



## KIAT Monitoring, Evaluation, Learning and Performance (MEL/P) Strategy

# February 2023

## Contact Information

Gavin Wyngaard, Contractor Representative

DT Global

International Financial Centre (IFC)

Tower 2, Level 18

Jl. Jendral Sudirman Kav. 22-23

Jakarta 12920 Indonesia

Phone: +62 21 8086 9800

Email: gavin.wyngaard@dt-global.com

## Document History

Version	Effective Date	Description of Revision	Prepared by	Reviewed by
1.0	30 September 2022	Initial version	Mark Fiorello / Paul Wright	Steven Chaytor/ Emer Purdon
2.0	8 February 2023	Updated version in response to DFAT comments received in January 2023, and to include various other minor corrections/clarifications	Mark Fiorello / Paul Wright	Steven Chaytor

This publication has been funded by the Australian Government through the Department of Foreign Affairs and Trade. The views expressed in this publication are the author's alone and are not necessarily the views of the Australian Government. The Australian Government neither endorses the views in this publication, nor vouches for the accuracy or completeness of the information contained within the publication. The Australian Government, its officers, employees, and agents, accept no liability for any loss, damage or expense arising out of, or in connection with, any reliance on any omissions or inaccuracies in the material contained in this publication.

This publication is intended to provide general information only and before entering into any particular transaction users should: rely on their own enquiries, skill and care in using the information; check with primary sources; and seek independent advice.

## About KIAT

KIAT is a partnership between the Governments of Australia and Indonesia to support sustainable and inclusive economic growth through improved access to infrastructure for all people. KIAT works with government and civil society, providing technical assistance to improve infrastructure policy, planning and delivery. KIAT also works with sub-national governments to improve the quality of infrastructure spending and planning.

Through its work with the central and sub-national governments, KIAT is working towards 4 clear End-of-Facility Outcomes (EOFOs):

1. Improved policies and regulations for infrastructure development
2. High quality projects prepared for financing by GOI, MDBs or the private sector
3. High quality infrastructure delivery, management and maintenance by GOI
4. Infrastructure policies, design and delivery are more inclusive for women and people with disabilities

## Contents

About KIAT .....	2
<b>EXECUTIVE SUMMARY .....</b>	<b>7</b>
<b>1. Introduction.....</b>	<b>11</b>
1.1 Background.....	11
1.2 Purpose of Document and Target Audience.....	12
1.3 Structure of this Document.....	12
<b>2. Scope, Purpose and Principles for KIAT MEL/P.....</b>	<b>14</b>
2.1 Scope .....	14
2.2 Purpose .....	15
2.3 Principles for MEL/P .....	16
<b>3. About KIAT Performance.....</b>	<b>18</b>
3.1 Performance Dimensions and Elements as per the DFAT Facilities PAF .....	18
3.2 KIAT's End of Facility Outcomes .....	19
3.3 KIAT as a Portfolio of Activities .....	19
3.4 KIAT Activity Streams, Cross-Cutting Issues and Strategies .....	20
3.5 KIAT Facility Logic .....	21
<b>4. Overall KIAT MEL and Performance Framework .....</b>	<b>23</b>
4.1 Development Results Perspective .....	23
4.2 Stakeholders & Partnerships Perspective.....	25
4.3 Operations Perspective .....	26
4.4 Learning & Adapting Perspective .....	27
4.5 Assessing KIAT Performance .....	27
<b>5. Implementing Activity-Level MEL/P .....</b>	<b>28</b>
5.1 Consideration of MEL/P as Part of Activity Development .....	28
5.2 Activity Inception and MEL Design .....	29
5.3 MEL/P During Activity Implementation .....	29
5.4 Activity Completion .....	32
5.5 Post-Completion .....	32
5.6 Structured Guidance and Templates in Support of Activity-Level MEL/P.....	33
<b>6. Implementing Facility-Level MEL/P .....</b>	<b>34</b>
6.1 Performance System Analysis and Synthesis .....	34
6.2 Key Outcomes Log and Outcome Harvesting .....	34
6.3 Annual Facility "Health Check" Processes .....	35
6.4 Facility-Level Evaluations and Reviews .....	36
<b>7. Data Management, Reporting &amp; Communications .....</b>	<b>37</b>
7.1 Management of Performance Information .....	37
7.2 Reporting and External Communications .....	37
7.3 Use of Performance Information .....	38
<b>8. Management of MEL/P.....</b>	<b>39</b>

8.1	Organisational Structure and Staffing.....	39
8.2	STA Panel for MEL and Performance.....	39
8.3	Work planning, Flexibility and Iterative Improvement .....	39
8.4	Quality Control.....	40
8.5	Risk Management .....	40
<b>Annex 1 – Information Needs of Key Stakeholders.....</b>		<b>41</b>
<b>Annex 2 – Performance Expectations.....</b>		<b>42</b>
2A.	Development Results Performance Expectations .....	42
2B.	Stakeholders & Partnerships Performance Expectations .....	43
2C.	Operations Performance Expectations .....	44
2D.	Learning & Adapting Performance Expectations .....	45
<b>Annex 3 – KIAT Performance Indicators .....</b>		<b>46</b>
3A.	Development Results Indicators.....	46
3B.	Operations / Efficiency Indicators .....	50
<b>Annex 4 – Templates and Guidance for Activity-Level MEL/P .....</b>		<b>53</b>
<b>Annex 5 – MEL/P Annual Work Plan: July 2022 – June 2023 .....</b>		<b>54</b>
<b>Annex 6 – Risks to KIAT M&amp;E .....</b>		<b>57</b>

# Contents of Figures

---

Figure 1: KIAT’s Goal and End of Facility Outcomes .....	11
Figure 2: Overall Framing of KIAT Performance.....	18
Figure 3: Definitions of KIAT "Success" at Various Levels of Abstraction .....	21
Figure 4: KIAT Facility Logic Model .....	22
Figure 5: KIAT Performance Dimensions, Performance Elements, and Key Evaluation Questions .....	23
Figure 6: Ratings for the Assessment of Performance Elements.....	27
Figure 7: MEL/P and MEL/P-Relevant Processes/Elements Over the Life of an Activity .....	28

## Acronyms

---

<b>ACR</b>	Activity Completion Report
<b>APA</b>	Adviser Performance Assessment
<b>AQC</b>	Aid Quality Check
<b>BAST</b>	<i>Berita Acara Serah Terima</i> Asset Handover Note
<b>DFAT</b>	Department of Foreign Affairs and Trade
<b>DoS</b>	Description of Services
<b>EOFO</b>	End of Facility Outcome
<b>EPR</b>	End of Program Review
<b>ESS</b>	Environmental and Social Safeguards
<b>EQ</b>	Evaluation Question
<b>FIMR</b>	Final Investment Monitoring Report
<b>GEDSI</b>	Gender Equality, Disability, and Social Inclusion
<b>GOA</b>	Government of Australia
<b>GOI</b>	Government of Indonesia
<b>HRM</b>	Human Resource Management
<b>IMR</b>	Investment Monitoring Report
<b>IndII</b>	Indonesia Infrastructure Initiative
<b>KEQ</b>	Key Evaluation Question
<b>KIAT</b>	<i>Kemitraan Indonesia-Australia untuk Infrastruktur</i> Indonesia-Australia Partnership for Infrastructure
<b>LTA</b>	Long-Term Advisory
<b>M&amp;E</b>	Monitoring and Evaluation
<b>MC</b>	Management Committee
<b>MEL</b>	Monitoring, Evaluation, and Learning
<b>MDB</b>	Multilateral Development Bank
<b>MIS</b>	Management Information System
<b>PAF</b>	Performance Assessment Framework
<b>PPA</b>	Partner Performance Assessment
<b>PPI</b>	Private Participation in Infrastructure
<b>SMT</b>	Senior Management Team
<b>STA</b>	Short-Term Advisor
<b>ToR</b>	Terms of Reference
<b>TC</b>	Technical Committee

## EXECUTIVE SUMMARY

### Background and Overview

This document presents an overarching Monitoring, Evaluation, and Learning (MEL) and Performance (collectively, “MEL/P”) Strategy for KIAT Phase 2, including by (1) identifying and defining key aspects of KIAT performance, (2) presenting an overall framework for MEL/P, including the types of information to be compiled in relation to that framework, and (3) proposing a general approach to the implementation and management of MEL/P in KIAT. The Strategy builds on KIAT’s previous Monitoring and Evaluation (M&E) Framework, which guided the successful implementation of M&E during KIAT Phase 1. The KIAT Mid-Term Review, completed in August 2021, found that KIAT Phase 1 applied “rigorous M&E methods... to track implementation at the activity and outcome level, with independent verification of progress.”

An updated M&E Framework is a core contractual deliverable to DFAT as part of the transition to Phase 2. This updated document has been developed by the KIAT Performance Unit based on both internal reviews and reflections as well as consultations with DFAT. The updates reflected in this document are intended primarily to:

- (1) Bring KIAT’s overall approach in line with updated guidance from DFAT, most notably the DFAT Performance Assessment Framework (PAF) for Facilities.
- (2) Reflect current practice within KIAT and the anticipated needs and priorities of KIAT Phase 2, including related to priorities for accountability reporting to DFAT.
- (3) More strongly integrate considerations of GEDSI, in line with KIAT’s GEDSI strategy which was ‘refreshed’ in February 2022.

### Framing KIAT Performance

KIAT is a “flexible and responsive facility, which nevertheless aims to have a coherent set of longer-term programmatic investments at its core.”<sup>1</sup> KIAT is implemented through a flexible programming mechanism where various initiatives (termed “Activities”) are planned, proposed, agreed, contracted, and implemented in line with established governance mechanisms and agreed ways of working. KIAT can therefore be understood as a portfolio of Activities that evolves over time in response to the agreed priorities of GOI and GOA, emerging requests and opportunities, and learning from previous experience.

To provide further structure to the overall portfolio of KIAT activities, a series of 9 Activity Streams were agreed during KIAT Phase 1 and re-confirmed for Phase 2. Activity Streams are logical collections of existing and new activities, which provide an organising construct for KIAT Activities working on different areas of infrastructure. KIAT has recently defined “Headline Results” for each Activity Stream, representing key outcome-level changes that KIAT will help to realise through the implementation of one or more Activities within each Activity Stream. KIAT also focuses on 3 main “cross-cutting issues”:<sup>2</sup> Gender Equality, Disability, and Social Inclusion (GEDSI), Climate Change, and Private Participation in Infrastructure (PPI).

