ indicators linked to humanitarian needs assessments.</p> <p>3.2 Develop and establish a ‘disaster information preparedness system’ combined with early warning/disaster impact information based on common ‘beginning-to-end’ indicators that will support Indonesia’s recovery planning, assessment and monitoring processes.</p>

	<p>3.3 Develop recommendations for recovery guidelines, standards and monitoring frameworks based on common ‘beginning-to-end’ indicators for livelihoods, housing and community related infrastructures.</p> <p>3.4 Capture and disseminate lessons learned through good practice and process documentation.</p>
Output 4: Recovery measures in the disaster affected areas implemented, guided by GOI’s PDNA and Post-Disaster Rehabilitation and Reconstruction Action Plan (RENAKSI)	<p>4.1 Undertake capacity assessment of BPBD and provide training to staff.</p> <p>4.2 Develop SOP on PDNA, recovery coordination and RRG and provide resources to undertake PDNA exercise.</p> <p>4.3 Strengthen cooperation of local government and national government for finalization of RENAKSIs.</p> <p>4.4 Provide resources required for restoring functional capacities of affected services and offices.</p> <p>4.5 Undertake thorough assessment of livelihoods recovery needs.</p> <p>4.6 Undertake cold lava study of Merapi disaster and ethnographic study on Mentawai response to disaster and disseminate the findings.</p>

## 2.2 Objectives of the evaluation

The evaluation will examine the progress made and challenges faced in the course of implementation over the last four years of the current project, with emphasis on learning and continuous improvement in implementation of the project over the remaining period of its duration. As outlined in the ToR, the lessons and findings from the evaluation will feed into future planning and advocacy for recovery programming in the country.

Specifically, the evaluation will be geared towards the following objectives:

21. *To review and critically evaluate achievement of results since 2008;*
22. *To review and contextualize DR4 efforts and contributions to national efforts in development of national framework for post-disaster rehabilitation and reconstruction;*
23. *To assess the relevance and effectiveness of strategies and interventions applied by DR4;*
24. *To determine whether there have been any unexpected results in addition to the planned outputs specified in the project documents;*
25. *To gain insights into the level of satisfaction with the project’s results/impacts amongst beneficiaries (direct and indirect), national government partners, and donors;*
26. *To assess DR4 efforts towards ensuring sustainability to enable UNDP and project beneficiaries to effectively respond to any future needs for institutional capacity development related to the application of PDNA and the subsequent recovery action plans in response of future disasters, as well as the recovery monitoring;*
27. *To distil and articulate lessons learned from DR4, including those pertaining to approaches, strategies, gender mainstreaming, management and partnerships, both in the context of country specific lessons and those relevant to other recovery programmes;*
28. *To assess the effectiveness of capacity development at the national and sub-national level and the extent to which this has contributed to overall improvement of recovery;*

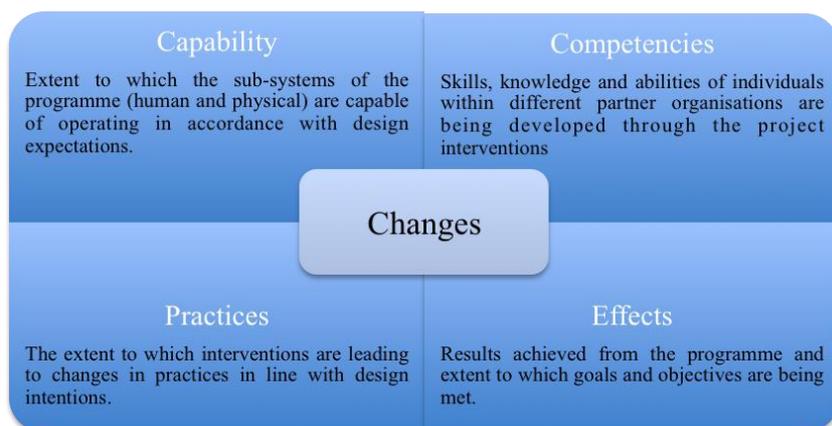
29. To determine the added value of the project and potential replicability;
30. To provide recommendations and insights to future programming in the areas of recovery policy advocacy, recovery assessment (PDNA), recovery planning and budgeting (RENAKSI), recovery financing, recovery coordination and implementation, and recovery monitoring.

