




ACCESS Phase II

Participatory Monitoring Evaluation and Learning System (PAMELS)

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ACCESS

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Abbreviations and Acronyms

ACCESS	:	Australian Community Development and Civil Society Strengthening Scheme
AIP	:	Australia Indonesia Partnership
AP	:	Annual Plan
AusAID	:	Australian Agency for International Development
BP	:	Boundary Partner
CB	:	Capacity Building
CE/Gov	:	Community Engagement and Governance
CDST	:	Community Development Snapshot Tool
CSI	:	Civil Society Index
CSO	:	Civil Society Organisations
DCEP	:	District Citizen Engagement Plan
DSC	:	District Stakeholder Committee
GOA	:	Government of Australia
GOI	:	Government of the Republic of Indonesia
GSI	:	Gender and Social Inclusion
Korprov	:	<i>Koordinator Provinsi</i> (Provincial Coordinator)
LDG	:	Local Democratic Governance
M&E	:	Monitoring and Evaluation
MEL	:	Monitoring, Evaluation and Learning
MIS	:	Management Information System
MOHA	:	Ministry of Home Affairs
MRG	:	Monitoring Review Group
MSC	:	Most Significant Change
NGO	:	Non-Government Organisation
OCA	:	Organisational Capacity Assessment
ODST	:	Organisational development Snapshot Tool
PAF	:	Performance Assessment Framework
PAMELS	:	Participatory Monitoring Evaluation and Learning System
PAO	:	Provincial Administrative Officer
PC	:	Program Coordinator
PCC	:	Program Coordinating Committee
PD	:	Program Director
PDD	:	Program Design Document
PEKA	:	<i>Penilaian Kapasitas KSM</i> (Capacity Assessment for CBOs)
PGA	:	Partner Grant Agreement or Project Grant Agreement
PM	:	Program Manager
PO	:	Program Officer
QA	:	Quality Assurance
SOS	:	Scope of Services
SP	:	Strategic Partner
STO	:	Senior Technical Officer
TAT	:	Technical Advisory Team

Executive Summary

This document presents the Participatory Monitoring, Evaluation and Learning System (PAMELS) for the Australian Community Development and Civil Society Strengthening Scheme (ACCESS) Phase II, developed in consultation with staff and stakeholders of the Program and building on the experience of ACCESS Phase I.

The report describes the set of processes and tools that define how the Program will collect, analyse and use data at the level of outputs, outcomes and impacts to provide meaningful assessments of its performance for accountability, learning and improvements. This is a combination of tried and tested methods of ACCESS Phase I, together with the innovation of Outcome Mapping which aligns with the soft systems approach of the Program.

Outcome Mapping provides an actor-centred approach which defines clearly who the Program's partners and beneficiaries are to enable a clearer delineation of outcomes and impacts to be measured. The subjects of inquiry are the different actors involved in the process of improving local democratic governance and the changes in their knowledge, skills and practice in working with others for local democratic governance, triggered by ACCESS Phase II support.

PAMELS uses a range of participatory methods so that those most affected by the Program are involved in collecting and providing information and assessing the results. Each Monitoring and Evaluation (M&E) process provides a feedback loop for sharing and discussing results. This helps with data triangulation as it is reviewed by a range of actors as well as giving opportunities for continuous learning for Program staff, partners and beneficiaries.

A range of participatory tools are used to enable the Program to undertake a deeper analysis of the processes of social change triggered through the Program and to identify and understand the unintended impacts of the Program.

The Management Information System (MIS) for the Program, ERSULA II, has been updated to accommodate format and data collection needs. Program staff will now be able to streamline management reporting by preparing a number of key reports directly onto ERSULA II.

1 INTRODUCTION

1.1 Purpose of this Document

The Australian Community Development and Civil Society Strengthening Scheme (ACCESS) Phase II has a responsibility to monitor and evaluate its performance in working towards its core purpose statement and the success factors identified for the Program and higher level development objectives of the Governments of Indonesia (GOI) and Australia (GOA). This document describes how ACCESS Phase II will meet this responsibility through the Participatory Monitoring, Evaluation and Learning System (PAMELS). This is so called to reflect both the participatory and the learning goals of the system.

The primary audience for this document includes Program staff, AusAID and the GOI's Ministry of Home Affairs (MOHA). An abbreviated Indonesian language version, together with implementation guidelines, will also be prepared to share with the Program's Partners.

1.2 Program Description

ACCESS has operated in eight districts in Eastern Indonesia since 2002. ACCESS Phase II started in May 2008 with AUD \$26 million allocated for the five year duration of the Program.

The core purpose statement¹ for ACCESS is 'Citizens and their organisations are empowered to engage with local governments on improving local development impacts in 16 districts in Eastern Indonesia'. It aims to work with district stakeholders to achieve sustainable and replicable behaviour and system changes that will improve local democratic governance. It also seeks to complement the work of other donors and contribute to the GOI's National Community Empowerment Program (PNPM).

A systems approach was used to design ACCESS Phase II as follows:

- A system to (what):
Implement a Program to support (through operational mechanisms) civil society engagement in selected districts in Indonesia.
- By (How):
Engaging locally, promoting continuous learning, building local stakeholder capacity and relationships, and promoting agreed shared values and principles.
- In order to (Why):
Influence decentralized democratic governance in Indonesia thus fulfilling the objectives of the Australia-Indonesia Partnership (AIP) and the GOI Medium Term Plan, and strengthening the Australia-Indonesia bilateral relationship.

¹ AusAID has approved this as a revision to the original core statement of the Program Design Document "to strengthen local democratic governance in 16 districts in Eastern Indonesia".

Three strategic areas guide the Program's interventions, namely:

1. *Strengthening engagement* between civil society (CS) and government through new and existing mechanisms and processes to build more equitable, transparent and inclusive multi-stakeholder dialogue, decision making and learning.
2. *Empowering citizens' participation for democratization* from the grassroots to village, sub district, district and national levels through capacity building, increased access to information and resources and continual learning to strengthen citizens' abilities, willingness and confidence to act together to pursue their rights, entitlements and interests.
3. *Stimulating scaling up and replication* through working across the systemic issues of governance at district level, geographic expansion and linking with other national and international donor programs by sharing resources, disseminating learning and advocacy efforts to influence local and national governments, Civil Society Organisations (CSOs) and other donors.

The level of achievement will be measured using a number of indicators derived from the success factors set out in the Scope of Services (SOS). These success factors have been reconfigured from the original in the SOS to distinguish outcomes and impacts and to show the linkages between the success factors and the three strategic areas as shown in Table 1.

Table 1: Anticipated Success Factors

Strategic Area	Success Measures
<p>1. Strengthening engagement between CS and government</p>	<p><i>Outcomes</i></p> <ul style="list-style-type: none"> • Stronger CSO capacity for multi-stakeholder relationships based on agreed shared values and principles. • Improved structured mechanisms for engagement among CSOs and citizens as well as with village and district governments. • Better systems of pro-poor and gender inclusive planning and budgeting. • Greater transparency and accountability to citizens. <p><i>Impacts</i></p> <ul style="list-style-type: none"> • Rational and equitable resource allocation by local governments. • Improved service delivery to communities/citizens from governments and CSOs. • Improved local development impacts, particularly for women and poor.
<p>2. Empowering citizens' participation for democratization from the grassroots to village, sub-district, district and national levels</p>	<p><i>Outcomes</i></p> <ul style="list-style-type: none"> • More effective CSOs. • Increased citizen participation and advocacy in village and district level decision making. • Improved citizen confidence to pursue their rights, entitlements and act with others. • Greater gender awareness. <p><i>Impacts</i></p> <ul style="list-style-type: none"> • Functioning CSOs and networks. • Improved transparency and accountability in District decision making. • Greater gender and social equity.

Strategic Area	Success Measures
	<ul style="list-style-type: none"> • Reduced poverty at local level.
3. Stimulating scaling-up and replication	<p><i>Outcome</i></p> <ul style="list-style-type: none"> • Functioning communication mechanisms for sharing learning, resources and advocacy on models of engagement. <p><i>Impact</i></p> <ul style="list-style-type: none"> • Adoption of ACCESS Phase II principles and/or approaches for pro-poor and gender inclusive development and democratic governance by local/national/international CSOs, GOI, and other donors.

2 PROGRAM LOGIC

A theory of change explains how a particular type of intervention is expected to occur through an intended chain of events. The Program is designed as a systems approach for bringing about social change. It is primarily concerned with human activity systems that can improve local development impacts, particularly for the poor, women and marginalized people, related to public participation, accountability/ transparency, social justice and pro-poor service delivery.

In ACCESS Phase II different local stakeholders at the district level interact through various processes in an adaptive and continuously improving cycle of events that lead towards developing forms of democratic governance that match their needs. All stakeholders have different roles and responsibilities in these processes and specific efforts are needed to provide space and voice to those who have been traditionally excluded. Individuals are directly impacted by the social nature of the exchange and vice versa. As people develop confidence and capacity to work together and see results, they are motivated to continue working together. Over the longer term, these processes lead to and reinforce supportive social norms for a more inclusive, equitable and transparent society. This represents the ideal system in the local environment that will lead to a self-directed and continuously improving local democracy².

This logic chain draws on the following theoretical models that explain processes of social change:

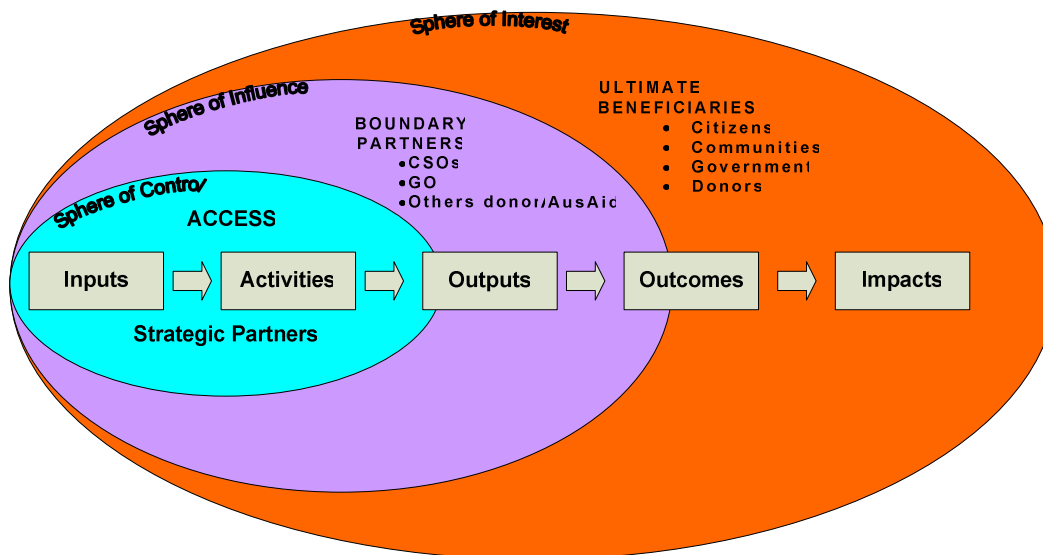
1. **Voluntary behaviour change model** in which like-minded CSOs see the value in developing capacities to become well-governed functioning organisations able to serve the needs of their constituents and members based on internalised values of ACCESS Phase II.
2. **Social network model** in which CSOs and citizens are tied by one or more type of interdependency such as values, visions, ideas, financial exchange and so on.
3. **Empowerment model** in which citizens improve their capacity and confidence to make strategic choices. This goes beyond traditional notions of ‘participation’ (i.e. consultation) to active engagement in all stages of development planning and implementation. As citizens, particularly women, poor and marginalised groups, become more discerning and demanding, this puts pressure on organisations to improve transparency, accountability and social equity and their service delivery.

² Adapted from the Project Design Document, ACCESS Phase II.

2.1 Actor-Centred Program Logic

ACCESS Phase II developed an Actor-Centred Program Logic which puts CSOs and their partners in the foreground as the organising construct. This makes it very clear with whom the Program will work and the level at which results will be measured as shown in Figure 1 below.

Figure 1: Stakeholders in ACCESS Phase II³



Boundary Partners⁴ are local organisations sharing the values promoted by the Program whom ACCESS Phase II will support directly through organisational and individual capacity building and grants for activities that match Program criteria. In line with its guiding principles, the Program will support organisations which are primarily focused on shifting power relations to create greater social and gender equity in local development impacts. As the Boundary Partners fall within the Program's Sphere of Influence, this group will be the focus of ACCESS Phase II outcome monitoring and evaluation.