In line with DFAT guidance on assessing the performance of Facilities, KIAT’s performance has been reframed to comprise 4 overall ‘perspectives’ on facility performance: (1) Development Results, (2) Stakeholders & Partnerships, (3) Operations, and (4) Learning and Adapting. Each ‘perspective’ is elaborated through 3 ‘Performance Elements’.

A total of 8 Key Evaluation Questions (KEQs) have been defined in relation to these perspectives, including to break down the ‘Development Results’ perspective with regards to each of KIAT’s 4 End of Facility Outcomes (EOFOs) and to consider the larger sustainability of KIAT support, particularly in terms of the GOI’s adoption of approaches developed or demonstrated by KIAT. The KEQs for KIAT Phase 2 are:

**KEQ1: (Development Results / EOFO1): To what extent has KIAT made significant contributions to an improved policy and regulatory framework conducive to infrastructure development?**

**KEQ2: (Development Results / EOFO2) To what extent has KIAT made significant contributions to the preparation of projects for financing by GOI, Multilateral Development Banks (MDBs) or the private sector?**

<sup>1</sup> KIAT Design Document, p. 6.

<sup>2</sup> For purposes of alignment with the DFAT Facilities PAF, these ‘cross-cutting issues’ are considered to represent KIAT’s ‘policy priorities’.



KEQ3: (Development Results / EOFO3) To what extent has KIAT made significant contributions to the quality of infrastructure project delivery, management, and maintenance by GOI?

KEQ4: (Development Results / EOFO4) To what extent has KIAT made significant contributions to more inclusive infrastructure policies, preparation, and delivery, particularly for women and people with disabilities?

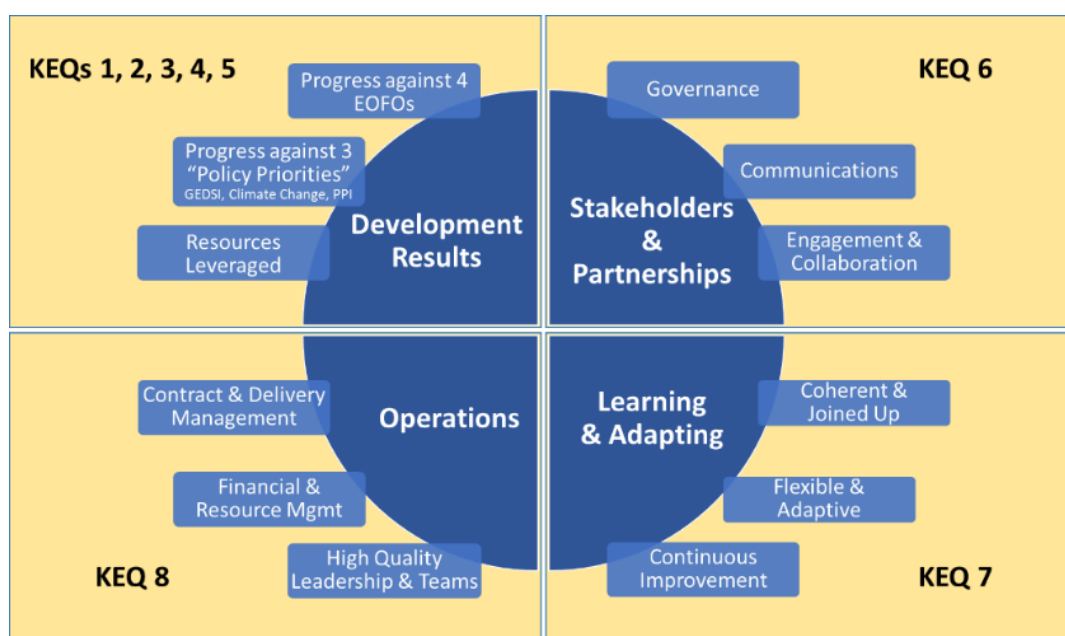
KEQ5: (Development Results / Sustainability) To what extent has GOI adopted or is GOI likely to adopt core approaches supported by KIAT?

KEQ6: (Stakeholders & Partnerships) How effectively has KIAT engaged with stakeholders and partners and met their needs?

KEQ7: (Operations) How effectively and efficiently has KIAT managed and delivered key operations?

KEQ8: (Learning & Adapting) How effectively has KIAT learned and improved over the course of implementation?

The Performance Perspectives, Performance Elements, and KEQs collectively comprise the high-level performance framework for KIAT, as depicted in the figure below.



This high-level framework is further elaborated through (a) a set of specific 'performance expectations' against each Performance Element and (b) a limited number of Key Performance Indicators (including those required for reporting against various DFAT reporting frameworks), both of which are contained in Annexes to this strategy.

### Activity-level MEL/P

KIAT MEL/P is 'nested', with individual Activity-level MEL and Performance forming the basis for MEL/P at the Facility level. Activity-level MEL/P follows the 'lifecycle' of an Activity over several stages: Activity Development, Activity Inception, Activity Implementation, Activity Completion, and Post Completion.<sup>3</sup>

KIAT makes efforts to ensure that appropriate MEL is designed and then implemented over the life cycle of all Activities in a way that meets KIAT's and DFAT's informational needs, and in a way that is proportional to the size and strategic nature of that Activity. This includes both structured progress and completion reporting by the Activity implementer, as well as implementation of the KIAT "Performance System". The KIAT "Performance System" involves 6 monthly cycles of reviewing Activity-level progress towards the expected outcomes of each Activity in a way that is structured and consistent across Activities. At the beginning of each 6 monthly performance period, all Activities are

<sup>3</sup> Post-Completion is only relevant in cases where KIAT may wish to follow up on the results of an Activity *after* the completion of implementation, for example to understand or document the extent to which project preparation input has been utilised to take a project forward, whether policy inputs have been resulted in actual policy change, or whether changes in systems or practice have been sustained over time.



required to identify a limited number of “Progress Markers”, which represent specific results targeted for the next 6 months that, if achieved, would indicate meaningful progress toward the achievement of Activity Outcomes. The status of Activity Progress markers is then assessed at the conclusion of each 6 monthly performance period, in line with the established processes. Specific progress markers for GEDSI, Climate Change, and PPI help to track progress against KIAT’s 3 main policy priorities.

To enable and support high-quality MEL and the implementation of the KIAT Performance System across the various stages of Activity implementation, KIAT maintains a variety of templates and guidance which act as a reference for Activity implementers. The KIAT Performance Unit also works closely with KIAT Technical Directorates and Activity implementers to support and quality assure key Activity-level MEL processes.

### Facility-level MEL/P

This Strategy lays out the main processes for the aggregation, synthesis, and supplementation of information from Activity-Level MEL/P, as the basis for assess the overall performance of the facility, and to answer the KEQs as presented above. These include:

- (1) Analysing and synthesising data from the KIAT Performance system to:
  - Identify examples that represent the achievement of, or important progress toward, KIAT’s EOFOs, Headline Results for Activity Streams, and key results targeted in the GEDSI, Climate Change, and IFF Strategies
  - Identify key ‘themes’ across Activities that can inform learning and adaptation across the Facility
  - Produce summary statistics that help provide an overall picture of performance across Activities, particularly in terms of progress towards cross-cutting issues, or other issues of particular interest or concern to KIAT management or DFAT
- (2) Maintaining a “Key Outcomes Log” that documents examples of KIAT’s most important contributions to its EOFOs and undertaking a structured “Outcome Harvesting” approach in 2024 and 2026 to review, supplement and validate the contents of the Key Outcomes Log.
- (3) Holding an annual “Health Check” process to review KIAT’s progress against expectations for its performance, both to identify opportunities to improve KIAT’s performance, as well as to drop, add, or modify performance expectations as the basis for future assessments. This process will be implemented each year and will build on the Performance Reviews. It will also feed into DFAT IMR reporting, the review and update of Engagement Strategies, and KIAT annual work planning.
- (4) Designing and implementing specific evaluations or reviews that provide evidence and/or assessment about KIAT or aspects of KIAT’s work that cut across multiple Activities. Over the period April-June 2023, in close consultation with DFAT, KIAT will develop a Facility Review and Evaluation Agenda containing proposed reviews for FY 2023/24, as well as any reviews indicatively planned for the remainder of KIAT Phase 2.

### Reporting and Communications

KIAT MEL/P processes are oriented towards producing information for inclusion in 6 monthly Bi-Annual Performance and Planning Reports (BPPRs), which are submitted each July and January and are targeted at DFAT and the KIAT Management Committee.

In addition to 6 monthly BPPRs, KIAT will produce 3 additional types of information required for DFAT’s internal management processes. First, KIAT will report against the specific DFAT Indonesia Country PAF. During Activity development and inception processes, KIAT and Activity implementers will identify PAF indicators each activity is expected to contribute to (if any) and any associated targets. Activity implementers will report on agreed indicators as part of Activity progress reporting, and the KIAT Performance Unit will review & compile indicator data for formal submission to DFAT. Second, KIAT will also report against the mandatory “Efficiency” indicators as per the DFAT Facilities PAF. Finally, in a continuation of practice from KIAT Phase 1, in February of each year, KIAT will prepare an outline response to the annual DFAT IMR for KIAT as well as the Australian infrastructure grant programs which are regarded as separate investments and require separate IMR processes.

In addition to structured accountability reporting to DFAT, during Phase 2, KIAT will develop a limited number of case studies that describe DFAT's and KIAT's contributions to significant outcomes in line with its EOFOs. These case studies will be targeted primarily at a broader audience, including DFAT Canberra and other DFAT programs, and potentially other bilateral donors, MDBs, and implementing agencies working in Indonesia and/or the infrastructure sector.

### **Management of MEL/P**

KIAT MEL/P is managed through a Performance Unit that reports to the KIAT Deputy Director for Strategic Planning and Performance. The Performance Unit is responsible for coordinating the implementation of all Facility-level MEL/P processes, for the overall implementation of the KIAT Performance System, including technical support and quality assurance, and for managing any Activity-level reviews or evaluations where greater independence or objectivity is required. The KIAT implementation teams (under the management of KIAT technical directors) are responsible for all Activity-level MEL/P processes with technical support and quality assurance from the Performance Unit. KIAT's communications team will support communicating program results, impacts and learnings.