## 3. Methodology

### 3.1 Evaluation design and framework

As the project is *predominantly* focused on policy issues, practices and capacity of key institutions of the GOI, the design of the evaluation will need to focus on changes in *behaviour, relationships* and *actions* of the partner-institutions who are primary actors in post-disaster recovery. Data gathering and analysis will be guided by a systems framework that will cover 4 dimensions (capability,<sup>53</sup> competencies,<sup>54</sup> practices and effects) to identify the key components associated with programme success and challenges, as the following figure illustrates:

**Figure 1: Evaluation Framework**



Instead of conventional experimental design or quasi-experimental design which has established counterfactuals to compare against, the evaluation will use non-experimental methods and seek to analyze multiple qualitative factors and spheres of control that influence the project's outputs in the four dimensions, namely: (a) Capability - DRR-based policy guidelines for recovery, structure and institutional relationship, financing mechanism; (b) Capacity - human capital development; (c) Practices – field application of tools to test, validate and socialize new guidance; and (d) Effects - scaling up early recovery measures to meet the recovery needs of the disaster-affected.

### 3.2 Evaluation criteria

<sup>53</sup> Policies, guidelines, structure and relationships within/between organizations.

<sup>54</sup> Staff skills, knowledge and individual abilities.

The evaluation will use the following criteria which are mainly<sup>55</sup> based on OECD/DAC criteria<sup>56</sup> for evaluation of development assistance:

- Relevance
- Appropriateness
- Effectiveness
- Efficiency
- Sustainability
- Impact
- Replicability

Detailed evaluation questions against each of the above criteria, methods and sources of data is provided in Table 2 below.

### 3.3 Evaluation approach

A mixed-method approach, will be best suited for this evaluation, with emphasis on qualitative changes the project brought about or has potential to bring about. The overall methodology will be based on both inductive and deductive approaches using quantitative and qualitative data gathered from a carefully selected range of sources. The data collection for this evaluation will be mainly done through documents research, purposively selected key informant interviews (KIIs) with stakeholders, semi-structured interviews, site visits and observations, and carefully structured focus group discussions (FGD) and individual interviews with key stakeholders (Government Agencies at national, provincial and district levels and disaster-affected communities) targeted by the project. The evaluation envisages anecdotal and quantitative data collection at the level of the communities assisted through the programme. All information gathered at this level will be carefully triangulated with other data sources.

The focus will be on contribution to change, rather than directly attributing all results to the project's activities – this is based on the premise that change is not linear and attributable to one specific intervention, but rather is the culmination of multiple interacting factors. In order to analyze contributions, the evaluation will, through desk research, key informant interviews and focus groups discussions (FGD), assemble and assess the contribution story (what changes took place, why did they take place and what were the contributions of the project interventions/partner-Ministries) as perceived by the agencies being studied and by other partners. These will then be validated through discussions with boundary partners<sup>57</sup> (for example some stakeholders or informants may not accept the claims made by the agency about their role in the changes); additional information that both supports, and if necessary, challenges the contribution story will also be sought out and contribution stories revised and strengthened based on evidences at end-users level (communities who received early recovery assistance; provincial and district authorities who are at the forefront of delivery of early recovery interventions to the communities). The contribution stories will also be reinforced with quantitative data, wherever available, from progress reports, secondary data and/or empirical research work carried out by academics and researchers in the country.

### 3.4 Key methods

(i) *Sampling* methods: For key informant interviews and documents research, the evaluation

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<sup>55</sup> An additional criterion which is not part of OECD/DAC criteria UNDP would like to use in this evaluation is Replicability – to identify specific interventions that may be replicable in other situations and countries

<sup>56</sup> OECD/DAC. DAC Criteria for evaluating development assistance.

<sup>57</sup> Institutions, actors that the project seeks to influence indirectly – eg., early recovery cluster members, NGOs, key GOI institutions outside the BNPB and Bappenas.

will use purposive sampling – i.e. selection of these sources of data will be based on an informed judgment by evaluators on their ability to contribute relevant data to answer the evaluation questions. For site visits and primary data-gathering from provinces, districts and communities, selection of exact locations will be made on the basis of the following combined criteria:

- Areas where a critical mass of early recovery activities have been carried out in the past 4 years (Yogyakarta and West Sumatra);
- Ease of access to local areas and communities;
- Government institutions and staff who have been recipients of training, orientation and direct assistance under the project on early recovery planning, monitoring, implementation and review.

(ii) *Data extrapolation*: The scope of the project is nationwide. The policy, guidelines and institution development component of the project has had a national focus. However, for other components, the project has had limited geographical focus so far – as part of experimentation, development and ‘socialization’ at local and provincial levels. The evaluation will take this factor into account in extrapolating the evidences at national level.