GOI agencies and other donor organisations with whom ACCESS Phase II will work directly also fall within the Program's sphere as Boundary Partners. The Program will share learning and cooperate on activities with them in order to influence their practice and policy thinking. They will be the focus of ACCESS Phase II outcome monitoring for influence and cooperation.

Ultimate beneficiaries are those with whom our Boundary Partners interact to bring about improved democratic governance, including citizens, local and national governments. Ultimate beneficiaries, particularly women and poor marginalised groups, fall within the Program's Sphere of Interest and therefore are the focus of ACCESS Phase II Impact Evaluations.

³ This approach is adapted from *Outcome Mapping: Building Learning and Reflection into Development Programs*, Sarah Earl, Fred Carden, and Terry Smutylo, IDRC 2001.

⁴ A Boundary Partner is an organisation that is directly influenced by the Program's activities through inputs controlled by ACCESS Phase II. In the Program Operation Handbook and in the SOS Boundary Partners are referred to as Participating Organisations.

Strategic Partners are those organisations with specialist expertise selected for their proven track record to assist with Program implementation. They will support Program activities such as training, research, baseline studies, evaluation and production of learning materials. This group is within ACCESS Phase II Sphere of Control and will be the focus of ACCESS Phase II monitoring related to the quality of their service delivery.

Organisations or individuals are awarded an Innovative Grant for once-off learning activities that support improved democratic governance within the four target provinces. The results of the grants are used for knowledge sharing and to influence scaling-up. These Partners are within the Program's Sphere of Control and each grant will be monitored and evaluated based on the M&E Plan in the respective Project Grant Agreement (PGA).

The Program Logic Matrix (Appendix 1) reflects the Program Design Document (PDD) and underpins the analytical and presentational structure for M&E. The core statement, objectives and functional areas specifically identify the actors at each level and what they will be doing, and are summarised below. A more detailed description of each one is provided in Appendix 1.

- A core statement that defines the desired impacts of the Program in the longer term, namely *“Citizens and their organisations are empowered to engage with local governments on improving local development impacts in 16 districts in Eastern Indonesia”*.
- Four objectives which define the desired outcomes of the Program during its lifetime:
 1. By 2013, Partner CSOs are using **value-driven participatory and inclusive approaches** to strengthen capacity and confidence of citizens for local democratic governance;
 2. By 2013, Partner CSOs are regularly **collaborating with each other** on improving democratic governance at district, sub-district and village levels.
 3. By 2013, Partner CSOs are regularly **engaging with district, sub-district and village governments** to improve participation, transparency, accountability, social justice and pro-poor service delivery.
 4. By 2013, **Governments and donors are using lessons and approaches** developed through ACCESS Phase II within and beyond ACCESS target districts.
- Five functional areas that define the activities and outputs that will be subject to M&E during the life of the Program:
 1. Resourcing and administering the Program;
 2. Engaging with CSOs and local governments to implement the Program;
 3. Building the capacity of CSOs and their networks for LDG improvements;
 4. Supporting the planning and implementation of self directed development efforts; and
 5. Promoting continuous learning and policy and practice change both internally and externally.

2.2 Program Implementation

Program implementation follows the Logic chain through first bringing together local stakeholders to create a vision and agree on their priorities for stimulating greater demand for gender inclusive and pro-poor local democratic governance as set out in the District Citizen Engagement Plans (DCEP). The Program will then support a selected group of local CSOs to develop and implement a set of Action Plans based on this vision. These Plans provide the basis for ACCESS Phase II decision making about what kind of support it provides to these Partner CSOs, including capacity building, grants for local governance activities, mentoring and shared learning processes. They also provide the basis for joint M&E of district level activities. Over time, the Program will use the learning emerging from these processes to promote values-based good practices for democratic governance to local government agencies and other donors.

2.3 Program Attribution

The Program Logic highlights the need to be realistic about what ACCESS Phase II can achieve. Responsibility for improving local development impacts in 16 districts in Eastern Indonesia lies with the government, citizens and their organisations and networks. Nonetheless, the Program needs to be able to show what and how it has contributed to the longer term impacts. This is part of proving the theory of change as well as demonstrating effective use of public resources.

An attribution analysis will be part of the Program's evaluation assessment, drawing on data collected from annual reviews, secondary data and the final community and organisational impact evaluations. In early 2009, the Program team will investigate and assess different methodologies for conducting an attribution analysis together with the District Stakeholder Committees (DSC) and Strategic Partners to develop an appropriate approach.

3 PREPARATORY STEPS

The following information has contributed to the design of PAMELS:

- Desk review of relevant M&E systems including ACCESS Phase I and other donor programs⁵.
- Insights from ACCESS Phase II staff who had worked on the previous Phase on the strengths and weaknesses of the previous M&E System.
- Inputs on desirable outcomes for local democratic governance from district government and CSO stakeholders during a national workshop in Bali in September 2008 and preparation workshops for the DCEP in October 2008.
- Outcome Mapping methodology from a training workshop attended by the Program's Advisers.
- Inputs from the MIS Adviser, Bruce Bailey, who designed ERSULA I (ACCESS Phase I's MIS) and will update this to match Phase II requirements.
- Inputs from Dr Paul Crawford, M&E Adviser with AusAID's Monitoring Review Group (MRG), and Irene Insandjaja, ACCESS Phase II Activity Manager from AusAID.

⁵ For example, Philippines-Australia Community Assistance Program, Australia-Nusa Tenggara Assistance for Regional Autonomy (ANTARA) and Learning Assistance Program for Islamic Schools (LAPIS) (AusAID); Local Governance Support Program (USAID), Good Local Governance (GTZ); and Oxfam and VECO (NGOs).

4 DESCRIPTION OF PAMELS

4.1 Guiding Principles

- **Focus on the users**

PAMELS is designed to be user friendly, simple and manageable by using a limited number of indicators and tools, streamlining reporting requirements and ensuring only relevant data is collected. It will provide data to help Partners and Program staff to improve their performance and support learning by using participatory approaches and tools, joint analysis and timely reviews to ensure a 'learning by doing' M&E approach. Investing in building the capacity of Partners to conduct their own M&E and supporting CSOs to become learning organisations so that data collection is placed into context, thereby reducing the risk of M&E being seen as a policing exercise.

- **Provide feedback loops**

Learning and feedback loops are embedded in a systems approach. All reporting requirements have been designed with the idea of feedback in mind. Partner M&E results are discussed jointly by ACCESS Phase II Provincial Teams with Program Partners. Program level outcome data is shared with Partners and the DSCs. All program staff discuss their input into the monthly provincial performance reports with their managers, and Provincial Coordinators receive feedback on the provincial quarterly performance reports from the Technical Advisory Team (TAT) and the Program Director (PD). Partners are also encouraged to discuss their M&E results with their constituents or communities.

- **Keep accountabilities clear**

The Program will focus most of its efforts on M&E activities, outputs and outcomes at the Program level where the majority of its efforts and resources are concentrated. It will also conduct mid term and end of Program impacts evaluations.

The key responsibility for M&E at the Activity level lies with the grant recipients while the scope of the DCEPs and Action Plans are primarily the responsibility of the DSCs. ACCESS Phase II will support both Boundary Partners and the DSCs with M&E by providing a range of tools and technologies, capacity building, mentoring and quality assurance.

- **Leverage other M&E data**

Local government counterparts will be encouraged to engage in M&E activities and where possible to utilise existing GOI data to supplement that collected by the Program. Over time, it is hoped that GOI will take an increasing role for monitoring the outcomes of the DCEP as part of its own M&E responsibility. Other secondary data will be sourced including print and electronic media, other donor programs and projects, research publications, conference papers, informal interviews and observations.

4.2 Approach

PAMELS reflects the real world in which change is affected by the interactions of diverse actors and stakeholders, involving different combinations of social and organisational factors such as interventions (whether complementary or competing), government policies (whether encouraging or inhibiting) as well as climatic, social, economic and/or

political conditions. In a **systems approach**, impacts cannot be easily predicted from the outset and may not be felt substantially by beneficiaries for a number of years. Realistically, measuring performance comes more easily by focusing on outcomes which are further 'upstream' from *Impacts* (see Figure 1) by measuring the results of the direct work with Boundary Partners (i.e. within the Program's *Sphere of Influence*).

In line with this systems approach, PAMELS will capture as fully as possible the multiple causal pathways that lead to positive (or negative) intended and unintended outcomes, the interactions between them, possible causal influences and feedback loops between events and its leverage for change. Analysing a balance of quantitative and qualitative data with different actors will give a richer picture of social change processes and emerging outcomes. Data will be cross checked during multi-stakeholder annual reviews where discussions will help to create shared understandings of what has been achieved and how. Participatory Rapid Assessments, case studies and Significant Change stories will also help to deepen the analysis and understanding of what increases demand for change and how this can be fostered.

A participatory approach enables different perspectives to be examined to generate plausible evidence of the quality of outputs and outcomes. A combination of quantitative and qualitative data will provide a balanced picture in answering questions about what the Program expected to deliver and to what extent it is achieving this. The ACCESS Phase II Team and Partners will use this data to make judgements about the gaps between what was expected and what happened to explain the performance of the Program. It also helps the actors to better understand how the Program has contributed to overall impacts and the likelihood of sustainability and risks in the future. This approach reflects a learning model whereby even if expectations are not met during the life of ACCESS Phase II, the learning that takes place is a measurable achievement. Over time there will be a better understanding of the logical links leading to more concrete measures of results.

The Program will also check the extent to which its activities complement or add value to knowledge processes of other stakeholders (e.g. GOI, AusAID and other donor programs). This can help to identify gaps in the provision of information or other support and reduce duplication of effort by different agencies and donors.

Secondary data will be sought from other sources to complement the Program's data collection. Opportunities to work more closely with local government M&E systems will also be a focus of attention for the Program's Monitoring Evaluation and Learning (MEL) team in early 2009.

4.3 Purpose and Scope

The purpose and scope of PAMELS are:

1. Planning

- Provide activities, inputs and outputs information for ACCESS Phase II managers and staff to guide strategic decisions for planning, resource allocation, implementation and risk mitigation.

2. Learning

- Provide outputs and outcome analysis to help Partner CSOs improve their organisational performance, outputs and outcomes.
- Provide outcome and impact analysis to the DSCs about what does and does not work so they can adapt their DCEPs and strategies accordingly.

- Provide outcome and impact analysis to other CSOs, GOI agencies, and donors to influence replication and scaling up of good practice for developing local democratic governance
- Contribute to the body of knowledge on good practice in increasing citizen demand for local democratic governance.

3. Accountability

- Provide evidence from provincial teams to the Management Team to show compliance with ACCESS Phase II policies and guidelines.
- Provide evidence from Program management to AusAID, MOHA and district Partner CSOs that resources are being used efficiently, effectively and in a transparent and accountable manner and that the Program is on track towards meeting its objectives.
- Provide evidence to enable AusAID to conduct Managing Contractor performance assessments.
- Provide evidence from the Management Team to AusAID, MOHA and district Partners that the Program has contributed to higher level objectives in the Australia-Indonesia Partnership (AIP)⁶ and GOI efforts to realize the Millennium Development Goals⁷ and GOI's Medium Term Development Plan (2004-2009) for poverty reduction and improved gender equity.

The various roles and responsibilities of each stakeholder in ACCESS Phase II and their subsequent data needs are explained in Table 2 below.

Table 2: Stakeholder Roles, Responsibilities and Data Needs

Stakeholder	Roles and responsibilities	Data Needs
AusAID	AusAID will use data provided by Program management and from their own sources (e.g. Monitoring Review Group) to make decisions on the overall performance, the strategic directions and the type of activities it should support. AusAID is also expected to actively promote information sharing between programs and identify opportunities for developing greater synergies between GOA funded activities in Eastern Indonesia.	Program level output and outcomes data; budget expenditure; risks and mitigation; emerging impacts; lessons learnt; AusAID.
Monitoring Review Group (MRG)	The MRG will use data provided by Program management and from their own sources (e.g. field visits) to assess management and performance and provide advice on strategic directions.	Program level output and outcomes data; budget expenditure; risks and mitigation; lessons learnt.
Program Coordination Committee (PCC)	The PCC comprising MOHA and AusAID representatives will use M&E data provided by Program management and from their own sources (e.g. MRG) to make decisions on the strategic directions and policies of the Program and the type of activities it should support.	Program level output and outcomes data; risks; lessons learnt.