Additional technical support for MEL/P will be provided through the recruitment and contracting of a panel of Short-Term Advisors (an "STA Panel"). The STA Panel will provide a mechanism to flexibly engage highly qualified specialists, thereby enhancing KIAT's ability to respond more quickly and appropriately to identified needs at the Facility level, and potentially also at the Activity level.

A key component of the ongoing success of MEL/P in KIAT will be the flexibility for the overall approach to adapt over time and as needs change. Given that the overall approach to MEL/P may continue to evolve, it is important to maintain a structure and budget that allows for sufficient flexibility for amendments over time and as needs change. An initial annual workplan for core Facility level MEL/P processes for 2022/23 is provided as an annex to this Strategy. An annual workplan will be developed each year as part of the overall KIAT planning and budgeting cycle. Staffing arrangements and budgets for MEL/P processes will also be reviewed on an annual basis.

# 1. Introduction

## 1.1 Background

The Kemitraan Indonesia-Australia untuk Infrastruktur (KIAT), is a partnership between Australia and Indonesia to support the infrastructure priorities of the Indonesian government. KIAT is a 10-year, \$300 million facility funded by the Australian Department of Foreign Affairs and Trade (DFAT) and implemented by DT Global.<sup>4</sup> KIAT builds on a long-standing partnership between the Government of Indonesia (GOI) and Government of Australia (GOA) to support sustainable and inclusive economic growth through improved access to infrastructure for all people. Phase 1 of KIAT was implemented from February 2016 to 30 June 2022.<sup>5</sup> The KIAT Mid Term Review (MTR), completed in August 2021, found that the overall performance of KIAT to be effective. In April 2022, DFAT extended KIAT to Phase 2, until 30 June 2026.

KIAT's goal and 4 End of Facility Outcomes (EOFOs) are described in Figure 1 below. EOFO #4, "Infrastructure policy, design, and delivery is more inclusive for women and people with disabilities" was formally added in 2022, as part of a broader 'refresh' of the KIAT Gender, Disability, and Social Inclusion (GEDSI) Strategy (2022-26). The addition of the fourth EOFO is intended to elevate KIAT's focus and work on GEDSI.

Figure 1: KIAT's Goal and End of Facility Outcomes

### GOAL

**Sustainable and inclusive economic growth through improved access to infrastructure for all people**

### EOFOs



An updated M&E Framework is a core contractual deliverable to DFAT as part of the transition to Phase 2. This document builds on KIAT's previous Monitoring and Evaluation (M&E) Framework, which guided the overall implementation of M&E during KIAT Phase 1. As such, KIAT starts from a position of strength: the KIAT Mid-Term Review, completed in August 2021, found that KIAT Phase 1 applied "rigorous M&E methods... to track implementation at the activity and outcome level, with independent verification of progress."

This updated document has been developed by the KIAT Performance Unit based on both internal reviews and reflections on M&E under KIAT Phase 1 as well as consultations with DFAT. The updates are intended primarily to:

- (1) Bring KIAT's overall approach in line with updated guidance from DFAT, most notably related to the DFAT Performance Assessment Framework (PAF) for Facilities, which is required to be applied for KIAT Phase 2.<sup>6</sup> Most notably, the DFAT Facilities PAF introduces and reframes performance around 4 inter-related perspectives that are considered critical to the success of facilities, namely:
  - o Development Results: What are the prospects that the end of facility outcomes (EOFOs) will be achieved?

<sup>4</sup> Cardno Emerging Markets implemented the program until its merger with DT Global became effective in September 2022.

<sup>5</sup> KIAT Phase 1 was initially expected to run for 5 years to 30 June 2021. This was extended to 30 June 2022 to manage COVID-19 impacts and the Mid-Term Review (MTR) of the program.

<sup>6</sup> Guidance Note: Performance Assessment Framework for Facilities, September 2020.

- Stakeholders and Partnerships: How is the facility engaging stakeholders and partners and meeting their needs?
  - Operations: How is the facility managing and delivering key operations?
  - Learning and Adapting: How is the facility adapting to opportunities and improving?
- (2) Reflect current practice within KIAT and the anticipated needs and priorities of KIAT Phase 2, including related to priorities for accountability reporting to DFAT.
- (3) More strongly integrate considerations of GEDSI, in line with KIAT's GEDSI strategy (2022-26) and the new EOFO focused on more inclusive infrastructure policy, design and delivery.

This document has been renamed the KIAT Monitoring, Evaluation, and Learning (MEL) and Performance (P) Strategy (hereafter MEL/P). "Performance" has been explicitly incorporated into the name of the document to highlight KIAT's existing approaches to managing the performance of its portfolio of activities, as well as to explicitly acknowledge the links to the DFAT Facilities PAF. The use of the term "Strategy" is equally deliberate, both to reflect the nature of this document as high-level guidance for the overall development and implementation of approaches for MEL/P, but also to position it as part of a broader package of KIAT's guiding strategies, including KIAT's Engagement Strategies, the KIAT GEDSI Strategy, the KIAT Climate Change Strategy, the KIAT Infrastructure Funding and Financing (IF&F) Strategy, and the KIAT Communications Strategy.

## 1.2 Purpose of Document and Target Audience

This document presents an overarching MEL/P Strategy for KIAT Phase 2, including by (1) identifying and defining key aspects of KIAT performance, (2) presenting an overall framework for MEL/P and describing the types of information to be compiled in relation to that framework, and (3) proposing a general approach to the implementation and management of MEL/P in KIAT.<sup>7</sup> The operationalisation of the MEL/P Strategy, including the development or updating of various templates, tools, and guidelines, will occur primarily over the period October–December 2022, in line with the MEL/P workplan for 2022/23 developed alongside this Strategy (see Annex 5). The MEL/P Strategy will be subject to annual reviews and revisions over the remaining life of KIAT, to accommodate for changes in the Facility as the portfolio of activities consolidates to reflect the evolving needs for performance-related information.

The primary intended users of this document are as follows:

- **KIAT Performance and Communications Unit**, for whom it will serve as a general reference for the operationalisation, implementation, and ongoing refinement of the KIAT MEL/P system.
- **KIAT management** (Facility Director, Deputy Directors, and Managers) and the **DFAT Infrastructure team**, for whom it will serve as the basis of agreement about how information on KIAT's performance should be compiled, analysed, and used, as well as the basis for resource allocations related to the implementation of the KIAT M&E system.

As relevant, this document may also serve as a reference for representatives from GOI, KIAT implementation teams, and/or KIAT subcontractors and consultants.

## 1.3 Structure of this Document

Following this introductory section, Section 2 describes the overall scope, purpose, and principles for monitoring, evaluation, learning and performance in KIAT, including by describing the various target users of information. Section 3 describes several key aspects of KIAT which form the basis for the overall approach to MEL/P described in subsequent sections. Section 4 presents the overall KIAT MEL/P Framework, based on the Performance Perspectives and Elements from the DFAT Facilities PAF as well as 8 Key Evaluation Questions for KIAT Phase 2. Section 5 lays out the approach to the implementation of Activity-level MEL/P processes, while Section 6 presents a general approach to Facility-level MEL/P. This is followed by general guidance on the management and communication of performance information in Section 7, and then management of the MEL/P system in Section 8. Several annexes provide information on (1) anticipated information needs of key stakeholders, (2) the 'performance expectations' for KIAT against each Performance Perspective and Element in the DFAT Facilities PAF, (3) a list of Facility-level

<sup>7</sup> This document does not describe MEL plans for specific KIAT activities, which will be developed and updated as relevant in line with this overall MEL/P Strategy.

performance indicators, (4) the list of templates and guidance for Activity-level MEL/P, (5) an annual workplan for Facility-level MEL/P for FY 2022/23, and (6) a list of risks to the successful implementation of MEL/P in KIAT.

## 2. Scope, Purpose and Principles for KIAT MEL/P

### 2.1 Scope

This MEL/P Strategy focuses on MEL and Performance of the KIAT Facility and KIAT Activities, in line with 4 key dimensions of facility performance based on the DFAT Facilities PAF. This section briefly explains the different components of MEL/P in KIAT, including both in terms of the 'level' of focus (whether at the Activity level, Activity Stream level, or Facility level), and in terms of their purpose and frequency.

In the context of KIAT, **monitoring** is defined as an ongoing or repeated process to collect, analyse, and communicate data related to progress and performance. Monitoring is largely focused on describing 'what' is happening and is oriented toward regularly providing information that can be used to make tactical or operational adjustments to continuously improve.

**Evaluation** is distinct from monitoring in that it involves judgment about merit or worth ('evaluative judgment'), and generally occurs at particular points in time rather than on an ongoing basis. In the case of KIAT, evaluation is considered to cover both internal evaluative judgment as well as the conduct of specific reviews or evaluation studies. Different from monitoring, evaluation focuses on answering the question 'so what?'.

**Learning** is considered to be a structured process to reflect on and apply lessons that have been identified through experience as well as based on the results of both monitoring and evaluation. As such, learning involves both the synthesis of various forms of experiential and empirical information, as well as a forward looking process of applying lessons. Learning focuses on identifying 'what was different from our expectations, and why?', as well as 'now what?'.

In the context of this document and KIAT more generally, **performance** is interpreted to comprise a more holistic approach to:

- Setting expectations
- Tracking progress toward those expectations
- Assessing, reflecting on, and reporting whether those expectations have been met, including why not
- Applying reflections to inform future expectations and plans to meet those expectations

Performance therefore incorporates and builds on monitoring, evaluation, and learning processes. Critically, performance is considered to be an iterative process that is implemented over various cycles, whereby the results and reflections from one cycle inform future cycles. This enables a structured approach to continuous improvement of performance over time.

This MEL/P Strategy describes MEL and Performance at 2 different levels: the Activity level and the Facility level, with the "Activity Stream" level acting as a bridge between them.

As described further in Section 3.3 below, KIAT is delivered through Activities that work across priority areas within the broader infrastructure sector. At the **Activity level**, MEL/P must reflect the overall design of each Activity and be proportional to the size and strategic nature of that Activity. Activity-level MEL/P primarily involves:

- Agreeing the MEL design and approaches as part of the larger process of Activity design and inception,
- Compiling and providing information or feedback on agreed-upon aspects of that Activity as agreed in the MEL design,
- Assessing the achievements of that particular Activity against its expected outcomes and its contribution to KIAT's EOFOs and identifying the particular lessons to improve future implementation both that Activity and other relevant Activities in the future.