(iii) *Counterfactual*: The evaluation will use existing data from CPDs, CPAP, ProDoc and relevant reports prior to 2008-2009 and, where substantive baseline data do not exist, the evaluation team will attempt to retrospectively reconstruct baseline through structured focus group discussions (FGD) with stakeholder groups and communities in provinces and districts. The baseline will serve as counterfactual for drawing evidence-based conclusions on changes (in behaviour, relationship and actions/activities) brought about by the project.

### 3.5 Field visits

Following an initial briefing, desk review and key informant interviews in Jakarta, the evaluation team selected the following two provinces/areas for primary data-gathering through site visits (Table 3). In all the sites visited, key informant interviews (KII) – each KII lasting about 45-60 minutes) will be conducted with provincial and district officials, external stakeholders (like NGOs, CBOs, other UN organizations), and unstructured individual interviews with beneficiaries (and possibly a few non-beneficiaries). Unstructured interviews will be held with 6-8 households in each site/village/community/district visited, with each interview lasting 20-25 minutes. The consultants will also hold FGDs with communities. Each FGD (lasting up to maximum of one hour) will comprise 6-8 individuals, men and/or women, with two-thirds of the individuals selected from amongst the target groups and the rest from amongst those who may not have been directly targeted under the project being evaluated.

**Table 3: Summary of interviews, FGDs, site visits intended by the evaluation team**

Location	Target for KII/FGD	Tentative Date
West Sumatra	BPBD West Sumatra; Kantor Pelayanan Terpadu District Padang; CSOs - P3SD, KIKS; DRR forum Padang; visit to communities and FGDs.	2-3 December
Central Java	BPBD Yogyakarta, Sleman; Merapi recovery project site visits; DDR forum Central Java; BPPTK; BPBD Magelang district	5-7 December
Jakarta	KII with BNPB, Bappenas, MHA; KII PMU,	26-29 November;

	UNDP; GFDRR, New Zealand Aid, EU, IMDFF-DR; OCHA; Save the Children, Catholic Relief Services	9-10 December.
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### 3.6 Data validation, triangulation and independence of the evaluation

*Ensuring independence in data-gathering:* The following steps will be taken by the team to ensure that data-gathering process minimizes any possible bias and influence:

- While selection of candidates for FGDs and KII will be pre-arranged, attempt will be made to hold a number of these extempore during the site visits;
- The team will meet on a daily basis, as far as possible, to compare notes and triangulate evidence gathered.

*Triangulation of data:* Since the evaluation will use a mixed-method approach to data collection, triangulation in various stages will be the cornerstone of data-gathering and validation. This evaluation will mainly rely on:

- Source triangulation. The evaluators will compare information from different sources, i.e. at various management levels in different agencies – attempt will be made to include multiple key informants from different agencies;
- Method triangulation. Evaluators will compare information collected by different methods, e.g. interviews, focus group discussion, document review.
- Researcher triangulation. Comparison and collation of information collected by different team members during the course of their desk research.

### 3.7 Reporting and presentation of findings

- Evaluation debriefing - oral presentation of key findings and conclusions to UNDP and other relevant stakeholders as part of the validation process: this will be a participatory process to test, draw, refine and reformulate findings and lessons learned from the evaluation exercise;
- Preparation of zero draft of the evaluation report, to be revised based on feedback received from UNDP and other stakeholders;
- Preparation of first draft of the report for wider circulation and comments;
- Submission of final report, with summary and annexes.

## 4. Report Format:

The following is a rough outline format for the report which may be amended later:

*Section 1: Introduction, Purpose and Methodology of the Evaluation – 5 pages approx.*

- 1.1 Background to the Evaluation
- 1.2 Purpose and Scope of the Evaluation
- 1.3 Organization of the Evaluation
- 1.4 Methods, Key Interviewees and Questions
  - 1.4.1 Key Steps
  - 1.4.2 The Evaluation Framework, Key Questions and Limitations
  - 1.4.3 Key Interlocutors
  - 1.4.4 Triangulation of information
- 1.5 Limitations
- 1.6 Format of the Report

*Section 2: DR4 Project Context and Content – 4 pages approx*

- 2.1 Overall Context and Programme and Objectives
- 2.2 Intended Outcome and Theory of Change

*Section 3: Findings of the Evaluation – 10 pages approx*

- 3.1 Institutional Capability – policies, guidance, structure and relationships
- 3.2 Capacity Development – staff skills, knowledge and individual capacity
- 3.3 Practices and Application of Policies, Guidelines Tools – national and regional level
- 3.4 Results and Delivery of Recovery Interventions – Merapi and Mentawai recovery
- 3.5 UNDP’s strategic positioning in the context of post-disaster recovery work in Indonesia