⁶ This includes partnerships, anti-corruption, gender equality and performance orientation as well as improving the capacity of communities to demands greater accountability and access to services (Pillar 3).

⁷ This includes participation of women and poor in local governance processes, improved access to justice and human rights, better access to information, increased transparency and improved delivery of public services.

Stakeholder	Roles and responsibilities	Data Needs
<i>Program Director (PD) & Program Coordinator (PC)</i>	The PD and PC will use data primarily provided by the Provincial Teams, TAT and Support Services Team to assess the strategic direction of the Program, oversee the work of the implementation team, make management decisions to ensure the Program's continued relevance and effectiveness and report to AusAID, MOHA and local government partners. The PD will also share lessons learnt with relevant government and donor programs through presentations, reports, bulletins, workshops, meetings, media and informal communication.	Project output and outcomes data; Provincial team output data, risks and mitigation; lessons learnt; opportunities for shared learning, influence and cooperation with other donors and GOI.
<i>Boundary Partners (BPs)</i>	BPs supported by ACCESS Phase II will use data from their M&E processes (defined in their PGAs) to assess outputs, outcomes and lessons learnt and impacts in order to improve their progress and sustainability. They will also cooperate with the Program in sharing lessons learnt with other Stakeholders.	Project output and outcome data; risks and mitigation; lessons learnt.
<i>District Stakeholder Committees (DSCs)</i>	The DSCs will use information provided by the Program as well as information from their own sources to assess the progress and performance of their DCEP and CSO Action Plans (agendas), review their strategic directions and identify actions required to enhance progress towards their vision statements.	Project output and outcome data and capacity improvements; lessons learnt.
<i>Strategic Partners (SPs)</i>	SPs are contracted as partners in implementing the Program. They will use data collected during their own M&E to report on progress in Program activities and outputs with the Boundary Partners, advise on future activities and improve their own service delivery.	Project output and outcome data, capacity assessments, participant evaluations; lessons learnt.
<i>Innovative Grant Recipients</i>	Grant recipients will use data from their M&E processes (defined in the PGA) to assess outputs, outcomes and lessons learnt and impacts in order to improve their progress and sustainability. They will also cooperate with the Program in sharing lessons learnt with other Stakeholders.	Project output and outcome data; risks and mitigation; lessons learnt.
<i>District Government Counterparts</i>	District Government counterpart agencies will use data provided by Program management, DSCs and from their own sources to identify how best to support the DSCs and inform ways of improving their own service delivery and M&E systems. They are also expected to provide information to the Program as secondary data to support Program M&E.	Project outputs and outcome data and capacity improvements; lessons learnt.

Stakeholder	Roles and responsibilities	Data Needs
Other GOA and donor programs in the target provinces	Other AusAID and donor programs working in Eastern Indonesia have already shared M&E data and information on their M&E systems with ACCESS Phase II. It is hoped this cooperation will continue with the sharing of lessons learnt and joint activities.	Outcomes and impacts; significant change; analysis of what works and why; lessons learnt.

4.4 Framework

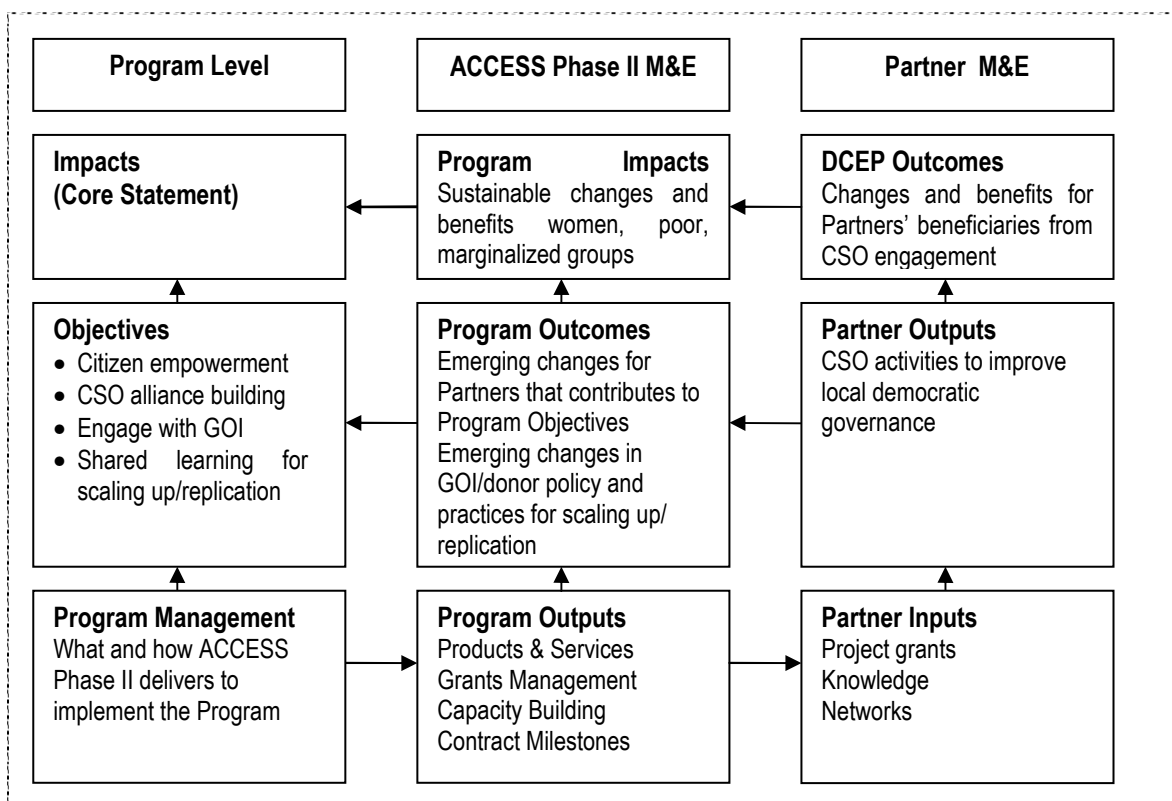
The PAMELS Framework was developed from the Program’s Logic Matrix to provide a systematic representation of the operational elements of the M&E arrangements (see Appendix 2). This shows how the system will work in a timely and systematic fashion. Based on the data needs analysis in Table 1, the Framework identifies what data will be collected, how it will be used, who is responsible for collecting, analysing and using it and with what frequency at each level of change: program management, objectives and core statement. This also includes data related to three levels of risk in the Program: management, intervention and development risks.

The Framework also identifies verifiable indicators that align with the Program’s success factors, means of verification, and all levels of risk. The indicators will be progressively aligned with districts’ M&E arrangements for their DCEPs as these are developed in current and new districts.

4.5 Structure

PAMELS provides two separate but integrated arrangements for M&E at the Program and Activity levels as shown in Figure 2 below.

Figure 2: Linkages between Program and Activity Levels for M&E



4.5.1 Program Level M&E

Program level M&E assesses performance for inputs, activities, outputs, outcomes and impacts. This will be done by all Program staff to promote continuous improvement in program management, implementation and performance. Program Officers carry out monthly monitoring of their outputs, achievements, risks, risk mitigation and issues arising which are discussed at provincial team meetings. The reports are summarised and analysed by the Provincial Coordinators for quarterly provincial performance monitoring. The provincial reports together with quarterly reports prepared by the TAT are used to identify strategic and management issues and form the basis of the six monthly reports to AusAID.

The Program will use an Outcome Mapping methodology for planning and M&E with its Boundary Partners. Each Partner organisation will develop 'Outcome Challenges' that describes the kinds of changes it wants to make, in line with ACCESS Phase II objectives. Progress will be monitored by Boundary Partners and the Provincial Teams on a six monthly basis, using a set of jointly agreed 'progress markers'⁸ to assess changed behaviours, actions, activities and relationships over short to longer term. This data can be aggregated to provide the outcome data at Program level for higher level reporting as shown below. These progress markers are aligned with the Program level outcome indicators for higher level reporting and program use as follows:

Purpose	Program Use
<ul style="list-style-type: none">• Assess progress for Partners	<ul style="list-style-type: none">• To improve program implementation
<ul style="list-style-type: none">• To understand differences among different Partners	<ul style="list-style-type: none">• To understanding context for effectiveness
<ul style="list-style-type: none">• To determine factors that contribute to Partners' progress	<ul style="list-style-type: none">• To improve accountability

4.5.2 Activity Level M&E

Activity level outputs and outcomes result from Project and Partner Grants. This M&E will be done primarily by Boundary Partners and Strategic Partners, respectively, with oversight and mentoring provided by ACCESS Phase II staff to improve the quality and sustainability of grant implementation and outcomes.

Innovative Grants play an important role in the Program's learning agenda. However, since they will be awarded mainly to non-Boundary Partners, they are not assessed against progress markers. Instead they will use M&E arrangements as described in the individual PGA and data will be verified and used for shared learning by the Program Provincial teams supported by TAT-MEL.

Activity level data will also contribute to reviews by DSCs and other stakeholders of ACCESS Phase II (together with data from non ACCESS-supported activities from other sources) to assess achievements in DCEP implementation.

Strategic Partner Grants will be allocated as Task Notes under a head contract to designated longer term Partners. Each Task Note will use standardized monitoring and evaluation formats and the data will be recorded in ERSULA II.

⁸ Progress markers describe observable changes in behaviours, actions and relationships and over time tell the story of organisational transformation.

The role of Provincial teams and the TAT at the Activity level is to verify reported results, provide technical assistance and mentoring as needed and ensure quality assurance for M&E processes and data. This will be done through discussions with partners, review of project data and documents and project sites visits. They will complete M&E cover sheets for each project in ERSULA II.

4.6 Reports

The following reports (refer to Table 3) will be prepared to meet different information needs. Data analysis and reporting have been designed to conform to AusAID's Quality at Implementation Guidelines and to streamline reporting requirements by capturing data once for aggregation and reporting it in different formats as required. Some reports are prepared directly on ERSULA II (data directly inputted into the database with the format being produced by the system) while others are stored on the network drive with a hyperlink to ERSULA II as shown in Table 3. (A more detailed report schedule is presented in Appendix 3).

Table 3: Program and Activity Level Reports

Reports	Storage
Program Level Reporting	
A. Reports to AusAID	
i. Monthly Report	Network drive
ii. Quarterly Trust Account Reconciliations	Network drive
iii. Six-monthly Report	Network drive
iv. Annual Plan	Network drive
v. Activity Completion Report	Network drive
B. Program Management Reports	
i. Financial Input Sheets	Network drive (restricted access)
ii. Monthly Performance Reports	ERSULA II
iii. Quarterly Performance Reports (Provincial)	ERSULA II
iv. Field Visit Reports	ERSULA II
v. Quarterly Performance Reports (TAT)	ERSULA II
vi. Six monthly Partner Progress Marker Reports	ERSULA II
vii. Project and Innovative Grant Monitoring Sheets	ERSULA II
viii. Project and Innovative Grant Evaluation Sheets	ERSULA II
ix. Strategic Partner Task Note Monitoring Sheets	ERSULA II
x. Strategic Partner Task Note Evaluation Sheets	ERSULA II
xi. Annual Partner Progress Technical Reports	Network drive
Activity Level Reporting by Partners	
i. Grant Financial Reports	Network drive (restricted access)
ii. Project Grant Monitoring Reports	Network drive
iii. Project Grant Evaluation Reports	Network drive
iv. Innovative Grant Progress Reports	Network drive
v. Innovative Grant Evaluation Reports	Network drive
vi. Strategic Partner Task Note Monitoring Reports	Network drive
vii. Strategic Partner Task Note Evaluation Reports	Network drive
viii. DCEP Review Reports	Network drive

The Program will use a variety of ways to present information that users find easy to understand and use. ERSULA II is designed to produce visual graphics to support narrative text for such items as participation data (by gender), project types (by grant type and by objectives), progress marker changes, capacity building evaluations and

community level outcomes. Data presentation for community members will use a range of graphics, pictures, photos and other culturally and socially appropriate media and local language.

4.7 Planning and Learning

PAMELS has been designed to support planning and continuous learning for Partners and staff by ensuring that relevant data is available at the time it is needed.

All Program performance reports and Project and Task Note Evaluation Reports will be required to include lessons learnt and significant change stories which will be entered into the ERSULA II data base.