As is described further in Section 3.4 below, Activity Streams are groupings of activities that act as an organising construct for KIAT activities working on different areas (or sub-sectors) of infrastructure. "Engagement Strategies" initially developed in 2022 provide summaries of KIAT's strategies and approaches for working in seven different Activity Streams,<sup>8</sup> including the definition of "Headline Results" which KIAT aims to realise by the conclusion of the

<sup>8</sup> An eighth Activity Stream, GEDSI, is covered within the KIAT GEDSI Strategy. The ninth Activity Stream covers "Immediate and Emerging Issues" and is intended to facilitate other responsive or exploratory work and does not have a guiding strategy.

program in 2026. MEL/P at the **Activity Stream level** will focus primarily on compiling and synthesising Activity-level information related to progress toward these Headline Results, and as the basis for annual updates to the Engagement Strategies.

At the **Facility level**, MEL/P involves compiling and providing information and feedback on key aspects of KIAT implementation. This includes synthesising results and lessons from across various Activities and assessing the overall performance of the Facility and its work across agreed dimensions of performance (see Sections 4 and 6).

Related to the Activity, Activity Stream, and Facility distinction, it is important to note that **KIAT MEL/P is nested**, in that information generated through various MEL/P processes at the Activity level forms the basis for MEL/P at the Activity Stream and Facility levels. MEL/P at the Activity Stream and Facility levels typically involves the aggregation and/or synthesis of Activity-level information.

## 2.2 Purpose

MEL/P in KIAT will be conducted for 3 purposes:

- First, to inform decision-making regarding KIAT implementation at both the strategic and operational levels (by KIAT management, DFAT, and the KIAT Management Committee and KIAT Technical Committees);
- Second, as a basis for accountability reporting to DFAT and GOI; and
- Third, to generate information that forms part of a broader knowledge base for wider audiences and/or future reference – particularly as an evidence base for policy or decision-making related to the adoption or adaptation of KIAT programs or approaches by GOI.

Of these 3 purposes, the primary focus of KIAT MEL/P efforts should be to inform effective decision-making and to meet DFAT's accountability requirements. The generation of information relevant to broader audiences – while important – should be considered secondary.

The main purposes of KIAT MEL/P can be seen more clearly when defining the various information needs of key KIAT stakeholders. These information needs – which must be met through the implementation of the KIAT MEL/P Strategy – are presented briefly below, and in more detail in Annex 1.

1. **KIAT Management** needs:
  - a. Information about Facility-level progress against KIAT's targeted outcomes (including "Headline Results" from Engagement Strategies) and particularly successful or problematic activities, for the purposes of decision-making; structured and exception reporting to DFAT and the KIAT Management Committee and Technical Committees; and as a basis for strategic reflection, ongoing learning, and revisions to KIAT's guiding strategies.
  - b. Information about the status and main results of individual activities, for the purposes of decision-making about new and ongoing activities, ongoing learning about what works and what does not, and to respond to requests for information from DFAT.
2. **KIAT Management Committee (MC) and Technical Committees (TCs)** need:
  - a. Information about high level progress against KIAT outcomes, the general composition of the KIAT portfolio, and key issues related to Facility or Activity performance that require the Management Committee's attention. Such information is needed as a basis for the provision of strategic guidance to KIAT management, for de-bottlenecking support, and as the basis for informing approval of KIAT plans and resource allocations.
3. **DFAT Infrastructure Team, KIAT Management, the KIAT Management Committee, and key GOI Counterparts** need:
  - a. Information about high-risk activities or activities which otherwise require management attention, for the purposes of taking informed action as necessary (e.g. to address risks, remove bottlenecks, or follow up on previous commitments with other parties).



- b. Information about the successes and challenges of various new approaches and demonstration projects supported by KIAT, as the basis for further consideration of if, and how, such approaches or projects can be taken over by GOI and/or applied more broadly.
- 4. **DFAT infrastructure team** needs:
  - a. Information about KIAT achievements related to the DFAT Indonesia Performance Assessment Framework (PAF) indicators, to enable completion of PAF reporting.
  - b. Information about KIAT's relevance, effectiveness, efficiency, gender equality and disability inclusion, and risk management and safeguards, for the purposes of preparing Investment Monitoring Reports (IMR) on an annual basis.
  - c. Information about KIAT's performance as a Facility including as reported in standardized Facility Efficiency indicators, as the basis for reporting in line with the DFAT Facilities PAF.
  - d. Additional information (beyond relevance, effectiveness, efficiency, gender equality and disability inclusion, and risk management and safeguards) about lessons from KIAT implementation as well as KIAT's relevance, monitoring and evaluation, and sustainability, for the purposes of preparing the KIAT Final Investment Monitoring Report (FIMR) following the completion of KIAT.
  - e. Information about KIAT's results, successes, and challenges for the purposes of preparing annual project reports and public diplomacy efforts, for coordination with other development partners and other relevant DFAT programs, and as input into the design of future programming in the infrastructure sector.
- 5. **KIAT finance team and GOI partner agencies** need:
  - a. Information about activity completion and key products provided to GOI for the purposes of asset handover (BAST) reporting.

## 2.3 Principles for MEL/P

The design and implementation of MEL and Performance for KIAT should reflect the following overarching principles:

1. MEL/P for KIAT should be **focused on producing relevant, useful, accessible, and timely information that meets the needs of intended users**. The success of KIAT MEL/P should be seen in terms of its ability to provide the information described in the Purpose section above at the appropriate times and in accessible formats, to maximise the uptake and use of such information. Mechanisms must be in place to facilitate active interaction and two-way communication between M&E and the intended users, including at the strategic level.
2. MEL/P for KIAT must be **sufficiently flexible** to be able to accommodate (a) ongoing changes in the strategy and direction of the Facility and (b) emerging needs for performance-related information. MEL/P should not be excessively rigid, should have built-in check points to enable it to adapt over time, and should be reviewed regularly both within the Performance team and with KIAT management.
3. Given the diversity of KIAT activities and outcomes and the range of effort and resources to implement them, MEL/P for KIAT should be **proportional**. While maintaining minimum standards across the range of KIAT activities, relatively greater resources and effort should be applied for MEL/P for those initiatives which are considered more strategic, which have larger budget allocations, which are considered to be high risk, or which otherwise are considered likely to benefit from enhanced focus on MEL/P.
4. MEL/P design and implementation should be **realistic**, in the sense that it acknowledges (a) different levels of the capacity and interest of KIAT staff, subcontractors and external stakeholders to engage with performance monitoring, evaluation, and learning processes and results, (b) that there are limits to KIAT's influence over subcontractors and especially over external stakeholders related to MEL/P, and that (c) good quality MEL/P requires adequate planning and resourcing. It is important to ensure that the approach to

KIAT MEL/P is sufficiently operational, reasonably resourced/costed, and that KIAT can provide additional guidance or support where required.

5. Where appropriate and feasible, KIAT MEL/P will incorporate **multiple lines and forms of evidence** about KIAT performance, including from information sources outside of KIAT. Where feasible, KIAT will work directly with partner MEL/P systems to strengthen these systems and increase sustainability, including to consider the (Activity-level) resourcing implications for engaging with these systems. This is particularly true for KIAT activities where KIAT is providing technical assistance to GOI counterparts to implement or improve their own programs.
6. MEL/P for KIAT should **ensure appropriate consideration of gender equality, disability, and social inclusion**. This means ensuring that there are links to the KIAT GEDSI strategy, including that relevant data is disaggregated by sex and disability, and that there are dedicated efforts to collect and analyse information related to the participation of women and people with disability within KIAT-supported activities, and the extent to which they benefit from KIAT-supported activities.
7. MEL/P for KIAT should **ensure ethical practice**. The implementation of KIAT MEL/P should respect the rights, privacy, dignity and entitlements of all stakeholders and of those affected by and contributing to the MEL/P and should align with internationally acknowledged standards on evaluation practice.

### 3. About KIAT Performance

This section briefly presents several key aspects of KIAT Performance which form the basis for the overall approach to MEL/P described in subsequent sections. It covers the following:

1. an introduction to the performance 'dimensions' and 'elements' against which KIAT's overall performance is framed (as per DFAT Facilities PAF Guidance),
2. KIAT's overall expected development results (expressed as 4 End of Facility Outcomes),
3. KIAT's nature as a portfolio of Activities that are designed and implemented over the life of the Facility,
4. the existence of various strategies which further elaborate KIAT's programmatic approaches and expected results, and
5. a conceptual 'Facility Logic' that presents KIAT's various pathways to achieving its EOFOs.

#### 3.1 Performance Dimensions and Elements as per the DFAT Facilities PAF

As per the KIAT Design Document, KIAT is a "flexible and responsive facility, which nevertheless aims to have a coherent set of longer-term programmatic investments at its core." As a facility, KIAT's performance can be understood to comprise 4 different but inter-related perspectives, each of which is considered critical to KIAT's overall success. These 4 perspectives, and the performance 'elements' which sit within each perspective, are presented in Figure 2. This represents the overarching conceptual framework for KIAT's performance.

Figure 2: Overall Framing of KIAT Performance

Performance Dimensions	Performance Elements
Development Results	Progress to End of Facility Outcomes (EFO)
	Progress to Key Policy Priorities
	Extent of resources leveraged
Stakeholders and Partnerships	Engagement and collaborations
	Communications
	Governance
Operations	Leadership and teams
	Delivery management
	Financial management
Learning and Adapting	Flexible and adaptive
	Coherent/joined-up approach
	Continuous improvement

Source: DFAT Guidance Note: Performance Assessment Framework for Facilities (Sep 2020).

### 3.2 KIAT's End of Facility Outcomes

KIAT has 4 agreed EOFOs<sup>9</sup> which describe the *general types* of development results KIAT expects to help realise by the conclusion of the facility, as a means of contributing to **KIAT's overall goal of "sustainable and inclusive economic growth through improved access to infrastructure for all people"**. These EOFOs act as boundaries for the scope of KIAT support, since all KIAT Activities are expected to contribute to one or more EOFOs. KIAT's 4 EOFOs are illustrated in Figure 1 above, and are elaborated further as follows:

**EOFO #1: An improved policy and regulatory framework for infrastructure development**, especially related to priority issues around infrastructure financing, funding, project identification/ prioritisation/selection, project preparation, and project delivery, as well as the effective consideration of gender and social inclusion issues and climate change in all of those. The 'policy and regulatory framework' is considered to extend beyond the development of formal policies and regulations, to include issues around the quality of regulations, coherence between policies, coordination between institutions on policy issues, and clarity around authority, roles and responsibilities in policy-making.