*Section 4: Assessment Against Criteria for Evaluation – 10 pages approx*

- 4.1 Relevance
- 4.2 Appropriateness
- 4.3 Effectiveness
- 4.4 Efficiency
- 4.5 Sustainability
- 4.6 Impact
- 4.7 Replicability

*Section 5: Key Conclusion, Lessons and Recommendations - 4 pages*

Annexes to the report:

- A1: ToR
- A2: Inception Report
- A3: List of People interviewed/sites visited
- A4: Key documents studied
- A5: Evaluation team itinerary

## 5. Time-frame:

- |   |                         |
|---|-------------------------|
| 1. Submission of inception (draft) report                                       | 30 November             |
| 2. Country visit  | 25 November-12 December |
| 3. Finalization of inception report   | 2 December              |
| 4. Exit debriefing in Jakarta   | 11 December             |
| 5. Submission of zero draft of evaluation report                                | 20 December             |
| 6. Comments and feedback on zero draft <sup>58</sup> by UNDP to evaluation team | 28 December             |
| 7. Submission of first draft of evaluation report                               | 4 January               |
| 8. Comments and feedback on first draft by UNDP to evaluation team              | 10 January              |
| 9. Submission of final report to UNDP with annexes                              | 17 January              |

## 6. Possible Challenges and Limitations:

At this inception stage, the evaluation team can foresee the following challenges in undertaking the evaluation:

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<sup>58</sup> Zero draft is for review and comments by evaluation reference group only, and not for general circulation.

- i. The project has a nationwide remit, although except for policies and guidelines that have been developed, all other activities under the project have been carried out in a few geographical locations of which only two will be directly covered by this evaluation. The findings therefore may predominantly be at the level of interim outcomes and outputs.
- ii. Furthermore, the mid-term evaluation methodology is not geared toward carrying out an impact assessment and hence comments made in the evaluation on impact will be limited to assessment of immediate results more generally focusing on effectiveness.

**Table 2: Evaluation Matrix**

<b>Evaluation criteria and key questions</b>	<b>Key indicators</b>	<b>Data sources</b>	<b>Data collection methods/ tools</b>	<b>Data analysis method</b>
<b>RELEVANCE:</b>				
1. To what extent do the intended outcome and relevant outputs address national policies and priorities and to what extent are these aligned with UNDP's mandate in Indonesia?	Alignment of DR4 project outputs to national disaster management law, CPAP and Hyogo Framework principles.	National policies and law in relation to disaster management and recovery; DR4 ProDoc, CPAP; HFA, National Medium-Term Development Plan 2010-2014; GOI officials (BNPB, Bappenas) and UNDP staff.	Desk review; KII	Qualitative analysis
2. Have the project interventions been relevant to women and other marginalized populations, and needs of communities affected by disasters?	Direct evidence of utilization of PDNA, SOPs and VIS for recovery planning to address communities' needs, especially of women and marginalized disaster-affected populations.	District level secondary data on progress on recovery in West Sumatra, central Java and other regions; Merapi and Mentawai PDNA reports; Provincial and district officials' perspectives on use of tools and policies.	Desk research  Semi-structured interviews; FGDs with rural communities; Case studies; beneficiary feedback.	Qualitative analysis and quantitative data comparison, wherever available.
3. Has the project been able to adapt its programming to the changing context to address priority needs (in relation to recovery) in the country?	Ability of the project to respond to new /emerging issues.	GOI officials (BNPB, Bappenas) and UNDP staff; New Zealand Aid, EU, World Bank.	KII	Qualitative analysis
<b>APPROPRIATENESS</b>				
1. To what extent the policies, tools and guidance developed in relation	Provincial and district officials already using	BPBD officials in Central Java and West Sumatra; NGOs/CBOs in provinces; BNPB	KII; desk research – SOP and PDNA	Qualitative analysis