Training and guidelines will be provided to staff and Partners on preparing lessons and stories so that they provide meaningful analysis rather than simply make observations. The lessons and significant change stories will be collated for presentations, management meetings, annual reviews and six monthly reports to AusAID.

4.8 Maintaining the Quality

The Program is aware that developing the M&E process is evolutionary, particularly in the sphere of governance and social development and will only progress through trial and error and being responsive to the changing environment. Revisions to performance expectations are inevitable in light of experience. ACCESS Phase II needs to be open, flexible and learning-oriented to help understand and explain processes of social change, rather than measure pre-determined narrow indicators.

A number of mechanisms have been established to ensure the quality of data collection, analysis and use and these will continue to be reviewed and adapted as necessary:

- The M&E suite of tools and methods from the previous phase of ACCESS is being reviewed to match the purpose of ACCESS Phase II.
- ERSULA II will generate notifications of overdue reports to ensure timeliness of data collection and reporting.
- The MEL Senior Technical Officer will conduct half yearly audits of M&E reports to review quality of reports and accuracy of data.
- A quality 'scoring' system for financial reports provides routine assessment of improvements in Partners' financial reporting.
- A standing item for the two monthly management meetings will be on the progress and issues for MEL.
- ACCESS Phase II will conduct annual reviews of PAMELS indicators, processes and tools with staff and Partners to make sure reliable and valid data is being collected and analysed.
- MEL Senior Technical Officer and Adviser will provide ongoing mentoring and support to Program staff for M&E.
- DCEP Annual Reviews, Stakeholder Annual Reviews and quarterly Partner Progress Reviews will provide useful feedback on the value of data collection tools, methods, processes, analysis and M&E capacity building for ACCESS Phase II Partners.
- Program staff will provide ongoing mentoring and support to Partners for M&E.
- A short term MIS Adviser is 'on call' in Australia to provide technical advice as issues arise and will also provide annual in-country inputs to review and update the ERSULA II system as needed.

5 ORGANISATIONAL CAPACITIES FOR PAMELS

In line with the ACCESS Phase II Capacity Building Framework and Capacity Building Plans for each district, the Program will provide capacity building for Boundary Partners and the DSCs to monitor and evaluate changes in local democratic governance. This includes:

- supporting the DSCs to design and implement their own MEL systems for the DCEPs and to understand the linkages between this and the Program's M&E requirements; conducting a capacity needs assessment conducted with Partners, DSCs and Program staff;
- designing an annual M&E capacity building program tailored to specific needs, which will be reviewed and updated in each Annual Plan; and
- identify opportunities to link in with local government M&E systems and provide appropriate technical support.

Capacity building will be provided through formal training, workshops, on the job training, mentoring and resource handbooks. At a minimum, all training will provide skills training on collecting and using gender disaggregated data; critical analysis and data presentation. ACCESS Phase II will complement training and workshops with ongoing mentoring and shared learning among Partners and staff. Grant budgets will be made available for capacity building for Partners and the DSCs and fixed management fee and STA funds are available for Program staff training.

6 M&E PROCESSES AND TOOLS

The PDD proposed that ACCESS Phase II should continue to use a number of processes and tools developed in ACCESS Phase I, namely the Organisational Development Snapshot (ODST), Community Development Snapshot (CDST), Civil Society Index (CSI), Most Significant Change (MSC) and Organisational Capacity Assessment (OCA). This has been reviewed in the light of the program implementation approach and the proposed changes are outlined in the following sections.

6.1 Outcome M&E

Organisational capacity assessments will continue be used but as a joint exercise between Boundary Partners and the Program to assess current organisational development of each Boundary Partner against a number of agreed measures. It is used to identify strengths and weaknesses in organisational capacity as the basis for developing annual capacity building plans. It will be used to develop a baseline and for outcome evaluation on the internal organisational changes that support the organisations' external operations.

The Program is now using an Outcome Mapping approach which focuses on changes in the Boundary Partner organisations that impact on the Program's beneficiaries. These changes are measured against a set of agreed Progress Markers, using a scoring system of 1-5, to assess outcomes resulting from Program interventions over the previous six months. It is designed to be a *structured learning opportunity* for the Boundary Partners and the Program team on how the Partner has benefited from capacity building activities and the extent to which learning from these activities has been internalized within the organisation. The use of Progress Markers has replaced the ODST used in ACCESS Phase, as it also uses a profiling technique in which a snapshot of the organisation's capacity is taken periodically.

CDSTs are used to assess community empowerment, particularly for the poor and women, as a result of community based activities. Periodic *snapshots* are taken with the community using participatory tools to measure the current situation in terms of participation in management and decision making, changes in relationships and community management to examine issues of *empowerment, sustainability and development risks*. Perceptions are cross checked through open discussions with women, men, better off and poor. The final discussion involves a facilitated review of results and gap analysis, discussion about community satisfaction, how to improve equity, overcome some of the issues/problems, and who will be responsible for the improvements that need to be made. It also encourages discussion about the future and how to ensure sustainability.

A difference from ACCESS Phase I is that the CDST process will no longer be done by the Program team, rather it will be promoted, with training, as a tool for Boundary Partners who work with communities. The results will be used as a source of evidence when assessing Progress Markers. To promote ownership, Partners will be involved from the outset in reviewing and revising the tool and reporting requirements. A software package will be provided to Partners so they can analyse the data as well as allowing it to be uploaded to PAMELS for program level analysis and reporting.

The Program will work with Partners and use Innovative Grants to explore other innovative participatory visual and aural methods for community M&E activities including use of camera, video, audio, art, music and theatre.

6.2 Annual Reviews

6.2.1 Strategic Partner Reviews

The ACCESS Phase II Capacity Building Framework identifies three key areas of change necessary to sustain organisational capabilities: philosophy and ethos; organisational systems; and individual capabilities. These will be the focus of inquiry during the capacity assessment process with Partners. Capacity Building activities are carried out by Strategic Partners (or possibly Boundary Partners) and all data is recorded on ERSULA II. An Annual Strategic Partners meeting is conducted to review capacity building activities over the past year, organisational competencies, changes and performance affected through or by these activities, analysis of gaps and opportunities for strengthening organisational capacities and review of capacity building strategies for the following year.

6.2.2 DCEP Reviews

The DCEP review is a process-oriented review facilitated by an independent external facilitator. The participants will include the DSCs, community representatives and interested parties. It will involve a series of analyses using participatory tools to analyse progress with the DCEP and to assess the effectiveness of strategies and support from the Program.

6.3 Impact Evaluation

Four tools – CSI, Community and Local Government Impact Assessment⁹, MSC and PEKA (capacity assessment for community based organizations) - will be used to evaluate impacts and provide a summative review of results against the success factors

⁹ The tools for this will be developed based on experiences emerging from the Annual DCEP Reviews and the implementation of Grant activities.

for the Program’s Activity Completion Report. This will enable a comprehensive review of technical and managerial performance, Program strategies and methodologies, the logic chain of the Program and the Program’s contribution to broader changes in local democratic governance and likely sustainability of change processes and benefits.

The CSI will be used to provide baseline and impact evaluation analysis and will be done twice at the outset and program completion to provide an assessment of changes in the health of CS over the period of the Program. It is a facilitated context-specific process in which participants reach a consensus on scores for four dimensions: structure, environment, values and impact. The discussions and scoring provides data that is useful for local actors in assessing progress towards their DCEP. Factors in the CSI that align with the Program’s impact indicators will be subject to deeper analysis of impact and Program attribution.

The Community Impact Assessment used in ACCESS Phase I will be revised and a Local Government Impact Assessment developed so that it can be applied at both community level and district wide for citizen and local government beneficiaries. This will assess the Program’s overall performance, impacts and attribution. This will be complemented with the Significant Change methodology which is a useful tool for gathering information about unintended impacts that might otherwise be missed. However, it will continue to be used in a more limited form as in Phase I to match the available time resources of the staff and Partners¹⁰.

Evaluation of organisational development for beneficiary CSOs (i.e. the organisations serviced by Boundary Partners) will be carried out using PEKA, as in ACCESS Phase I. It is specifically designed for community based organisations, using a similar methodology as OCA described above.

7 RESOURCE ALLOCATION FOR PAMELS

Table 4 shows the source of funds to cover the various monitoring and evaluation activities. The majority of resources and personnel time is allocated for monitoring purposes, drawing on Partner Grants, reflecting the Program goal of building capacity and encouraging partners to take M&E responsibilities. Impact assessments will be undertaken by third parties to enable an independent assessment.

Table 4: Budget Sources for PAMELS

	MEL EVENTS	WHEN	RESPONSIBLE	PARTICIPANTS	BUDGET
	Program level				
1	Organisational Capacity Assessments	Program start up and with new Partners	Strategic Partner	Boundary Partner	Project/Partner Grant
2	CSI Baseline in new districts and update in old districts	Program start up	Strategic Partner	District Stakeholders	Partner Grant
3	Monitoring and evaluation for Project and Innovative Grants	Quarterly and project completion	Program Officer	Boundary Partners and Beneficiaries	Operational
4	Partner Progress Reviews	Six monthly	Boundary Partner and	Boundary Partners and Beneficiaries	Included in Project Grants

¹⁰ The full MSC process involves a lengthy systematic selection process by a purposely selected committee of the most significant stories collected from stakeholders about the perceived effects of project interventions.

	MEL EVENTS	WHEN	RESPONSIBLE	PARTICIPANTS	BUDGET
			Provincial Team		
5	Strategic Partner Annual Review	Annually	TAT-CB	Strategic Partners and ACCESS	Partner Grant/ Operational
6	CSI Impact Evaluation	Program completion	Strategic Partner	CSO at the district level	Partner Grant
7	Community Impact Evaluation	Program completion	Strategic Partner	Beneficiaries	Partner Grant
8	PEKA	Program Completion	Boundary Partners	Beneficiary CSOs	Partner Grant
9	Government Impact Evaluation	Program completion	Strategic Partner	Beneficiaries (local government)	Partner Grant
10	Special Studies	As identified	External researchers	Depends on subject of inquiry	Project and Innovative Grants
	Activity level				
1	Project Monitoring	Quarterly	Boundary partners/ Grant recipient	Beneficiaries	Included in Project and Innovative Grants
2	Project Evaluation	Program completion	Boundary partners/ Grant recipients	Beneficiaries	Included in Project and Innovative Grants
3	CDST	Six monthly	Boundary Partners	Beneficiaries	Included in Project Grants
4	DCEP Review	Annually	DSCs	District stakeholders	Project Grant

8 CROSS CUTTING ISSUES

8.1 Gender and Social inclusion

The ultimate beneficiaries in ACCESS Phase II are women and men in the communities, particularly from poor and marginalized groups. Data collection, analysis and use for gender and social equity is central to all facets of M&E in the Program and ERSULA II is set up to provide reports using gender and socially disaggregated data.

Progress markers for Boundary Partners will include specific gender and social equity considerations and all report formats require specific reporting on gender and social equity outcomes. Training will be provided for staff and Partners on conducting gender and socially inclusive M&E and analysis.

Routine gender and social analysis of Program outputs and outcomes will be included in six monthly reports to AusAID and support reviews of the Program's GSI Strategy and annual reviews of the DCEP.

8.2 HIV mainstreaming

Plans are underway to develop the HIV Mainstreaming Strategy which will provide the basis for developing appropriate indicators and processes for M&E. Specialist advice on strategy development is being sought from Burnet Indonesia and there is a tentative plan for a joint workshop with other AusAID programs in early 2009.

8.3 Environmental Safeguards

ACCESS Phase II has established mechanisms to oversight environmental risks as part of the Project Grant appraisal and monitoring process. Grant proposals will be appraised for environmental risk using a standardised checklist. Activities that are approved but are assessed as having potential environmental risks will be subject to more intensive monitoring and where necessary, environmental expertise will be utilised.

All staff will receive refresher training to ensure that there is full compliance with ACCESS Phase II's Environmental Management Plan and AusAID's Environmental Management Guide.

8.4 Risk Management

Risk monitoring and mitigation has been integrated into routine program reporting. Data on management, intervention, and development risks will be collected through staff reports, field observations and Partner progress reviews. **Management risks** are those that may affect the efficient management and implementation of the Program and timely delivery of outputs. **Intervention risks** describe those which could negatively influence Boundary Partners to bring about desired changes. **Development risks** relate to the overall effectiveness of the Program's strategies and the extent to which the ultimate beneficiaries perceive lasting benefits from the Program's interventions.