**EOFO #2: High quality projects are prepared and financed**, which effectively means that projects selected as targets for KIAT support move into the delivery phase. This outcome is also considered to potentially include decisions about which projects should *not* go forward, for example if certain projects are deemed unfeasible and unrealistic for delivery and therefore should be reconsidered.

**EOFO #3: GOI delivers, manages, and maintains high quality infrastructure** which is interpreted to cover both the effects of systemic changes in institutional capacity and incentives, as well as the adoption of specific improved mechanisms for delivery, management, and maintenance. In line with KIAT's sectoral focus, this outcome area focuses primarily on water, sanitation, and roads investments.

**EOFO #4: Infrastructure policy, design and delivery is more inclusive for women and people with disabilities** which is interpreted to cover both 'upstream' changes at the policy level and 'downstream' changes at the programming level. 'Upstream' elements include changes in central and local government efforts to generate and use data and evidence to inform and continuously improve policy and policy guidance, at central and local levels, for gender responsive and inclusive infrastructure. 'Downstream' elements include not only changes among local governments to better deliver infrastructure projects that involve and respond to community needs and feedback, but also the strengthened capacity, skills and confidence of communities, particularly women and people with disabilities, to effectively engage in and influence infrastructure development processes.

### 3.3 KIAT as a Portfolio of Activities

As a Facility, KIAT is implemented through a flexible and responsive programming mechanism, where various initiatives (termed "Activities") are planned, proposed, agreed, contracted, and implemented in line with established governance mechanisms and agreed ways of working.<sup>10</sup> KIAT can therefore be understood as a portfolio of Activities that evolves over time in response to the agreed priorities of GOI and GOA, emerging requests and opportunities, and learning from previous experience.

KIAT Activities vary in size, scope, and duration. The majority of KIAT Activities are delivered through subcontracts, although other delivery modalities (e.g., teams of individually contracted advisers, or grants) may also be used.

All Activities undertaken by KIAT undergo a structured approach to Activity development, including:

- Activity request, review and endorsement by KIAT Technical Committees
- The development of an Activity Concept Note (ACN), which is subject to approval by DFAT
- The development of more detailed design documents which form the basis for delivery of the Activity. The nature of these design documents depends upon the size and delivery modality of the Activity, but may

<sup>9</sup> EOFOs 1, 2, and 3 are also described in more detail in section 3.3 of the Facility Design Document. EOFO 4 is a subsequent addition and is further described in the KIAT GEDSI Strategy (2022).

<sup>10</sup> These were established under KIAT Phase 1 and are described in the KIAT Standard Operating Procedures and KIAT Operations Manual.

comprise Activity Design Documents (ADDs), Descriptions of Service (DOS), and/or Terms of Reference (ToR).<sup>11</sup>

This structured process of Activity development provides the basis for defining and agreeing Activity-level approaches to MEL and Performance, as described below in Section 5. All Activities have one or more agreed “Activity Outcomes” which represent the more specific outcome-level changes the Activity is expected to help realise.

### 3.4 KIAT Activity Streams, Cross-Cutting Issues and Strategies

To provide further structure to the overall portfolio of KIAT activities, a series of 9 KIAT Activity Streams were agreed during KIAT Phase 1 and confirmed for Phase 2. Activity Streams are logical collections of existing and new activities, which provide an organising construct for different groups of KIAT activities working on different areas of infrastructure.

The nine KIAT Activity Streams are as follows:

1. Urban Water Supply
2. Urban Sanitation
3. Urban Solid Waste Management
4. National Road Network Development and Management
5. Sub-National Road Network Development and Maintenance
6. Urban Mobility
7. Infrastructure Financing and Funding (IF&F)
8. Gender Equality, Disability, and Social Inclusion
9. Immediate and Emerging Issues

Urbanisation and institutional strengthening are binding themes that inform the consideration and design of Activities across all KIAT Activity Streams.

In addition, KIAT focuses on 3 main “cross-cutting issues”<sup>12</sup>:

1. Gender Equality, Disability, and Social Inclusion
2. Climate Change
3. Private Participation in Infrastructure (PPI)

Each of these cross-cutting strategies follows a ‘twin-track’ approach, with both ‘targeted’ (i.e., stand-alone) Activities that have an explicit focus on delivering outcomes related to that issue,<sup>13</sup> and efforts to ‘mainstream’ relevant consideration of the issue within other KIAT Activities, regardless of the focus of those Activities. For ‘mainstreamed’ activities, cross-cutting efforts strengthen the delivery and quality of a KIAT Activity, even though the cross-cutting issue is not the primary focus of the Activity.

The KIAT IF&F Strategy (2021), GEDSI Strategy (2022), and Infrastructure and Climate Change Strategy (2022) provide further guidance on KIAT’s efforts related to its 3 cross-cutting issues.

To further clarify KIAT’s priorities and core approaches, in 2022 KIAT developed “Engagement Strategies” for the transport, water and sanitation, and IF&F directorates. The Engagement Strategies describe overall priorities for engagement in each sector, key entry points for the 3 cross-cutting issues, and a series of “Headline Results to 2026” that are targeted under each Activity Stream. These “Headline Results” describe key outcome-level changes that

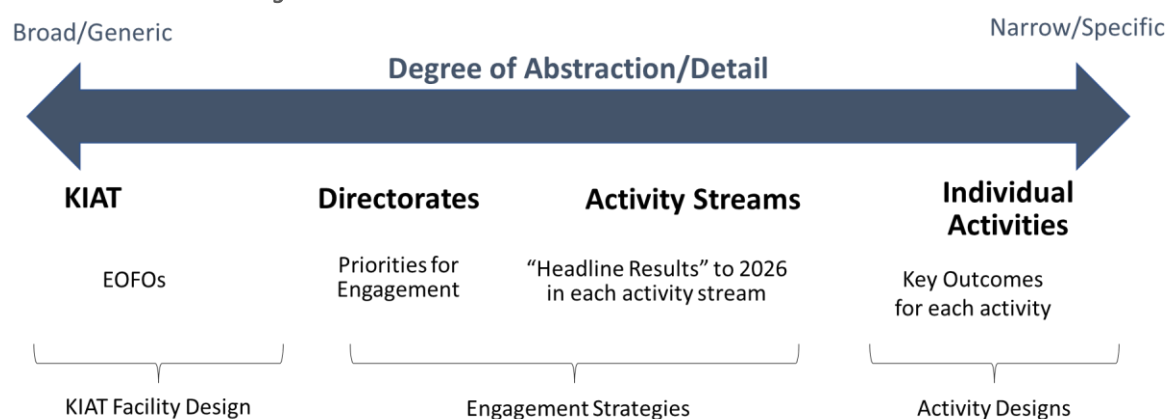
<sup>11</sup> Activity Design Documents are typically developed for large-scale activities. Descriptions of Service are developed for activities delivered through subcontracts. Terms of Reference are developed for activities delivered by one or more individual advisors contracted directly by KIAT.

<sup>12</sup> For the purposes of the DFAT Facilities PAF, ‘cross-cutting issues’ are considered to be equivalent to ‘policy priorities.’ See also Section 4.1 below.

<sup>13</sup> Targeted activities for GEDSI and PPI are included in the GEDSI and Infrastructure Funding and Financing activity streams, respectively. Based on finalisation of the KIAT Climate Change strategy and subject to agreement between GOI and GOA, an additional activity stream for targeted Climate Change activities may be added under KIAT Phase 2.

KIAT will help to realise through the implementation of one or more Activities within each Activity Stream. “Headline Results” are not “intermediate outcomes”: they are not necessarily pre-conditions for the achievement of KIAT EOFOs and are not necessarily expected to be achieved *before* the end of the program. Rather, they are aspirational targets that serve as a key reference point for the definition of Activity Outcomes and/or Progress Markers for activities within each activity stream. In this way, Engagement Strategies and “Headline Results” therefore help to explain the “missing middle” that links the broad KIAT End of Facility Outcomes with the specific outcomes of individual KIAT Activities (see Figure 3).

Figure 3: Definitions of KIAT “Success” at Various Levels of Abstraction



As part of its approach to learning and adaptation, KIAT has committed to reviewing and updating the Engagement Strategies annually over the course of KIAT Phase 2. It is expected that the “Headline Results” will evolve over time in line with KIAT’s strategic approaches, and will come into increasingly sharper focus with each annual review.

### 3.5 KIAT Facility Logic

As a Facility, KIAT does not have a detailed ‘program logic’ in the same way as a typical, fully-programmed investment.<sup>14</sup> Individual KIAT Activities are developed and agreed over time, and provide various forms of support and technical assistance to counterparts. Each Activity contributes to one or more KIAT EOFOs, and each Activity has its own ‘logic’, i.e., the causal sequence of how it is expected to help realise its targeted outcomes.