to recovery programming render themselves to use, acceptance and replication at national, regional and district levels?	the tools, RRG and guidance in recovery assessments, planning and implementation.	officials; RRG, SOP for recovery, disaster information preparedness system.	methodology.	
2. Do the tools and method of delivery of recovery interventions that flow from this project respect the cultural norms and expectations of disaster-affected communities?	Disaster-affected communities' participation in project planning and implementation.	Local officials, CBOs, communities.	KII and focus group discussions (FGD)	Qualitative analysis of feedback
<b>EFFECTIVENESS</b>				
1. Is there a clear implementation logic and theory of change underpinning the project that inform outcome, output and activities under the DR4 project?	Implementation follows a clearly articulated theory of change (TOC)	ProDoc; Theory of Change; Annual progress reports of DR4; PMU	Desk research and KII	Assessing linkage between outcome indicators and outcome using the TOC.
2. To what extent the planned outcome <sup>59</sup> has been or is being achieved? Are there any additional outcome(s) being achieved beyond the intended outcome?	GOI and local government agencies' capacity and capability to coordinate, plan and implement DRR-based recovery enhanced; clarity in roles between Deputy of emergency response and Deputy of Rehabilitation and Reconstruction in	Annual progress reports; Disaster information preparedness system; National and local government officials; NGOs/CBOs; disaster-affected communities (DAC).	Desk review; Site observations, FGDs and individual beneficiary interviews; Semi-structured interviews; FGDs with men/ women in communities.	Tracking and quantifying the linkage between the outcome indicators and outcome using the TOC.

<sup>59</sup> Defined as: "GOI and communities' capacity to respond to and recover from disasters and conflicts is more effective and timely"

	BNPB.			
3. How have corresponding results at the output level delivered by the project affected the outcome? What are the challenges to achieving the outcome?	Activity indicators based on Table 1.	GOI officials (BNPB, Bappenas) and UNDP staff; New Zealand Aid, EU, World Bank; Annual progress reports; National and local government officials; NGOs/CBOs; disaster-affected communities; District level secondary data on progress on recovery in West Sumatra, central Java and other regions; Merapi and Mentawai PDNA reports.	Desk research; KII; Site observations, FGDs and individual beneficiary interviews; Semi-structured interviews; FGDs with men/ women in communities.	Qualitative analysis and quantitative data comparison, wherever available.
4. How does PDNA and recovery needs assessment and monitoring framework take into account DRR principles, livelihoods strengthening and gender mainstreaming?	Change in local governments' response to recovery following recent disasters compared to previous disasters; Evidence of gender and rights based approach integrated into RRG and PDNA.	GOI officials (BNPB, Bappenas) and UNDP staff; New Zealand Aid, EU, World Bank; Annual progress reports; National and local government officials; NGOs/CBOs; disaster-affected communities; District level secondary data on progress on recovery in West Sumatra, central Java and other regions; Merapi and Mentawai PDNA reports; RRG and SOP for recovery; Recovery index and longitudinal study.	FGDs with communities and KII; Desk research.	Qualitative analysis of RRG, SOP for recovery, recovery index and longitudinal study; time-line analysis
5. Has UNDP best utilized its comparative advantage in deciding to deliver planned outputs? What are the key gaps that UNDP interventions could address within its comparative advantage that would significantly contribute to the achievement of the outcome? What specific value was added by	Partners acknowledge UNDP's value addition and distinctive contribution.	GOI officials (BNPB, Bappenas), IMDFF-DR and UNDP staff; New Zealand Aid, EU, World Bank; National and local government officials; NGOs/CBOs	Desk review; KII	Contributions analysis and SWOT analysis

UNDP in setting up IMDFF-DR?				
6. Has UNDP's partnership strategy been appropriate and effective in contributing to the outcome?	Partnership with other UN agencies, IMFF-DR, NGOs, World Bank, etc	KII with UN agencies, IMDFF-DR, INGOs; other NGOs; donors.	KII.	Qualitative analysis
7. To what extent did the results, both at the outcome and output levels, take into account gender equality issues?	As in 4 above	As in 4 above	As in 4 above	As in 4 above
8. Is the current set of indicators for both outcome and output effective in informing the progress made towards the outcomes? If not, what indicators should be used? Are the progress reports evidence-based and do these track outcomes?	As in 1-3 above	As in 1-3 above	As in 1-3 above	Inductive analysis to assess contributions of specific outcomes to the Theory of Change (TOC) and testing validity of assumptions behind the TOC.
<b>EFFICIENCY</b>				
1. Were programme resources/funds efficiently applied? What internal factors (design, management, human and financial resources, field delivery capacity etc) and what external factors (physical, political, security) are affecting achievement of planned results?	Cost of implementing PDNA and related tools for recovery assessment, planning and monitoring	KII with UNDP programme managers (DRR unit; CPR unit); BNPB. Cost data, financial reports.	KII; desk research	Inductive analysis of data from specific activities visited supplemented by secondary data from desk research and KII.
2. Are the activities cost-effective	M & E and project	Desk research; KII with M & E unit of UNDP	KII; desk research	Cost and VfM analysis;