The Monthly Report provides AusAID and district level Government counterparts with regular updated information on organisations applying or participating in the Grants program and/or working with ACCESS Phase II.

Program management risks will be discussed as part of regular staff meetings in provincial offices and in the Bali Office. Intervention and development risks will be brought to management team meetings for discussion and strategic intervention. Significant issues and mitigation will be included in the six monthly reports to AusAID.

The Annual DCEP Reviews will be the main venue for stakeholders to discuss development risks and focus on sustainability strategies from the outset.

The Risk Management Matrix was included in APY1 and will be updated annually as part of the Annual Planning process in consultation with district stakeholders (See Appendix 4).

9 MANAGEMENT INFORMATION SYSTEM (ERSULA II)

ERSULA II provides the platform to capture, store, analyse and present data. The database records details about grant recipients from proposal receipt through the project cycle. It also records dates at each step/progression of both the ACCESS Phase II and project cycle and enables staff to determine where necessary remedial action is required to improve the timeliness of the process.

A new module for program markers is being added to ERSULA II to link grant funded activities to specific objectives of the Program. These are used as a project management tool to monitor the degree to which project proposals align with Program objectives and the balance between them.

The system will streamline reporting and making it more efficient. It will enable Program management to drill down for information and provide reports that facilitate discussion and learning at team and Partner meetings. It also supports the establishment of feedback loops to improve implementation performance.

Appendix 1: ACCESS Phase II Actor-Centred Logic Matrix

Impact Objective	Impact Indicators	Means of Verification	Development Risks
<p>Citizens and their organisations are empowered to engage with local governments on improving local development impacts in 16 districts in Eastern Indonesia</p>	<ul style="list-style-type: none"> • Citizen satisfaction with CSO and government improvements in 4 governance areas: participation, transparency and accountability, social justice and pro poor services • Women, poor and marginalised groups are more willing and able to take action on their development needs • Village, sub district and district governments demonstrate greater responsiveness and equity in resource allocation • Increased capacity and sustainability of community-based organisations to serve constituent needs 	<p>Civil Society Index Report</p> <ul style="list-style-type: none"> • Community Assessment • Local Government Impact Evaluation • GOI Reports • PEKA 	<p>Perceived social, technical, economic, ecological and political factors that threaten impacts and sustainability of benefits for ultimate beneficiaries</p> <p>Waiting for feedback from district consultations.</p>

Impact Objective	Impact Indicators	Means of Verification	Development Risks
<p>1. By 2013, Partner CSOs are using value-driven participatory and inclusive approaches to strengthen capacity and confidence of citizens for local democratic governance</p>	<ul style="list-style-type: none"> • Number of Partner CSOs with improved capacity to serve the interests of poor people and women based on shared values and principles • Number of Partner CSOs with improved capacity in using pro-poor and gender inclusive asset-based approaches • Number of Partner CSOs supporting their members and constituents, particularly poor, women and marginalised in asserting their rights at organisational, village, sub-district and district levels 	<ul style="list-style-type: none"> • Partner Progress Reports¹¹ • Partner Progress Reports • Partner Progress Reports 	<ul style="list-style-type: none"> • Political and other interests prevent CSOs working collectively • District government places pressure to reallocate funds form CSOs and communities to directly support Government • CSOs do not have the necessary capacity to engage effectively with Government • Local government does not perceive adequate value from the project for government officials
<p>2 By 2013, Partner CSOs are regularly collaborating with each other on improving democratic governance at district, sub-district and village levels</p>	<ul style="list-style-type: none"> • Number of Partner CSOs with improved organisational systems, practices and capacities to carry out their roles in supporting local democratic governance • Number of Partner CSOs showing improvements in building alliances with others to improve local democratic governance at district, sub district and village levels • Number of Partner CSOs developing and/or using innovative mechanisms 	<ul style="list-style-type: none"> • Partner Progress Reports • Partner Progress Reports • Partner Progress Reports 	<ul style="list-style-type: none"> • Political backlash attached to activities that may be perceived as sensitive • Persistent culture of corruption and nepotism

¹¹ Partner Progress Reports include: 6 monthly reviews of progress markers, Quarterly Project Grant Monitoring Reports, Significant Change Stories and Project Grant Evaluation Reports, and OCA-type Evaluation (at program completion).

Impact Objective	Impact Indicators	Means of Verification	Development Risks
	and tools for collaboration with other organisations		
3. By 2013, Partner CSOs are regularly engaging with district, sub-district and village governments to improve participation, transparency and accountability, social justice and pro-poor service delivery	<ul style="list-style-type: none"> Number of Partner CSOs developing innovative ways to interact with their local government on improving citizen participation, organisational accountability and transparency, social justice and pro-poor service delivery at district, sub- district and village levels 	<ul style="list-style-type: none"> Partner Progress Reports 	
4. By 2013, Governments and donors are using lessons and approaches developed through ACCESS Phase II within and beyond ACCESS Phase II target districts	<ul style="list-style-type: none"> Government and other donors are using ACCESS Phase II approaches and lessons more broadly within and beyond ACCESS districts ACCESS Phase II has collaborated with other AusAID and donor programs ACCESS Phase II has influenced AusAID policy and program development 	<ul style="list-style-type: none"> Feedback from GOI and CSOs Annual DCEP Review Communications with other programs Written communications, reports and documentation Written communications, reports and documentation 	
Output Objectives (against 5 functional areas)	Output indicators	Means of Verification	Management Risks
<p>Functional Area 1</p> <p>ACCESS is resourcing and administering the Program</p>	<ul style="list-style-type: none"> Program Operations Handbook (POH) and Program Strategic Frameworks are updated annually to respond to contextual changes and lessons learnt Usage of upgraded ACCESS Website Quality reports to AusAID are delivered in timely manner 	<ul style="list-style-type: none"> Annual Reviews of Strategic Frameworks and POH Number of hits and user feedback AusAID approvals 	<ul style="list-style-type: none"> Fluctuating exchange rate adversely impacts on project trust account budget plans Trust Fund is fully committed early in the Program

Impact Objective	Impact Indicators	Means of Verification	Development Risks
	<ul style="list-style-type: none"> • Activities to promote good environmental practice internally and with Partner CSOs • Activities to promote HIV mainstreaming internally and with Partner CSOs • Number of grants by type 	<ul style="list-style-type: none"> • PGAs • Promotional media • Internal staff reviews • Project Grant Evaluation reports • Promotional Media • ERSULA II 	<ul style="list-style-type: none"> • Further terrorist acts or social unrest in Indonesia • Local Government and Local CSO grant recipients from current ACCESS I locations do not support changes to the design • DSCs becomes a project selection panel only
<p>Functional Area 2</p> <p>ACCESS is engaging with CSOs and local governments to implement the Program</p>	<ul style="list-style-type: none"> • 16 DCEP Plans developed in line with ACCESS values and frameworks and annually reviewed • DSCs functioning in 16 districts with CS, local government and private sector participants 	<ul style="list-style-type: none"> • DCEP documents • DSCs meeting reports • DCEP Annual Review Report 	<ul style="list-style-type: none"> • Criteria for selecting organisations and projects is not sufficiently rigid to ensure project provide positive and sustainable development outputs • Communities and CSOs do not have the capacity to develop grant proposals following the Operating Guidelines
<p>Functional Area 3</p> <p>ACCESS is building the capacity of CSOs and their networks for LDG improvements</p>	<ul style="list-style-type: none"> • 16 District Capacity Building Plans developed with local CSO partners based on OCA assessment • Number and type of CB activities conducted • Number and % male/female trainers/facilitators • Number of training days by gender • Number of people at district level with improved facilitation skills 	<ul style="list-style-type: none"> • District CB Plans • ERSULA II Reports • ERSULA II Reports • ERSULA II Reports • ERSULA II Reports 	<ul style="list-style-type: none"> • Women and traditionally marginalised people do not get access to services provided by the program • IDSS is unable to effectively develop suitable output indicators using the 'soft systems' approach' • Implementing organisations do not meet their progress reporting and

Impact Objective	Impact Indicators	Means of Verification	Development Risks
	<ul style="list-style-type: none"> Satisfaction rating of participants with CB activities by gender 	<ul style="list-style-type: none"> ERSULA II reports 	<ul style="list-style-type: none"> financial reporting requirements
<p>Functional Area 4</p> <p>ACCESS is supporting the planning and implementation of self directed development efforts</p>	<ul style="list-style-type: none"> Number and type of projects (by objective markers) Number of villages using revised CLAPP process in each district Number of local facilitators (male and female) trained to facilitate the revised CLAPP methodology in each district Number of beneficiaries in village level activities by gender and socio-economic status Project grants appraised and approved in timely manner 	<ul style="list-style-type: none"> ERSULA II reports ERSULA II reports ERSULA II reports ERSULA II reports ERSULA II reports 	<ul style="list-style-type: none"> IDSS does not incorporate lessons learnt into ongoing project implementation
<p>Functional Area 5</p> <p>ACCESS is promoting continuous learning and policy and practice change both internally and externally</p>	<ul style="list-style-type: none"> Number of monitoring events Regular gender and poverty disaggregated data and analysis is prepared and discussed with CSO and GOI stakeholders Activities to engage stakeholders in ACCESS Phase II M&E activities Annual DCEP reviews Lessons generated from ACCESS Phase II M&E processes are shared with CSO partners, GOI stakeholders 	<ul style="list-style-type: none"> Monthly and quarterly performance reports Technical Reports (CB, Progress Markers, CDSTs) Project Grant M&E Reports Annual DCEP Review Report Annual DCEP Review Report Media and journals Presentations Publication distribution list 	

Impact Objective	Impact Indicators	Means of Verification	Development Risks
	<p>and donors</p> <ul style="list-style-type: none"> • Changes in Program approaches and policies based on lessons • Number and type of research activities undertaken • Activities to promote replication and scaling up 	<ul style="list-style-type: none"> • Revised Strategic Frameworks • Project and Innovative Grants M&E Reports • Research reports • Project and Innovative Grant Evaluations • GOI and donor reports • DCEP Annual Review 	

Note: During development of DCEP, district Action Plans, HIV Mainstreaming Strategy and Gender and Social Inclusion Strategy, additional indicators and risk factors will be identified.

Explanation of Core Statement and Objectives

Core statement: Citizens and their organisations are empowered to engage with local governments on improving local development impacts in 16 districts in Eastern Indonesia.

- *Citizens and their organisations* refer to the ultimate beneficiaries of ACCESS program, particularly the poor, women, youth and marginalised groups, within the ACCESS Phase II sphere of interest.
- *Empowered to engage* refers to the capacity and confidence of citizens to organise to address their development priorities and assert their rights and entitlements;
- *Local governments* refers to executives, legislatives and local technical departments.
- *Local development impacts* refers to economic and social development, particularly for the poor and women, through improved use of local resources, exercise of political rights and delivery of basic services.
- *16 districts in Eastern Indonesia* refers to the geographic focus of the Australia Indonesia Partnership and priority locations determined by AusAID and MOHA.

1. By 2013, Partner CSOs are using value-driven participatory and inclusive approaches to strengthen capacity and confidence of citizens for local democratic governance.

- *Partner CSOs* refers to organisations outside of government and the private sector including NGOs and member organisations who will partner with ACCESS Phase II to pursue their vision for improved LDG.