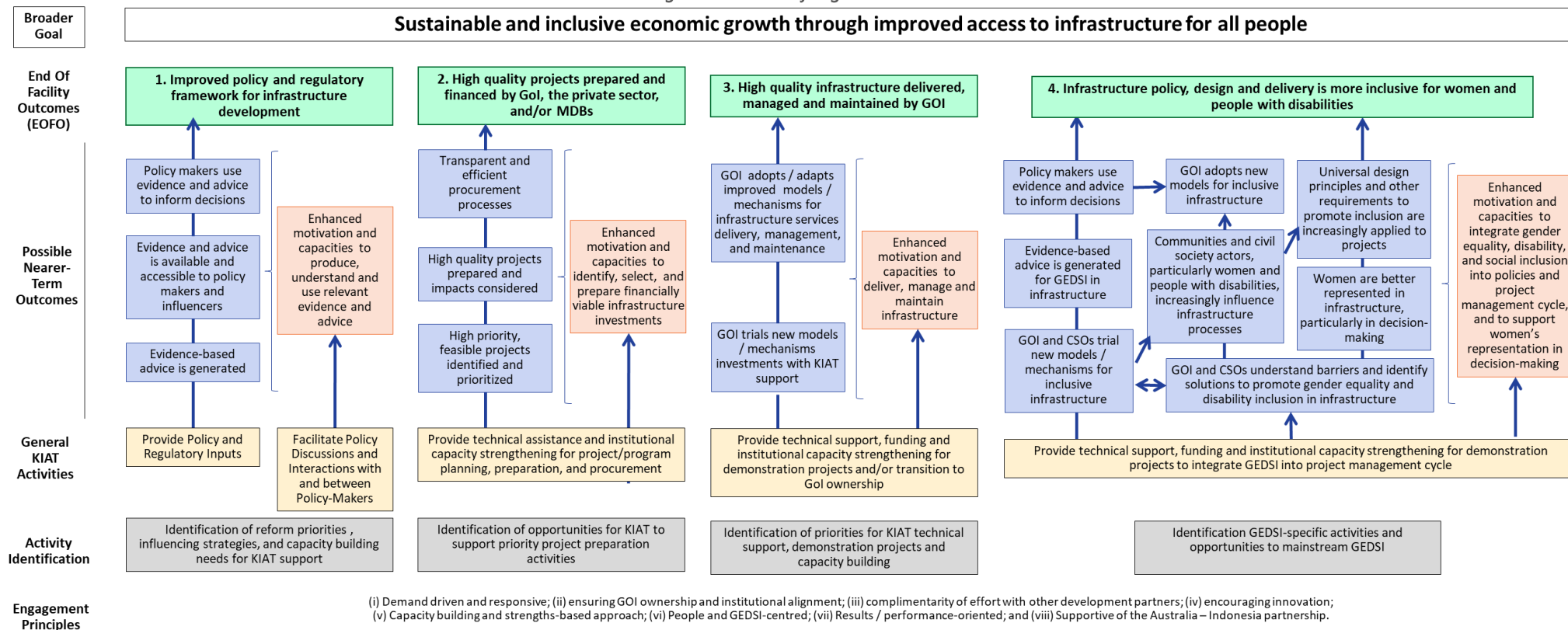
Nonetheless, KIAT has developed a general Facility Logic Model which acts as (i) a reference both for communicating the key ‘pathways’ through which KIAT contributes to the achievement of its End of Facility Outcomes, (ii) a reference for consideration when selecting or prioritising Activities, and (iii) as a general conceptual framework against which the designs of individual Activities can be considered and expected outcomes can be identified. This Facility Logic Model includes a series of possible nearer-term outcomes which describe the pathways through which KIAT Activities may contribute to the achievement of the EOFOs. The KIAT Facility Logic Model is illustrated graphically in Figure 4.

In addition to the assumed causal pathways from the Facility Logic Model, KIAT’s ability to contribute to its desired EOFOs depends on several broad assumptions holding true, including:

- Continued GOI commitment to policy and regulatory reform in relation to improving the quantity and quality of inclusive infrastructure delivery
- Increasing capacity, and improving policy, systems and procedures will lead to behavioural change within key institutions and among individuals
- KIAT is able to attract and retain high-quality management, technical staff, and contractors and advisers that meets stakeholder needs
- DFAT provides adequate and timely funding for KIAT, is adequately resourced to lead the GOA / GOI high level policy dialogue on infrastructure development issues, and appropriately allocates risk, and
- GOA and GOI remain committed to bilateral cooperation.

<sup>14</sup> DFAT Guidance Note on Facility Investments (July 2019)

Figure 4: KIAT Facility Logic Model



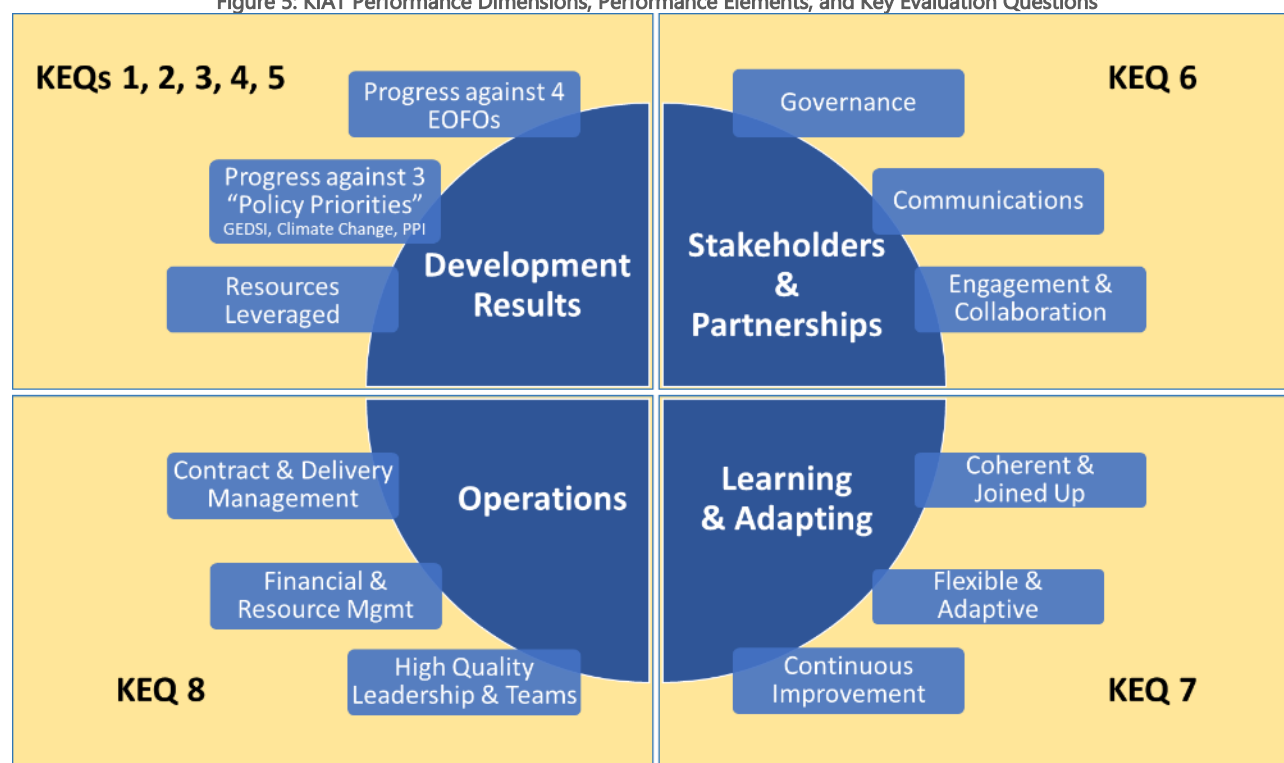


## 4. Overall KIAT MEL and Performance Framework

This section elaborates the overall Framework for MEL and Performance in KIAT against the 4 dimensions of facility performance as introduced in Section 3.1 above. KIAT's Key Evaluation Questions are defined against these dimensions as indicated in Figure 5. As seen in the number and list of KEQs, the dominant focus of KIAT MEL/P is on the Development Results perspective. This reflects the greater effort that considered necessary to monitor and assess progress against desired results at the Activity, Activity Stream, and Facility levels.

The Key Evaluation Questions and other forms of performance information that guide the assessment of each of the 4 dimensions are further elaborated below. The full set of performance expectations against each dimension and element and a list of Facility-level indicators are elaborated in Annex 2 and 3, respectively.

Figure 5: KIAT Performance Dimensions, Performance Elements, and Key Evaluation Questions



### 4.1 Development Results Perspective

The Development Results perspective comprises 3 performance elements:

- KIAT's progress against its 4 EOFs, as described in Section 3.1 above
- KIAT's progress against its 3 main "Policy Priorities"<sup>15</sup> of GEDSI, Climate Change, and PPI (see Section 3.4 above)
- The resources leveraged by KIAT, which represent additional amounts allocated or co-invested by GOI or other funders (e.g. MDBs)

The full set of proposed performance expectations for the Development Results perspective act as a guide for assessment against each of these elements. These are provided in Annex 2A.

In addition, 5 key evaluation questions frame KIAT's performance in relation to the Development Results perspective:

**KEQ1: (EOFO1): To what extent has KIAT made significant contributions to an improved policy and regulatory framework conducive to infrastructure development?**

<sup>15</sup> "Policy Priorities" is the term used within DFAT guidance. KIAT refers to these as "Cross-cutting issues". For the purposes of this document, these terms are used interchangeably.

KEQ2: (EOFO2) To what extent has KIAT made significant contributions to the preparation of projects for financing by GOI, Multilateral Development Banks (MDBs) or the private sector?

KEQ3: (EOFO3) To what extent has KIAT made significant contributions to the quality of infrastructure project delivery, management and maintenance by GOI?

KEQ4: (EOFO4) To what extent has KIAT made significant contributions to more inclusive infrastructure policies, preparation and delivery, particularly for women and people with disabilities?

KEQ5: (Sustainability) To what extent has GOI adopted or is GOI likely to adopt core approaches supported by KIAT?

KEQs 1, 2, 3, and 4 require KIAT to summarise its key contributions against each of its 4 EOFOs, as well as to document and elaborate why those contributions should be considered *significant*, i.e. how and why KIAT's contributions will or are likely to make a substantial difference to infrastructure development in Indonesia in line with KIAT's overarching goal of "sustainable and inclusive economic growth through improved access to infrastructure for all people." KIAT's contributions can potentially be significant for different reasons, as described in the text box on "Defining the 'Significance' of KIAT's Support'.

KEQ 5 covers the sustainability of KIAT support beyond the life of the Facility, particularly in terms of the adoption of various approaches developed, tested, and demonstrated with support from KIAT. Under this question, "adoption" is considered to cover both direct adoption of approaches as developed and supported by KIAT, as well as 'adaptation' of approaches, i.e. modification to enable their implementation of GOI and/or to incorporate key lessons learned or areas for improvement.

KEQ5 has some overlaps with KEQs 1-4, however, it is considered helpful as a means of focusing on the transition to GOI ownership and implementation, including as the basis for discussions with GOI, to inform decisions about KIAT support and future DFAT programming, and to inform the preparation of the KIAT FIMR.