and do they deliver value for money? How is value for money monitored, and if so, what type of data /mechanism used?	reports showing cost-benefit ratios; VfM tools developed and in use.	and PMU; site visits; cost figures for PDNA exercise; cost of implementing recovery index and longitudinal study		Quantitative analysis
3. What M & E system/strategy and quality assurance system have been put in place and how effective are these?	Functioning and effective M & E framework at all levels.	As in 2 above; study of monitoring /mission reports by UNDP/PMU staff.	As in 2 above	Qualitative analysis
<b>SUSTAINABILITY</b>				
1. How strong is the level of ownership of the results by the relevant government entities and other stakeholders (e.g. early recovery cluster members, IMDFF-DR)?	Relevant government entities capable of planning, executing, monitoring and reporting on recovery programmes using DRR principles.	GOI officials (BNPB, Bappenas), IMDFF-DR and UNDP staff; New Zealand Aid, EU, World Bank; National and local government officials; NGOs/CBOs	KII	Qualitative analysis
2. What is the level of capacity and commitment from the Government and other stakeholders to ensure sustainability of the results achieved? Has partnership strategy enabled integration and embedding of programme implementation in the government system?	Relevant government entities capable of resource mobilization, and partnerships formed to sustain the programme.	As in 1 above	As in 1 above	As in 1 above
3. Does the project have an exit strategy? What will happen at the end of the project? What could be done to strengthen sustainability?	Exit strategy; government budget allocation for recovery activities.	As in 1 above Analysis of Government budget allocation for relevant recovery activities.	KII Desk review	Secondary data analysis

<b>IMPACT</b>				
1. What is the contribution of the project outcome to overall recovery of disaster-affected communities, and based on the evidence so far, can the outcome lead to greater resilience in communities?	Disaster resilient communities capable of effectively dealing with hazards and recovering from disasters without prolonged suffering.	Evaluation and impact studies of post-disaster recovery response in West Sumatra and Central Java; longitudinal study of Merapi recovery response; beneficiaries/affected communities; BPBD, DRR forum, and NGOs/CSOs in West Sumatra and Yogyakarta?	KII; FGD; desk research	Qualitative analysis; community feedback
2. What changes (directly and indirectly, intended and unintended) in human development and people's well being are brought about by the project implementation?	Communities demonstrating characteristics of disaster-resilience based on HFA.	Evaluation and impact studies of post-disaster recovery response in West Sumatra and Central Java; longitudinal study of Merapi recovery response; beneficiaries/affected communities; BPBD, DRR forum, and NGOs/CSOs in West Sumatra and Yogyakarta?	KII; FGD; desk research	Qualitative analysis; community feedback
<b>REPLICABILITY</b>				
1. Which successful interventions could be replicated in other situations and countries? What conditions need to be in place for DR4's efforts to be replicable in other settings?	Innovative and user-friendly approaches to recovery needs assessments and recovery monitoring; analytical framework for mainstreaming DRR into recovery planning.	I-PDNA tools; MONEV and documents related to DRR mainstreaming in recovery; UNDP regional centre DRR and Recovery specialists.	KII and desk research	Qualitative analysis.

### Annex 3

#### **Itinerary of the evaluation team**

<b>Date</b>	<b>Activity</b>
25 Nov 2013	Kendari-Jakarta London - Jakarta
26 Nov 2013	- Meeting with UNDP Programme Team - Review of project documents
27 Nov 2013	- Attending DRI and LS Launching in Shangri-La Hotel - Meeting with Bappenas
28 Nov 2013	- Attending DR4 workshop in Sahid Jaya Hotel - Meeting with Save The Children and Catholic Relief Service - Meeting with BNPB
29 Nov 2013	- Meeting with OCHA - Meeting with CPRU Programme Manager
30 Nov 2013	Review of documents
1 Dec 2013	Departure to Padang, West Sumatra
2 Dec 2013	- Briefing with RISE Team - Meeting with BPBD West Sumatra - Meeting with Integrated Licensing Service Office, Padang - Meeting with DRR Forum - Meeting with NGO/P3SD
3 Dec 2013	- Meeting with KJKS Sejahtera, Padang - Meeting with community - FGD with staff of District BPBDs of West Sumatra
4 Dec 2013	- Departure to Jakarta and then Yogyakarta - Meeting with MRR project staff
5 Dec 2013	- Attending Launching of Gerakan Nasi Bungkus Merapi - Meeting with Head of BPBD Yogyakarta, Head of BPPTKG, and Head of BPBD Sleman - Meeting with VIS Manager, Kepuharjo Village, Sleman - Meeting with SAMI Cooperatives - Meeting with YP2SU
6 Dec 2013	- Move to Magelang - Meeting with BPBD Magelang - Meeting with Sirahan Village Government - Meeting with Social Audit Team - Meeting with IDEA (NGO) involved in Social Audit - Meeting with Yogyakarta DRR Forum - Wrap up meeting with MRR Project Manager
7 Dec 2013	Departure to Jakarta
9 Dec 2013	Meeting with AusAID
10 Dec 2013	Meeting with New Zealand Aid Programme
11 Dec 2013	Meeting with GF-DRR, World Bank
12 Dec 2013	Presentation of preliminary findings
13 Dec 2013	Departure to Kendari Departure to London