- *Value-driven, participatory and inclusive approaches* reflects the principles and values of a community led approach that places poor, women and disadvantaged reflected in all aspects of ACCESS Phase II Program delivery and enshrined in GOI policy at national level, in AusAID policy and in the Program approach.
 - *Strengthen the capacity and confidence of citizens* emphasises the role of CSOs in creating space and opportunities for their beneficiaries to determine their own needs, value their assets, develop self reliance, be able to advocate for their rights and entitlements and feel greater ownership for local development initiatives.
 - *Local democratic governance* refers to the management of societal affairs as a system of rule that maximizes popular consent and participation, together with the legitimacy and accountability of those that govern and their responsiveness to the expressed interests and needs of the public. It is both an end in itself and a continuous process of expanding the political space to ensure for everyone equal access to basic rights and liberties. For ACCESS Phase II, this means that interventions need to have an impact on individuals, their organisations and government at the village, sub district and district levels.
- 2. By 2013, Partner CSOs are regularly collaborating with each other on improving democratic governance at district, sub-district and village levels.**
- *Partner CSOs* refers to organisations outside of government and the private sector including NGOs and member organisations who will partner with ACCESS Phase II to pursue their vision for improved LDG.
 - *Regularly collaborating with each other* recognises that changes in LDG requires organisations to foster strong linkages and pool their knowledge, skills and resources to determine priorities and maximise potential for change.
 - *Improving democratic governance* refers to four key foundational ideas of democratisation, namely participation, transparency and accountability, social justice and responsive service delivery.
 - *At district, sub district and village levels* reflects the importance of promoting vertical as well as horizontal linkages to drive change processes.
- 3. By 2013, Partner CSOs are regularly engaging with district, sub-district and village governments to improve participation, transparency, accountability, social justice and pro-poor service delivery.**
- *Partner CSOs* refers to organisations outside of government and the private sector including NGOs and member organisations who will partner with ACCESS Phase II to pursue their vision for improved LDG.
 - *New forms of engagement* reflects the capacity of ACCESS to initiate and support innovations for LDG approaches to enhance the process of decentralization.
 - *District, sub-district and village governments* includes the executives, legislatives and local technical departments at district, sub-district and village levels whom CSOs seek to influence for local democratic improvements.
 - *Improve participation, transparency, accountability, social justice and pro-poor service delivery* refers to the four key areas that underpin citizen engagement in LDG.
- 4. By 2013, Government of Indonesia and donors are using lessons and approaches developed** within and beyond ACCESS Phase II target districts.
- *Government of Indonesia and donors* refers to a wider audience across Indonesia who can provide a vehicle for replicating and scaling up of ACCESS Phase II approaches.
 - *Using lessons and approaches developed through ACCESS Phase II* acknowledges the commitment of the Program to promote adaptive learning and knowledge sharing as the basis for continual improvement.

- *To scale up local democratic governance within and beyond ACCESS Phase II target districts* reflects the far reaching potential of ACCESS Phase II to provide knowledge, approaches and tools that will enhance responses to emerging needs and opportunities for LDG within all sectors across Indonesia.

Appendix 2: ACCESS Phase II PAMELS Framework

System Element Design Logic	DATA			PEOPLE			TME		
	Information Needed	Method of Collection	Analysis	Who change is directed at	Who collects data	Who uses the data	Collection Frequency	Analysis deadline	Dissemination Schedule
Core Statement									
Citizens and their organisations are empowered to engage with local governments on improving local development impacts in 16 districts in Eastern Indonesia	Beneficiaries perceptions of change and benefits, especially women, poor and marginalised	Civil Society Index	Synthesis of key governance themes; effectiveness of Program engagement strategies	Ultimate Beneficiaries	External evaluator	ACCESS Phase II; AusAID	End of program	End December 2012	End March 2013
	Overall changes in confidence and capacity of women, poor and marginalized groups	Community Impact Assessment	Synthesis of key empowerment and sustainability themes; effectiveness of Program empowerment strategies	Ultimate Beneficiaries	External evaluator	ACCESS Phase II; AusAID	End of program	End December 2012	End March 2013
	Evidence of responsiveness of village, sub district and district governments	Local Government Impact Assessment	Environmental and system changes to support local democratic governance; effectiveness of Program engagement strategies	Local Government Beneficiaries	External evaluator	ACCESS Phase II; AusAID	End of program	End December 2012	End March 2013
	Increased capacity and sustainability of beneficiary CSOs organisations to serve their constituents	PEKA	Synthesis of key capacity development themes; effectiveness of Program CB strategies	Beneficiary CSOs	External evaluator	ACCESS Phase II; AusAID	Project Grant evaluations	End December 2012	End March 2013
Development Risks	Perceived social, technical, economic, ecological and political factors that threaten impacts and sustainability of benefits for ultimate beneficiaries	Aggregated from 6 monthly Partner Progress Reports	Analysis of risks for program impacts and sustainability and recommended follow up action for DSCs and local government	Annual DCEP Review participants	Provincial Teams; BPs	Annual DCEP Review participants	Annually	1st week February	End February
Program Objectives									

System Element Design Logic	DATA			PEOPLE			TME		
	Information Needed	Method of Collection	Analysis	Who change is directed at	Who collects data	Who uses the data	Collection Frequency	Analysis deadline	Dissemination Schedule
1. By 2013, partner CSOs are using value-driven participatory and inclusive approaches to strengthen capacity and confidence of citizens for local democratic governance	Demonstrate differences in the way CSO work with their constituents	Six monthly joint review using standardized formats and Grant M&E data	Changes in organisational and individual capacities against agreed Progress Markers	Boundary Partners	Provincial Team; BPs	ACCESS Phase II; BPs; DSCs	Six monthly	One week after Partner Review	Two weeks after Partner review
2. By 2013, partner CSOs are regularly collaborating with each other on improving democratic governance at district, sub-district and village levels	Demonstrable changes in the way that Partner CSOs engage with other organisations.	Six monthly joint review using standardized formats and Grant M&E data	Changes against agreed Progress Markers	Boundary Partners	Provincial Team; BPs	ACCESS Phase II; BPs; DSCs	Six monthly	One week after Partner Review	Two weeks after Partner review
3. By 2013, Partner CSOs are regularly engaging with district, sub-district and village governments to improve participation, transparency, accountability, social justice and pro-poor service delivery	Demonstrable evidence that Partner CSOs are engaging with local government on four key local governance areas	Six monthly joint review using standardized formats and Grant M&E data	Changes against agreed Progress Markers	Boundary Partners	Provincial Team; BPs	ACCESS Phase II; BPs; DSCs	Six monthly	One week after Partner Review	Two weeks after Partner review
4. By 2013, Governments and donors are using lessons and approaches developed through ACCESS Phase II within and beyond ACCESS target districts	Incidents of sharing lessons, influence and cooperation with other donors, GOI and AusAID	Electronic records of incidents of ACCESS Phase II strategic interactions with other donors and GOI	Number, types and results of activities undertaken	Donors; GOI	TAT-MEL	ACCESS Phase II; AusAID; MOHA	Six monthly	3 weeks before six month report	End April, End October

System Element Design Logic	DATA			PEOPLE			TME		
	Information Needed	Method of Collection	Analysis	Who change is directed at	Who collects data	Who uses the data	Collection Frequency	Analysis deadline	Dissemination Schedule
Intervention Risks	Perceived social, technical, economic, ecological and political factors that threaten achievement of changes for Boundary Partners	Partner Progress Reports	Analysis of risks for program outcomes and required changes for Program strategies	BPs; ACCESS Phase II	BPs; ACCESS Phase II	BPs; ACCESS Phase II	Six monthly	According to PGA ¹²	According to PGA
Outputs									
Functional Area 1 ACCESS is resourcing and administering the Program	Data on effectiveness of program strategies and operational practices; contextual changes and lessons learnt	Staff reports and management meetings	Changes required for Program Operational Manual and Program Strategic Frameworks	ACCESS Phase II	TAT-MEL	PD; PC	2 monthly	2 weeks before management meeting	Management meeting
	Usage and satisfaction with ACCESS Website	Records of website hits and user feedback	Appropriate and relevant data and formats for website	Website Users	MIS Manager	PD; PC	Six monthly	3 weeks before six month report	End April, End October
	Submission and approval dates for reports and documents	ERSULA II records	Timeliness and quality of reports to AusAID; lessons learnt	Program Staff	MIS Manager	PD; PC	After delivery of each report	After delivery of each report	End April, End October
	Environmental checklists for PGAs and ACCESS Phase II offices	Appraisal score sheets; environmental Checklists	Extent of compliance with ACCESS Phase II Environmental policy; lessons learnt;	BPs; ACCESS Phase II team	Korprov; ACCESS Office Manager	TAT MEL	Six monthly	3 weeks before six month report	End April, End October
Functional Area 2 ACCESS is engaging with CSOs and local governments to implement the Program	16 DCEP	Stored on ACCESS Phase II network drive	Extent to which DCEP aligns with ACCESS values and frameworks; planning for ACCESS II support in AP	ACCESS Phase II	TAT; Provincial Staff	DSCs	Annually	End February	End March
	DSCs functioning in 16 districts	Provincial Quarterly reports	Effectiveness of engagement with DSCs; areas for Program support in AP	ACCESS Phase II; DSCs	KorProv	DSCs; Provincial Teams	Quarterly	Quarterly	Management meetings

12 Progress Marker reviews will be staggered with Partners over a six month period to spread the monitoring workload.

System Element Design Logic	DATA			PEOPLE			TME		
	Information Needed	Method of Collection	Analysis	Who change is directed at	Who collects data	Who uses the data	Collection Frequency	Analysis deadline	Dissemination Schedule
Functional Area 3 ACCESS is building the capacity of CSOs and their networks for LDG improvements	16 District Capacity Building Plans developed with local CSO Partners	Annual CB assessments	Areas for Program support in Annual CB Plan	BPs	TAT-CB, KorProv	TAT-CB; Korprov	Annually	End February	End March
	Number and type of CB activities conducted	ERSULA II	Compliance with Task Notes	SPs	SPs	SPs; ACCESS Phase II	Completion of Task Note	Completion of Task Note	Completion of Task Note
	Number and % of male/female trainers and facilitators	ERSULA II	Compliance with Task Notes	SPs	SPs	SPs; ACCESS Phase II	Completion of Task Note	Completion of Task Note	Completion of Task Note
	Number of training days by gender	ERSULA II	Compliance with Task Notes	SPs	SPs	SPs; ACCESS Phase II	Completion of Task Note	Completion of Task Note	Completion of Task Note
	Number of people at district level with improved facilitation skills	ERSULA II	Progress in building pool of local service providers	SPs	Strategic Partners	TAT CB	Completion of Task Note	Completion of Task Note	Completion of Task Note
	Participant Training Evaluations	Participant Evaluations	Participant satisfaction with training delivery	SPs	Strategic Partners	TAT CB	Completion of Training Activity	Completion of Training Activity	Completion of Training Activity
Functional Area 4 ACCESS is supporting the planning and implementation of self directed development efforts	Number and type of projects approved annually	ERSULA II	Assess balance of Program efforts across different objectives	ACCESS management	Provincial Teams	PD; PC (Annual Plan)	On grant approval	End of February	End March
	Number of villages using revised CLAPP process in each district	ERSULA II	Extent and quality of activities conducted at village level; evidence of scaling up	BPs	BPs	BPs; DSCs	According to PGA	3 weeks before six month report	End April, End October
	Number of local facilitators (male and female) trained to facilitate the revised CLAPP methodology in each district	ERSULA II	Progress in building pool of CLAPP facilitators	SPs	SPs	TAT CB	Completion of Task Note	Completion of Task Note	Completion of Task Note
	Number of beneficiaries by gender and social status	ERSULA II	Compliance with PGAs and GSI Policy	BPs	BPs	BPs; ACCESS Phase II	Quarterly	Quarterly	October, April

System Element Design Logic	DATA			PEOPLE			TME		
	Information Needed	Method of Collection	Analysis	Who change is directed at	Who collects data	Who uses the data	Collection Frequency	Analysis deadline	Dissemination Schedule
	Number of grant proposals received, appraised and contracted	ERSULA II	Project grants appraised/approved in timely manner	ACCESS Phase II	MIS Manager	PD; PC; AusAID	Monthly	Monthly	Monthly
Functional Area 5 ACCESS is promoting continuous learning and policy and practice change both internally and externally.	Number of monitoring visits	ERSULA II	Timeliness and spread of monitoring activities	Provincial Coordinator Teams	Provincial Program Officers	Provincial Coordinator PD	First week of month	First week of month	Quarterly
	Regular gender and poverty disaggregated data and analysis shared with CSO and GOI stakeholders	ERSULA II	Compliance with GSI Policy	BPs; GOI	BPs; SPs	BPs; SPs; GOI; ACCESS Phase II	Six monthly	3 weeks before six month report	End April, End October,
	Participation of GOI and CSOs in MEL activities	Standardised formats for Project Grant Monitoring and Evaluation	Extent to which stakeholders are involved in ACCESS II MEL activities	GOI; BPs	TAT MEL	PD	Six monthly	3 weeks before six month report	End April, End October,
	Stakeholder perceptions of progress with DCEP	Stakeholder Workshop	Progress in working towards DCEP; changes needed in Program directions and actions for AP	DSCs; BPs; ACCESS Phase II	DSCs supported by ACCESS Phase II	DSCs; BPs; ACCESS Phase II	Annually	End February	End March
	Number and types of learning events and materials produced	ERSULA II	Extent to which lessons generated from ACCESS II M&E processes are shared	ACCESS Phase II; BPs	TAT MEL	ACCESS Phase II; BPs	As events and publications occur	3 weeks before six month report	End April, End October,
	Effectiveness of Program approaches and policies	ERSULA II; Grant Evaluations and Review Reports	Extent to which strategic directions are adequate or require revision	ACCESS Phase II	TAT	PD (Six month report)	Six monthly	3 weeks before six month report	End April, End October
	Number and types of research activities undertaken	ERSULA II	Progress with implementation of research activities	BPs	Innovative Grant recipients	BPs, GOI; other donors	According to PGA	According to PGA	Completion of research report
	Number and types of activities to promote	ERSULA II	Progress in promoting replication and scaling	GOI and other donors	TAT; Provincial	PD	As activities occur	3 weeks before six	End April, End October