#### Defining the "Significance" of KIAT's Support

KIAT's contributions to changes in infrastructure policy, project preparation, project delivery, management and maintenance, and the inclusivity of all of these may be considered "significant" for a number of different reasons. Depending on the particular nature of the results to which KIAT has contributed, significance may be interpreted to include one or more of the following:

1. The fact that significant resources have been leveraged or influenced, e.g. in terms of funding by GOI or MDBs
2. The scale or breadth of the change, in terms of geographic spread and/or number of institutions or infrastructure projects impacted
3. The 'size' of the change, in terms of difference compared to previous policy or practice
4. The enduring nature of the change, in terms of whether it is likely to continue to be applied over an extended period in the future
5. The importance of the change in terms of one or more of KIAT's cross-cutting issues.

To provide a structured basis for the assessment of performance and to facilitate the aggregation of information from activity-level to facility-level, KIAT will report on a limited number of Facility-level performance indicators related to Development Results. This limited set of indicators cover progress against each of the EOFOs/KEQs, as well as each cross-cutting issue, and the total amount of resources leveraged by KIAT. They also include indicators required for purposes of reporting against the Indonesia Country PAF, noting that this set of indicators is expected to be further updated based on 2023 guidance from DFAT expected in November 2022.<sup>16</sup> The full set of indicators under the Development Results perspective are described in Annex 3A.

#### Information Sources

As described in Section 3.3 above, KIAT works towards its development results through the ongoing design and implementation of various Activities. This underscores the *nested* nature of KIAT MEL/P: understanding progress against KIATs development results requires understanding the extent to which KIAT Activities are progressing toward their individual expected results, and then aggregating and synthesising such information up to the Facility level.

<sup>16</sup> All Indonesia Country PAF indicators will be reviewed on an annual basis in line with updated guidance from DFAT. Targets for these indicators will be set on an annual basis as part of a formal DFAT-led annual PAF reporting and target setting process. These targets will be agreed between KIAT management, the KIAT Management Committee, and DFAT. Other indicators may not have explicitly set targets but are instead used for aggregate reporting and as a basis for discussions of KIAT performance and strategy.

The information used as the basis for assessing KIAT's performance under the 'Development Results' perspective and answering KEQs 1-5 will be sourced primarily at the Activity-level, in 2 main ways:

First, through Activity-level monitoring and reporting: in line with Activity MEL frameworks developed during the design and inception of all Activities, each KIAT Activity will be required to report on (a) progress toward Activity Outcomes, (b) progress toward policy priorities, (c) resources leveraged, and (d) any relevant KIAT-level indicators. Activity-level reporting will occur primarily through 6 monthly progress reports and Activity Completion Reports. See Section 5 below for more information on Activity-level MEL.

Second, through the implementation of the KIAT Performance System, which involves structured 6 monthly cycles of reviewing Activity-level progress towards Activity Outcomes.<sup>17</sup> As the basis for understanding and documenting Activity-level progress in a consistent manner, at the beginning of each 6 monthly performance period, all Activities are required to identify a limited number of Activity Progress Markers. Activity Progress Markers represent specific results targeted for the next 6 months that, if achieved, would indicate meaningful progress toward the achievement of Activity Outcomes. The status of Activity Progress markers is then assessed at the conclusion of each 6 monthly performance period, in line with the established processes of the KIAT Performance system.

For Activities with GEDSI, Climate Change, and PPI mainstreaming components, Progress Markers will be identified and then 'tagged' with the relevant cross-cutting issue in order to enable KIAT to easily identify Activity-level progress towards those policy priorities. Activity-level progress reporting and Activity Completion Reporting will also be required to include content on relevant cross-cutting issues (e.g. the implementation of GEDSI Action Plans), which will provide additional information as the basis for understanding and assessing overall progress across the Facility.<sup>18</sup>

As a further basis for assessing progress towards KIAT's Policy Priorities, under Phase 2 KIAT will introduce Facility-Level Progress Markers, which will be used to track the progress of key elements of KIAT's Facility-level strategies for GEDSI, Climate Change, and PPI. These progress markers will represent specific results or milestones targeted for the next 6 months that, if achieved, would indicate meaningful progress in the implementation of KIAT's core strategies for pursuing these Policy Priorities, beyond the results reflected in Activity-Level Progress Markers. For example, they may reflect KIAT's role in developing new targeted activities, clarifying or modifying mainstreaming strategies for new or existing Activities, in undertaking research or analytics, or in compiling and sharing results and learning across Activities or externally.

## 4.2 Stakeholders & Partnerships Perspective

The Stakeholders & Partnerships perspective comprises 3 performance elements:

- **Governance**, which includes KIAT Management Committee (MC) and Technical Committee (TC) mechanisms and the role of DFAT and key GOI stakeholders in budgetary and planning oversight, risk management, and de-bottlenecking
- **Communications**, which includes KIAT communications processes and products, and the relevance and usefulness of KIAT's communications to key DFAT and GOI audiences
- **Engagement & Collaboration**, which includes KIAT's role in facilitating DFAT engagement with GOI on relevant issues, as well as collaboration with GOI counterparts and engagement with other DFAT programs and donors as well as relevant Australian institutions

The full set of proposed performance expectations for the Stakeholders & Partnerships perspective are provided in Annex 2B. Considering the predominantly qualitative nature of these expectations, no structured indicators are currently proposed under the Stakeholders & Partnerships perspective; the Performance Expectations are considered sufficient as the basis for the assessment of each element. The need for additional structured indicators will be reviewed following annual performance review processes.

<sup>17</sup> Further information on the conceptualisation of Activity Performance in terms of Activity Outcomes and Progress Markers is available in the KIAT Performance System Overview and Guidelines, last updated in November 2021.

<sup>18</sup> For Targeted Activities focused on GEDSI, Climate Change, or PPI, progress toward and achievement of the Activity Outcomes of these Activities will serve to demonstrate progress toward the KIAT Policy Priorities. These Activities will follow the standard approach to progress reporting and Activity Completion Reporting, as well as the implementation of the KIAT Performance System.

In addition, to frame the reflection and documentation of KIAT's performance related to the 3 main elements described above, there is one key evaluation question related to the Stakeholders & Partnerships perspective:

**KEQ6: How effectively has KIAT engaged with stakeholders and partners and met their needs?**

#### Information Sources

The information used as the basis for assessing KIAT's performance under the 'Stakeholders & Partnerships' perspective and answering KEQ6 will come from the following main sources:

- Documentation from and about KIAT's main governance processes, i.e. Technical Committee and Management Committee meetings
- Documentation of public diplomacy and advocacy opportunities facilitated by KIAT Activities
- Documentation of KIAT's various communication products
- Documentation of KIAT's interaction with key stakeholders, including via a meeting log
- Feedback from DFAT and key GOI counterparts collected in advance of KIAT's annual 'health check' process
- A structured KIAT self-assessment, conducted as part of KIAT's annual 'health check' process

### 4.3 Operations Perspective

The Operations perspective comprises 3 performance elements:

- **Contract & Delivery Management**, which focuses on processes for activity design as well as the procurement, contracting, and contract management of KIAT's subcontractors & advisers
- **Financial & Resource Management**, which focuses on budgeting, forecasting, and financial reporting
- **High Quality Leadership & Teams**, which focuses on the strength of KIAT's management and senior advisers as well as various aspects of human resource management (HRM) within KIAT

The full set of proposed performance expectations for the Operations perspective act as a guide for assessment against each of these elements. These are provided in Annex 2C.

In addition, the reflection and documentation of KIAT's performance related to the 3 main elements described above is framed under one key evaluation question related to the Stakeholders & Partnerships perspective:

**KEQ7: How effectively and efficiently has KIAT managed and delivered key operations?**

Additionally, as part of the 'Operations' perspective on performance, KIAT will report against 14 standard Efficiency Indicators required under the DFAT Facilities PAF and intended as comparing operational performance across various DFAT facilities. These indicators are described in further detail in Annex 3B. The need for any additional structured indicators related to the Operations perspective will be reviewed on an annual basis following the annual performance review processes, particularly in reference to any identified priorities for improving the efficiency or effectiveness of facility operations.

#### Information Sources

The information used as the basis for assessing KIAT's performance under the Operations perspective and answering KEQ7 will come from a variety of sources managed by the KIAT operations and corporate team. These include:

- PERFORMS data, which will be used primarily as the basis for compiling the required Efficiency indicators described above
- Recruitment and procurement data (including on timeframes), which will form the basis for both reporting against standard indicators as well as additional analysis against performance expectations
- The results of the KIAT Partner Performance Assessment (PPA) as conducted by DFAT, as well as the Adviser Performance Assessments (APAs) for members of the KIAT Senior Management Team as approved by DFAT
- The results of Partner Performance Assessment (PPA) and Adviser Performance Assessment (APA) processes completed by KIAT for KIAT subcontractors and advisers
- Summaries of budgets and financial expenditure against budgets
- Data on KIAT human resources, including gender balance at various levels
- Structured feedback from DFAT in advance of KIAT's annual 'health check' process
- A structured KIAT self-assessment, conducted as part of KIAT's annual 'health check' process

## 4.4 Learning & Adapting Perspective

The Learning & Adapting perspective comprises 3 performance elements:

- **Coherent & Joined Up**, which focuses on the ways that KIAT (as a facility) is more than the 'sum of its Activities', particularly by providing relevant and useful support to individual Activities and facilitating cross-learning and strategic thinking on key themes
- **Flexible & Adaptive**, which includes the responsiveness of the facility as well as the extent to which key strategies and approaches are reviewed and updated regularly
- **Continuous Improvement**, which focuses on the implementation of structured review processes at the facility and activity levels, as well as the extent to which agreed recommendations are actioned

The full set of proposed performance expectations for the Learning & Adapting perspective are provided in Annex 2D. Considering the primarily qualitative nature of these expectations, they are considered sufficient as the basis for assessment, and no structured indicators are currently proposed for the Learning & Adapting perspective. The need for any additional structured indicators will be reviewed following annual performance review processes.

A final key evaluation question serves to reflect on and document KIAT's performance related to the Learning & Adapting perspective:

**KEQ8: How effectively has KIAT learned and improved over the course of implementation?**

### Information Sources

The information used as the basis for assessing KIAT's performance under the 'Learning & Adapting' perspective and answering KEQ8 will be sourced primarily from the following:

- Information about the implementation and results of facility- and activity-level performance processes
- Updates to key strategy documents
- A structured KIAT self-assessment, conducted as part of KIAT's annual 'health check' process

## 4.5 Assessing KIAT Performance

As described in Section 6.3 below, KIAT will annually assess its performance during the period January-March, including to feed into the DFAT IMR process and as input into work planning for the next year. Each performance element will be assessed against the ratings in Figure 6 using qualitative judgment, in line with DFAT Facilities PAF Guidance.