**Annex 4**

**List of people met /sites visited during DR4  
mid-term evaluation**

<b>Date</b>	<b>Name</b>	<b>Position and Organization</b>	<b>Location</b>
26 Nov 2013	Kristanto Sinandang	Head of Unit, CPRU	UNDP CO, Jakarta
	Siprianus Bate Soro	Programme Manager, CPRU	
	Lulu Muhammad	DR4 Project Manager	
	Sirman Purba	Monitoring and Evaluation Analyst, UNDP	
	Deasy R	.....	
	Rinto	MRR Project Manager	
	Hester Smidt	Monitoring and Reporting Consultant, CPRU	
27 Nov 2013	Kuswiyanto	Head, Sub-Directorate for Disaster Prone Areas, Bappenas	Bappenas office, Jakarta
	Rudi Pakpahan	Staff, Sub-Directorate for Disaster Prone Areas, Bappenas	
28 Nov 2013	Ronald Sianipar	Humanitarian Manager, Save The Children International	Sahid Jaya Hotel, Jakarta
	Maria Josephina Wijiastuti	Monitoring and Evaluation Officer, CRS	
28 Nov 2013		BNPB	Sahid Jaya Hotel, Jakarta
		BNPB	
29 Nov 2013	Titi Moektijasih	Humanitarian Affairs Analyst, OCHA	OCHA Office, Jakarta
	Mindaraga Rahardja	Humanitarian Affairs Analyst, OCHA	
29 Nov 2013	Siprianus Bate Soro	Programme Manager, CPRU	UNDP CO, Jakarta
2 Dec 2013	Amelia Lora	Project Coordinator, RISE	RISE Office, Padang
	Kusnadi	Project Associate, RISE	
	Jeffri Argon	MIS Consultant	
2 Dec 2013	Muliarsan	Head of Rehabilitation Section, BPBD West Sumatra	West Sumatra BPBD Office
	Suryadi Eviontri	Head of Reconstruction Section, BPBD West Sumatra	
2 Dec 2013	Ms Muji Susilawati	Head of BPMP2T, Padang Municipality	BPMP2T Office, Padang
2 Dec 2013	Kholid Saifullah	Secretary, West Sumatra DRR Forum	DRR Forum Office, Padang
	Dedi Abdul Kadir	Member, West Sumatra DRR Forum	
	Sri Mayanti	Member, West Sumatra DRR Forum	
	Ruri Febrina	Member, West Sumatra DRR Forum	
	Bambang Prakoso	Member, West Sumatra DRR Forum	
	Eko Kordova	Member, West Sumatra DRR Forum	
2 Dec 2013	Eimahmudi	Director, P3SD	P3SD Office, Padang
	Sondri	Head of Supervisory Body, P3SD	