System Element Design Logic	DATA			PEOPLE			TME		
	Information Needed	Method of Collection	Analysis	Who change is directed at	Who collects data	Who uses the data	Collection Frequency	Analysis deadline	Dissemination Schedule
	replication and scaling up		up		Teams			month report	
Management Risks	Perceived social, technical, economic, ecological and political factors that undermine the ability of the ACCESS Phase II team to deliver quality outputs and activities	Staff feedback; Project Partner Reports	Analysis of risks for program implementation and changes required for Program operational policy and practice	ACCESS II team	All staff	PD	Monthly and quarterly	3 weeks before six month report	End April, End October

Appendix 3 Report Preparation and Use

		Content	Responsibility	Frequency	Recipient
A	PROGRAM REPORTING				
	REPORTS TO AUSAID				
1	Monthly Report	Grant proposals received, approvals, rejection; Grant recipient details; grant amounts	MIS Manager (inputs) Program Coordinator (QA)	Monthly	AusAID; district, provincial government, MOHA
2	Six-monthly Report	Key achievements; progress against outputs and outcomes indicators; grant disbursement by districts and grant type; grant expenditure estimate, list of documents produced, updated risks; recommendations for AusAID	Program Director; inputs from TAT and Provincial Coordinators	Twice yearly for May-Oct and Nov-April	AusAID; MRG
3	Trust Account Reconciliations	Balances, receipts and expenditure against the Trust Account including receipts of grant monies (from AusAID to IDSS) expenditure of funds (from ACCESS Phase II to CSOs) and refunds (from CSOs to ACCESS Phase II)	Finance and Grants Manager (compiles) Program Coordinator.	Quarterly (10 days following the 30 Jun, 30 Sep, 30 Dec, 30 March)	AusAID
4	Annual Plan	Key achievements and progress for previous Annual Plan against 5 functional areas: planned grant disbursement by district and grant types; budget implementation plan; following fiscal year Work Plan; STA requirements	Program Director; Program Coordinator; inputs from Technical Advisory Team and Provincial Coordinators	End of March annually	AusAID; PCC; MRG
5	Activity Completion Report (ACR)	Summative review of Program strategies, inputs, activities, outcomes and impacts and extent to which Program success factors were met. Effectiveness, efficiency, relevance, impacts, sustainability and lessons learnt. Also look at Program logic and review sustainability and attribution	Program Director; Program Coordinator	Program completion	AusAID

		Content	Responsibility	Frequency	Recipient
PROGRAM MANAGEMENT					
6	Financial Input Sheet	Purchase Journal; Bank Payment Journal: petty cash; general ledger; financial statement	Finance Manager	Weekly	IDSS; Program Coordinator
7	Monthly Performance Report	Staff activities and outputs; emerging risks and mitigation; work plan for following month	Provincial Team	End of each month	Provincial Coordinators
8	Quarterly Performance Report (Provincial)	Achievement against planned outputs; emerging outcomes; plan for next quarter; risks and risk mitigation; key issues, observations, lessons learnt; follow up actions	Provincial Coordinator	End of first week of April, July, Oct and Jan	Program Director; TAT
9	Field Visit Report	Observation data and results of discussions with Partners and beneficiaries	Technical Advisory Team	After field visits	Provincial Teams
10	Quarterly Performance Report (TAT)	Outputs and outcome data; field observation and beneficiaries' feedback intervention risks	Technical Advisory Team	End of second week of April, July, Oct and Jan	Provincial Coordinators; Program Director
11	Partner Progress Report	Achievement against Progress Markers for each BP; intervention risks; lessons learnt and follow up	Provincial Team	Six monthly	Program Director; Technical Advisory Team
12	Annual Partner Progress Marker Technical Report	Summary and analysis of achievements against Progress Markers for all BPs; intervention risks; lessons learnt and strategic follow up	STO Governance & Community Engagement	End of January	Program Director; TAT; Provincial Teams; DSCs; PCC
PROJECT/INNOVATIVE GRANT MANAGEMENT					
13	Project Grant Monitoring Sheet	Verification of Partner Grant Monitoring Report; output and outcome data (by gender); progress and gaps; lessons learnt; emerging risks and mitigation	Program Officers	Quarterly	Provincial Team
14	Project Grant Evaluation Sheet	Verification of Project Grant Evaluation Report; impacts; sustainability; lessons learnt; significant change stories	Provincial Team (provincial activities); STO CE/Gov (program wide activities)	Program completion	Program Director; TAT; Provincial Teams

		Content	Responsibility	Frequency	Recipient
15	Innovative Grant Monitoring Sheet	Verification of Project Grant Monitoring Reports; outputs, emerging outcomes, emerging risks and mitigation	TAT; Provincial Teams (depends on scope and location of activity)	Depends on PGA	TAT; Provincial Teams
16	Innovative Grant Evaluation Sheet	Verification of Project Grant Evaluation Reports; outcomes and sustainability	TAT/ Provincial Teams	Project completion	TA; Provincial Teams
CAPACITY BUILDING MANAGEMENT					
17	Task Note Monitoring Sheet	Check list on the progress of SP in delivering Task Note	Provincial Team (provincial activities); STO CB program wide activities)	Depends on length of activity	Strategic Partners; TAT; Provincial Coordinators
18	Task Note Evaluation Sheet	Check list on the performance of SP in delivering Task Note	Senior Technical Officers/Provincial Team	Completion of Task Note	Technical Advisory Team; Grants and Finance Manager
19	Annual SPs Review report	Achievements in capacity building; lessons learnt; future strategic directions and program	STO CB	Annually	PD, PC, TAT
PROGRAM EVALUATION					
20	Civil Society Index Report	Change on Civil Society focusing on several indicators that closely relate to LDG	External Evaluator	Program completion	PD; DSCs; AusAID
21	Community and Local Government Impact Assessment		External Evaluator	Program completion	PD, AusAID; DSCs
22	PEKA	Impact of project grants	External Evaluator	Program completion	PD, AusAID; DSCs
23	Significant Change Stories	Intended and unintended changes for beneficiaries	External Evaluator	Program completion	PD; DSCs; AusAID
B	PARTNER REPORTING				
PROJECT/INNOVATIVE GRANT IMPLEMENTATION					
1	Project/Innovative Grant Financial Report	Expenditure data against planning for Project or Innovative Grants	Grant recipients	Monthly	Finance team; Provincial Coordinator

		Content	Responsibility	Frequency	Recipient
2	Project Grant Monitoring Report	Progress against planned objectives in Action Plans, activities and budget; emerging outcomes; significant change stories; issues arising and follow up	Project Partner	Quarterly	Provincial Team
3	Project Grant Evaluation Report	Effectiveness, efficiency, relevance, impacts, sustainability; replication; significant change stories and lessons learnt.	Project Partner	Project completion	Provincial Coordinators
4	CDST Reports	Baseline and impact of community based grant projects; sustainability and replication/ scaling up	Project Partner	Six monthly	Provincial Coordinators; TAT
5	Innovative Grant Progress Report	Progress against planned objectives in Action Plans, activities and budget; emerging outcomes; significant change stories; issues arising and follow up	Innovative Grant Partner	Quarterly	Provincial Teams
6	Innovative Grant Evaluation Report	Effectiveness, efficiency, relevance, impacts, sustainability; replication; significant change stories and lessons learnt.	Innovative Grant Partner	Project completion	Provincial Coordinators
CAPACITY BUILDING IMPLEMENTATION					
7	Strategic Partner Financial Report	Expenditure data	Strategic Partner	Completion of Task Note	Finance Team
8	Strategic Partners Task Note Monitoring Report	Progress in delivering Task Note Activities; training topics, duration and content of training, results, issues arising and summary of participant evaluations to date	Strategic Partner	Completion of Task Note	STO CB
9	Strategic Partners Task Note Evaluation Report	Number of trainers/ facilitators and participants (by gender), training topics, duration and content of training, results, issues arising and participant evaluation data	Strategic Partner	Completion of Task Note	STO CB

		Content	Responsibility	Frequency	Recipient
10	DCEP REVIEWS				
11	DCEP Review Report	Progress against DCEP indicators	DSCs	Annually	Interested local actors; Local Government Partners; ACCESS Phase II; AusAID
12	DCEP Evaluation Report	Outcomes against DCEP indicators	DSCs	Program Completion	Interested local actors; Local Government Partners; ACCESS Phase II; AusAID

Appendix 4 Risk Management Matrix

Risks	Potential Adverse Impact on the Program	Current risk level			Acceptability	Risk Management Strategy	Person respon
		L	C	I			
Political/Cultural							
Further terrorist acts or social unrest in Indonesia	<ul style="list-style-type: none"> Program locations are no longer safe for expatriate staff Delay in program implementation 	3	3	M	A	<ul style="list-style-type: none"> A security plan, including plans for evacuation, updated regularly and of highest standard. Choice of management staff and Advisors who have extensive knowledge and experience in Indonesia. Adequate training of Program and Administration staff to continue with interim management. 	PD, PC
Political backlash attached to activities that may be perceived as sensitive (advocacy, accountability, development rights)	Possibility that program no longer supported by GOI/GOA	3	3	M	A	<ul style="list-style-type: none"> AusAID, GoI and IDSS agree to a set of criteria for funding of activities. Maintain close working relationship and open channels of communication at National Level and within local networks. Ensure DSCs has adequate monitoring and review opportunities. IDSS refers "sensitive" proposals to AusAID and provides regular feedback to AusAID on the organisations and type of projects being supported. 	PD, PC
Grant recipients and key partners/ training institutions used will still work in a culture of corruption and nepotism	Possible fraudulent use of project funds	3	2	M	A	<ul style="list-style-type: none"> Develop and maintain transparent and accountable grantee selection process. Build social accountability and program oversight by the most socially excluded in communities. Rights and responsibilities and good governance principles explained to both participating CSOs and communities. Support Services staff work closely with partners. Develop and explain fraud guidelines to ensure clear understanding with all stakeholders. Monthly partner financial reporting and monitoring. 	PD, PC
Management							

Risks	Potential Adverse Impact on the Program	Current risk level			Acceptability	Risk Management Strategy	Person respon
		L	C	I			
Preparation for the general elections cause delays due to unavailability of various stakeholders and community members	Delay in Program implementation	3	2	M	A	<ul style="list-style-type: none"> Establish new constacts in the districts Intensify socialisation of ACCESS Phase II by Provincial teams in lead up to the election Active promotion of the DSC 	Korprov
IDSS does not incorporate lessons learned into ongoing project implementation	Program not responsive to the context and does not revise strategy based on experience	2	3	M	A	<ul style="list-style-type: none"> Ensure continuity of continuous learning processes & strategy from ACCESS Phase I. Lessons learned formulated through at least annual consultation with stakeholders and incorporated in ACCESS Phase II systems. AusAID/GOI/DSCs open to revision of strategy based on Lessons Learned. 	PD, MEL Advisor
IDSS unable to effectively develop suitable output indicators using the 'Soft Systems Approach'	Program not able to effectively demonstrate improved practices of good governance	2	3	M	A	<ul style="list-style-type: none"> Use of process and outcome monitoring systems and tools (ODST, CDST & Impact Assessments). M&E tools and PAF to be developed with STA with soft systems expertise. Success indicators to be agreed in consultation with government and partners. 	PD, MIS STA
The criteria for selecting organisations and projects is not sufficiently rigid to ensure projects provide positive and sustainable development outputs	<ul style="list-style-type: none"> Projects have minimal impact Projects are not sustainable 	2	3	M	A	<ul style="list-style-type: none"> Develop clear and transparent selection criteria, ensuring the proposal have clear gender and social inclusion strategies. Ensure activities are "community-led", and have strong emphasis on community capacity building. Conduct appraisal of proposals at relevant villages and include local government and external technical expertise in project appraisal panels. 	PD, PC
Fluctuating exchange rate adversely impacts on project trust account budget plans	<ul style="list-style-type: none"> Long-term funded projects are unable to meet project targets Substantially greater/less grant funds available than originally planned 	3	3	M	A	<ul style="list-style-type: none"> Use low AUD-Rp. exchange rate when budgeting. Close monitoring of grants budget expenditure. Use hedging and other currency fluctuation management tools. Use both AUD-Rp. rate in monitoring budgets and expenditure to date. MC provide monthly updates to PD/PC on expenditure in AUD-Rp. 	IDSS, PC, PD