3 Dec 2013	Nadirman	Manager, KJKS Sejahtera	Office of KJKS Sejahtera, Padang
3 Dec 2013	Hari Suseno	Staff, RR Section, BPBD Pariaman	Basko Hotel, Padang
	Widia	Staff, BPBD West Sumatra	
	Nasirwan	Head of RR Division, Pesisir Selatan District	
	Herry Susilo	Head of Reconstruction Section, BPBD Pesisir Selatan District	
4 Dec 2013	Hanum	MRR Project	MRR Office, Yogyakarta
	Neni	MRR Project	
	Arief	MRR Project	
5 Dec 2013	Gatot Saptadi	Head of BPBD Yogyakarta	Hotel Phoenix, Yogyakarta
	Subandrio	Head of BPPTKG	
	Juliy Septiono	Head of BPBD Sleman	
5 Dec 2013	Viyana Suhadi	VIS Manager, Kepuharjo Village, Sleman	Kepuharjo Village Office, Sleman, Yogyakarta
5 Dec 2013	Partana	Coordinator, SAMI Cooperative, Kepuharjo Village, Sleman	Kepuharjo Permanent Housing
	Lanjar	Secretary, SAMI Cooperative, Kepuharjo Village, Sleman	
	Yuli	Head of YP2SU	
	Ms Norma	Disaster Management Specialist, YP2SU	
	Wawan	Disaster Management Specialist, YP2SU	
6 Dec 2013	Budi Sumantri	Head of RR, BPBD Magelang, Central Java	BPBD Office, Magelang
	Sujadi	Head of BPBD Magelang	
6 Dec 2013	Abe Riyadi	Head of Sirahan village	Sirahan Village Office
	Iman	Head of IDEA (NGO)	
	Muhtadi	Social Audit Team Member; Sirahan village resident	
	Tomi	Social Audit Team Member; Permanent Housing Beneficiary	
6 Dec 2013	Nanang	Social Audit Team Member; Head of Sirahan Hamlet	
	Wawan	Member of DRR Forum, Yogyakarta	MRR Office, Yogyakarta
6 Dec 2013	Rinto	MRR Project Coordinator	
9 Dec 2013	Malikah Amril	DRR Coordinator	UNDP Jakarta
9 Dec 2013	Piter Edward	Programme Manager, Disaster Response Unit	Australian Embassy
	Ben O'Sullivan	Manager, DRU	Australian Embassy
	Jeong Park	Adviser	Australian Embassy
10 Dec 2013	Philip Hewith	Devt Counsellor, New Zealand Aid Programme	New Zealand Aid Programme Office, Jakarta
	Mike Ingriani	Devt Programme Coordinator, New Zealand Aid Programme	
11 Dec 2013	Iwan Gunawan	Senior Disaster Management Adviser	WB Office, Jakarta
	Magda Adriana	Macroeconomist	
	Azrin rasuwin	Consultant	
19 Dec 2013	Stephen Rodriques	Deputy Country Director	UNDP Indonesia

## Annex 5

### **List of Documents Consulted**

BNPB, 2010. Head of BNPB Regulation No. 17/2010 on Rehabilitation and Reconstruction Guidelines.

BNPB, 2011. Head of BNPB Regulation No. 14/2011 on Guidelines for Submission and Utilization of Grant for Post Disaster RR Activities.

BNPB, 2011. Head of BNPB Regulation No. 15/2011 on Post-Disaster Needs Assessments (I-PDNA)

BNPB, 2011. Head of BNPB Regulation No. 3/2011 on The Action Plan for Rehabilitation and Reconstruction of Mentawai.

BNPB, 2011. Head of BNPB Regulation No. 5/2011 on The Action Plan for Rehabilitation and Reconstruction of Merapi

BNPB, 2012. Head of BNPB Regulation No. 1/2013 on Action Plan for Rehabilitation and Reconstruction of Aceh Tengah and Bener Meriah 2013-2014.

BNPB, 2012. Head of BNPB Regulation No. 5/2012 on Guidelines for RR Monitoring and Evaluation.

BNPB. Law No. 24/2007 on Disaster Management

BNPB/UNDP, 2011. Revised Project Document – Disaster Risk Reduction based Rehabilitation and Reconstruction (DR4)

GoI and UNDP. Country Programme Action Plan 2006-2011

GoI, 2010. National Medium Term Development Plan (RPJMN) 2010-2014, Book 1-3

IMDFF-DR, 2010. IMDFF-DR Operation Manual

IMDFF-DR, 2012. Joint Programme Document, Mentawai Island Livelihood Recovery Programme

IMDFF-DR, 2012. Joint Programme Document, Merapi Volcanic Eruption Livelihoods Recovery Programme

Tom Mitchell. Options for including disaster resilience in post-2015 development goals. ODI Background Note, September 2012

UNDP and BNPB, 2013. DR4 2013 First Semester Report for BCRP (zero draft)

UNDP Indonesia/GOI. CPAP 2011-2014 (ref: outcome 4.2; outputs 4.2.1, 4.2.2 and 4.2.3)

UNDP, 2011. Disaster Risk Reduction based Rehabilitation and Reconstruction (DR4) - A collaboration between National Disaster Management Agency (BNPB) and United Nations Development Programme (UNDP): The Formulation of Post-Disaster Needs Assessment (PDNA) Guideline: Indonesia's Experience

UNDP, 2012. DR4 Projects: Policy Development and Field Applications, Annual Report 2011.

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