Risks	Potential Adverse Impact on the Program	Current risk level			Acceptability	Risk Management Strategy	Person respon
		L	C	I			
Trust fund is fully committed early in the program	ACCESS Phase II will be unable to respond to any request for funding of potentially valuable proposals	4	1	M	A	<ul style="list-style-type: none"> ACCESS II will refer good proposals to other likely donors. Forward Estimates and ongoing monitoring of committed funds. Regular updating of funding status to the DSCs. 	PD, PC
Implementation							
Women and traditionally marginalised people do not gain access to services provided by the program	Lack of compliance with GOA and GOI policy and missed opportunity for greater social inclusion Program has reduced impact	4	3	H	U	<ul style="list-style-type: none"> Gender and Social Inclusion (GSI) strategy promoted and mainstreamed through all levels of project implementation and program management. Ongoing mentoring for staff and partners. Consistent and tailored capacity building to address GSI principles at all levels (district through to village). Ensure M&E includes higher level gender and social impact analysis. 	PD, CE/Gov Advisor
Local Government and Local CSO grant recipients from current ACCESS Phase I locations upset by changes to design	Active disruption to program because of perceived changes to access to resources (i.e. considered to be benefiting less than in ACCESS Phase I)	2	1	L	A	<ul style="list-style-type: none"> Adequate time to be spent to increase local stakeholder ownership of ACCESS Phase II vision and objectives through DSCs and other consultation forums. Eligibility and access to funding open and transparent. 	PD, CE/Gov Advisor
Insufficient capacity of CBSP at local level	<ul style="list-style-type: none"> Delay in implementation Cost increases 	2	3	M	A	<ul style="list-style-type: none"> Use of quality organisations to develop strategy to increase the quality and quantity of local Capacity Building Service Providers (Champions at the District level). Routine guidance and mentoring by ACCESS Phase II staff during capacity building carried out by key partners. Awareness of current market rates for quality SPs to ensure sufficient funds available. 	MEL Advisor
DSCs becomes a project selection panel only	Local government drives activity selection and ACCESS Phase II becomes a top down rather than demand-driven program	3	3	M	A	<ul style="list-style-type: none"> Continued use of current DSCs already established under ACCESS Phase I for existing districts for ongoing implementation and as model for newly established DSSs. Hold initial workshops to ensure clear understanding of role & responsibilities of DSCs. DSCs started as a forum to learn from experience. 	PD, CE/Gov Advisor

Risks	Potential Adverse Impact on the Program	Current risk level			Acceptability	Risk Management Strategy	Person respon
		L	C	I			
						<ul style="list-style-type: none"> Support provide to DSCs so that everyone is clear on approach/logic - building demand for better governance. Principle of community responsiveness and downwards accountability reinforced through the program. 	
Engagement with Government							
National, provincial and district Government places pressure to reallocate funds from CSOs and communities to directly support Government	<ul style="list-style-type: none"> Delays in implementation Disharmony 	2	2	M	A	<ul style="list-style-type: none"> Develop a strategy for ongoing communication with Governments at all levels, commencing with initial briefing on objectives, and agreement on mechanism to ensure regular communication and monitoring. Roles, responsibilities and expectations made clear in initial discussions as the basis for moving forward/working in district, and reflected in the MOU. Consultation with other donors working in the same districts to promote donor harmonisation (i.e. identify alternate sources of funding) in response to District Government requests. 	PD, CE/Gov Advisor
Local Government does not perceive adequate value from the Program for government officials	Support from local government lost and program impact reduced	3	3	M	A	<ul style="list-style-type: none"> Use of government champions from ACCESS Phase I to help promote the ACCESS Phase II approach at program on-set. Opportunities to participate in capacity building programs made available. Opportunities for cross-district exchanges and mentoring. Program promotes strong linkage between government services and increased receptiveness and effective use by community. 	PD, CE/Gov Advisor
Capacity of CSOs							
Communities and CSOs do not have the capacity to develop grant proposals following the Operating Guidelines	Limited number of quality proposals submitted by CSOs	2	1	L	A	<ul style="list-style-type: none"> Program Officers will assist CSO/communities during preparation of proposals. Proposals result from the CLAPP-guided process and with village government support. Proposal formats made simple, logical and easy to follow. Key Partners to provide targeted capacity building for participating organisations Guidelines reviewed annually. 	CE/Gov Advisor

Risks	Potential Adverse Impact on the Program	Current risk level			Acceptability	Risk Management Strategy	Person respon
		L	C	I			
Implementing organisations do not meet their progress reporting and financial reporting requirements	<ul style="list-style-type: none"> Progress difficult to gauge Early identification of financial irregularities more difficult Additional burden placed on program staff 	4	2	M	A	<ul style="list-style-type: none"> Create regular lower level and peer appraisal opportunities for self monitoring. Build into projects stronger social accountability among participants. Principles of accountability and transparency clearly linked with partner reporting. Stipulate reporting requirements in PGAs and finance manuals and provide briefing on these requirements and training for finance staff. Financial disbursements dependent on timely reporting. 	PC, Finance and Grants Manager
CSOs do not have the necessary capacity to engage effectively with government	CSOs unable to influence formulation of public policy, promote community advocacy or effectively monitor government actions	3	3	M	A	<ul style="list-style-type: none"> Promote the benefits for local government to engage with CSOs and communities Civic educations activities as part of the capacity building program Continue to promote core values of ACCESS II 	PD CE/Gov Adviser

Key:

Likelihood	Expectation:			Temporary delay Resource intensive	Short period, isolated impact	Impacts across a number of activities	Suspension of Program Loss of credibility	Termination of Program
				Consequence				
				Insignificant	Minor	Moderate	Major	Severe
	Is expected to occur in most circumstances	5	Almost Certain	M	H	H	E	E
	Will probably occur at some stage	4	Likely	M	M	H	H	E
	Might occur at some time in the future	3	Possible	L	M	M	H	E
	Could occur but doubtful	2	Unlikely	L	M	M	H	H
	May occur but only in exceptional circumstances	1	Rare	L	L	M	M	M

E – Extreme risk – Unacceptable - detailed action plan required
H - High risk – Unacceptable – requires attention from MC
M – Medium risk – Acceptable - management aware of risk
L – Low risk – Acceptable - manage by routine procedures

Appendix 5: Selected Data Collection Methods and Tools

1. Outcome Mapping

Outcome Mapping is a methodology for planning, monitoring and evaluation that focuses on changes in the Partner organizations that will have an impact on the groups that can directly influenced by the Program. These changes are measured against a set of agreed Progress Markers which enables progressive assessment of outcomes resulting from Program interventions. This provides critical information to ACCESS Phase II and each Partner about changes in how the Partner carries out its activities with others that have occurred over the previous six months. It is designed to be a structured learning opportunity for both the organizations involved and for the Program team on how the Partner has benefited from capacity building activities and the extent to which learning from these activities has been internalized within the organization.

2. Community Development Snapshot

This participatory methodology is used to assess community empowerment, particularly the empowerment of the poor and women, as a result of community based activities. Periodic “snapshots” are taken with the community using participatory tools to measure the current situation in terms of participation in management and decision making, changes in relationships and community management to examine issues of empowerment, sustainability and development risks. Perceptions are cross checked through open discussions involving women, men, better off and poor. The final discussion involves a facilitated review of results and gap analysis, discussion about community satisfaction with the participatory approach used, how to improve equity, how to overcome some of the issues or problems that may have emerged, how improvements will be made and who will be responsible. It also encourages discussion about the future and how to ensure sustainability.

3. Annual Reviews

i) Strategic Partner Reviews

ACCESS Phase II Capacity Building Framework identifies three key areas of change necessary to sustain organizational capabilities: philosophy and ethos; organizational systems and individual capabilities. These will be the focus on inquiry during the capacity assessment process with Partners. Capacity Building activities are carried out by Strategic Partners (or possibly Boundary Partners) and all data is recorded on ERSULA II. An Annual Strategic Partners meeting is conducted to review capacity building activities over the past year, organizational competencies, changes and performance affected through or by these activities, analysis of gaps and opportunities for strengthening organizational capacities and review of capacity building strategies for the following year.

ii) DCEP Review

The DCEP review is a process-oriented review facilitated by an independent external facilitator. The participants will include the District Stakeholder Committee, community representatives and interested parties. It will involve a series of analyses using participatory tools to analyse progress with the DCEP and to assess the effectiveness of strategies and support from the Program.

4. Program Impact Evaluation

i) Civil Society Index

The Civil Society Index (CSI) was used in ACCESS Phase I in the eight current districts to measure the “health” of civil society and to identify areas where citizens’ groups and other stakeholders can work together to address issues of governance and development. It is a facilitated context-specific process in which participants reach a consensus on scores for four dimensions: Structure, Environment, Values and Impact. The discussions and scoring provides data that is useful for local actors in developing their district vision of change.

A mini CSI workshop is planned in the existing 8 districts to update the current data set using a Strategic Partner. A full CSI processes will be carried out to provide baseline data for the new districts. In preparation for the CSI workshop, preliminary research is carried out to provide a wealth of relevant information to support discussions on measures. The CSI process will be repeated at the end of the Program to assess impacts for a number of governance measures relevant to ACCESS 2 and the DSC.

ii) Organisational Capacity Assessment/PEKA

This process is used for a joint assessment of the Partners’ organisational capacity (for CBOs PEKA is used) to provide baseline data for each organisation against a number of agreed measures reflecting both internal and external functioning and identifies priority areas for increasing capacities. The Assessment will be repeated mid term and at the end of Program to measure sustainable changes in CSO Partners.

iii) Significant Change Stories

This process is designed to capture some of the personal stories from different stakeholders that might not otherwise be expressed and to get a sense of unanticipated changes. The Program will not implement the full process of systematically selecting the most significant story in order to examine factors of significance because of resource limitations. However, experience from Phase I showed that a limited process is still useful in that it stimulates in depth participant discussion about changes and impacts, particularly in difficult areas to measure such as empowerment.

iv) Program Evaluation

The Program Evaluation, facilitated by an external facilitator/s, will be based on a compilation of a number of impact assessments on different levels. It will provide us with information to measure performance against the success factors. It will also assess the Program’s contribution to broader changes in local democratic governance, review the effect of external factors on the Project’s performance and outcomes and likelihood of sustainability of changes.

Appendix 6: Reference Documents

ACCESS Phase I (2003), **Revised Monitoring and Evaluation Framework**, Milestone 10, IDSS, Melbourne

AusAID (nd), **Activity-level Monitoring and Evaluation Guidelines**

AusAID (2006), **Program Design Document ACCESS Phase II**, AusAID Canberra.

AusAID (2008), **Scope of Services ACCESS Phase II**, AusAID Canberra

Bruce Bailey (2008), **ACCESS Phase II MIS Development Plan**, IDSS, Bali.

Jeff Bost (2008), ANTARA MEF, **AusAID, ACIL, Eastern Indonesia**

Nina Shatifan (2008), **Strategy for Preparing the PAF for ACCESS Phase II**, IDSS, Bali.

Paul Crawford (2008), **PACAP Monitoring and Evaluation Framework**, GHD/Hassals, Philippines.

Paul Crawford (2008), **Appraisal: ACCESS II Strategy for Preparing the PAF**, AusAID, Jakarta.

Sarah Earl, Fred Carden, and Terry Smutylo (2001), **Outcome Mapping: Building Learning and Reflection into Development Programs** .

Steff Deprez(2008), **Workshop Presentation on Outcome Mapping**, VECO, Bali.