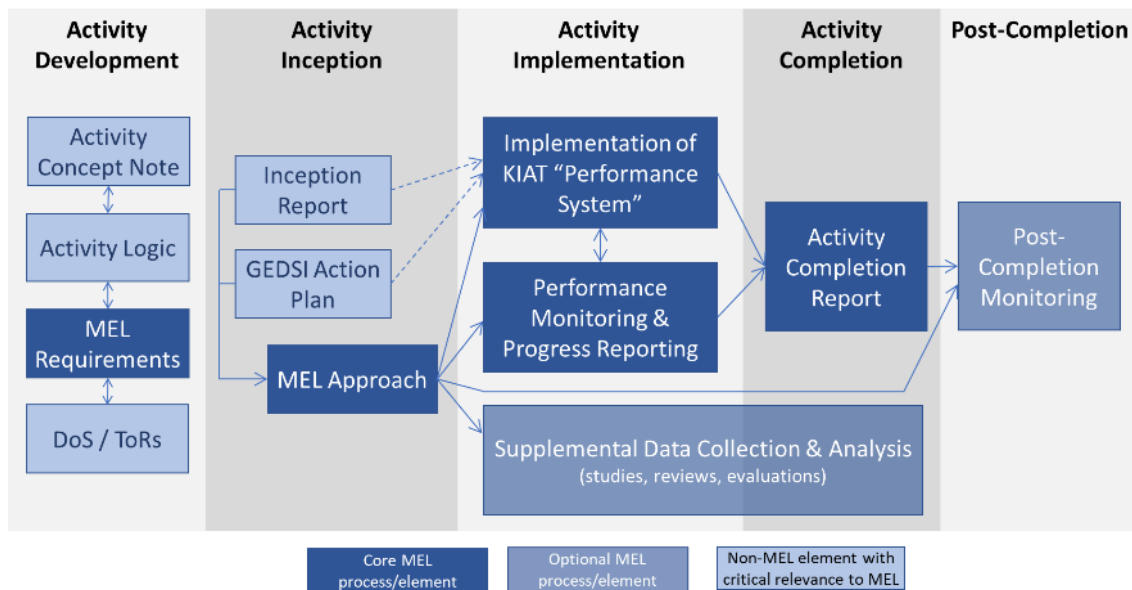
**Figure 6: Ratings for the Assessment of Performance Elements**

	Development Results	Stakeholders and Partnerships, Operations, and Learning and Adapting
<b>GOOD</b>	Progress is on track and prospects of achieving outcomes are good	Processes are working effectively and performance expectations are being met
<b>ADEQUATE</b>	Progress is largely on track but some risks require attention	Expectations are largely being met but a few shortcomings in performance require attention
<b>CHALLENGING</b>	Some risks to achievement require substantial management attention	Some shortcomings in performance require substantial management attention
<b>HIGHLY CHALLENGING</b>	Prospects of achievement are highly unlikely	Urgent management action is required to address significant shortcomings
<b>UNABLE TO RATE</b>	The expected results are insufficiently clear as the basis for judgment, or there is insufficient information available to assess performance	Expectations are insufficiently clear as the basis for judgment, or there is insufficient information available to assess performance

## 5. Implementing Activity-Level MEL/P

As described above, KIAT MEL/P is 'nested': individual Activity-level MEL and Performance forms the basis for higher level MEL/P at the Activity Stream and Facility levels. Activity-level MEL/P follows the 'lifecycle' of an Activity over several stages: Activity Development, Activity Inception, Activity Implementation, and Activity Completion. In some cases, KIAT may wish to follow up on the results of the Activity *after* the completion of implementation; in these cases, a fifth stage, Post Completion, is relevant. Key aspects relevant to MEL/P over the life of an Activity are included in Figure 7 below.

Figure 7: MEL/P and MEL/P-Relevant Processes/Elements Over the Life of an Activity



The main aspects of Activity-Level MEL/P are further discussed for each stage below, along with how KIAT (through the KIAT Performance Unit) ensures that Activity-level MEL/P meets KIAT's information needs and expectations for quality.

### 5.1 Consideration of MEL/P as Part of Activity Development

This stage comprises the scoping, concept development, detailed design, procurement, and contracting processes for the Activity undertaken by KIAT in close coordination with key GOI counterparts and DFAT. This stage lays the foundations for MEL/P of the Activity, including by:

- Defining and clarifying the rationale and main expected results of the Activity (i.e., the "Activity Outcomes"), including how it contributes to KIAT's EOFOs and any "Headline Results" as defined in KIAT's Engagement Strategies
- Identifying any relevant entry points or expected contributions related to KIAT cross-cutting strategies concerning GEDSI, Climate Change mitigation and/or adaptation, and PPI
- Identifying the main tasks to be undertaken as part of implementation of the Activity, as well as defining how they link to the expected results (i.e., the 'Activity logic')
- Identifying the main MEL requirements for the Activity (as elaborated in a Description of Services or similar document), including related to reporting requirements and MEL-related resourcing
- Identifying the modality for implementation, including whether MEL will be the responsibility of the implementing party (i.e. the subcontractor, grantee, or STA team) or led by KIAT<sup>19</sup>

<sup>19</sup> In most cases, Activity-level MEL will be the responsibility of the Activity implementer, with support and oversight from KIAT, however, where KIAT anticipates limitations in the implementer's capacity to design or implement core MEL processes in line with KIAT's expectations, or where more robust or arms-length MEL is considered necessary, KIAT may take responsibility for some or all MEL Activity-level processes.



To ensure sufficiently robust Activity designs and contractual documents as the basis for Activity-level MEL/P processes, during Activity Development the KIAT Performance Unit will work closely with KIAT Management, KIAT Technical Directorates, cross-cutting units/advisers, and the KIAT Operations Team to:

- Provide support and quality assurance for the development of Activity Concept Notes (ACNs) which form the basis for DFAT approval of Activities
- Provide support and quality assurance for the development of Descriptions of Services (DOSs) and/or Terms of Reference (ToRs) which form the basis for procurement and contracting of Activities
- Identify and elaborate the Activity Outcomes and 'logic' of the Activity
- Identify and agree the reporting requirements, including related to all relevant KIAT and DFAT indicators that the Activity implementer will be expected to report on
- Ensure that templates and guidance for ACNs and DOSs reflect good practice in terms of key content.

## 5.2 Activity Inception and MEL Design

This stage comprises the 'start-up' of Activity implementation, which typically includes the mobilisation of the Activity implementation team (and any additional MEL resources, where MEL is managed directly by KIAT) as well as the development of initial deliverables including an Inception Report and typically a GEDSI Action Plan (GAP). Critically, this phase also includes the elaboration of the overall MEL design for the activity.<sup>20</sup> The robustness of the MEL design should be proportional to the size and resourcing of the activity, but in general the MEL approach for the Activity is expected to cover at least:

1. An elaboration of the Activity Outcomes and 'Activity Logic', as the basis for MEL design
2. An approach to setting and reviewing 6-monthly performance targets, in line with the KIAT approach to managing Activity Performance
3. A limited number of key indicators used to document and communicate key aspects of implementation and/or results, including in line with standard DFAT and KIAT indicators (Annex 3)
4. Relevant aspects of GEDSI and/or Climate Change, in particular to ensure that all relevant data is disaggregated by male, female, men living with a disability, and women living with a disability
5. The core methods used to collect and analyse data
6. Supplementary studies or evaluations to be undertaken, if any
7. The schedule of all main MEL-related reports
8. An operational workplan for all MEL-related tasks, including resource requirements as relevant

To ensure fit-for-purpose, proportional, and quality MEL designs, during Activity Inception the KIAT Performance Unit will work closely with the Activity Manager and relevant cross-cutting units/advisors to:

- Provide clear introductory information and guidance to the Activity implementer on KIAT's MEL-related approaches and expectations
- Share and explain relevant reporting templates and methodological guidance, including in the form of tools and examples from other relevant Activities
- Ensure clarity of requirements in terms of reporting against Outcomes and KIAT and DFAT Indicators
- Provide reviews and quality assurance on Activity MEL Designs
- Identify any significant concerns or risks related to MEL which should inform KIAT's approach to managing the activity over the course of implementation

## 5.3 MEL/P During Activity Implementation

This stage comprises the entire process of implementing the activity, and the implementation of all MEL and performance processes which occur during implementation as specified in the MEL approach developed during Activity Inception (and updated as relevant over the life of the activity).

Activity-level MEL during implementation comprises 3 distinct elements:

1. Activity-level performance monitoring and structured reporting

<sup>20</sup> Depending on the size and nature of the Activity, the approach to MEL will either be integrated into the Inception Report or described in a standalone MEL Framework.



2. The implementation of the KIAT “Performance System”, particularly in terms of 6 monthly cycles of setting and reviewing progress towards Activity Outcomes (see the text box below, with additional information available in the KIAT Performance System Overview and Guidelines)
3. Any supplemental data collection and analysis over the course of implementation, whether in the form of reviews or evaluations (e.g., mid-term reviews or specific studies), field visits or interviews with Activity stakeholders

For Activity-level performance monitoring and structured reporting, the KIAT Performance Unit will work closely with the Activity Manager and relevant cross-cutting units/advisors to:

- Provide quality assurance of 6 -monthly progress reports and standardised indicator reporting to ensure these meet minimum expectations of quality and appropriately document the status of implementation, key results (particularly towards Activity Outcomes), and any relevant cross-cutting issues
- Review and compile information from standardised indicators to ensure it is appropriate as the basis for aggregation and reporting at the Facility level
- Share and explain relevant reporting templates and methodological guidance, including in the form of tools and examples from other relevant Activities
- Ensure clarity of requirements in terms of reporting against Outcomes and KIAT and DFAT Indicators
- Provide reviews and quality assurance on Activity MEL Designs
- Identify any significant concerns or risks related to MEL which should inform KIAT’s approach to managing the activity over the course of implementation

### About the KIAT Performance System

The KIAT "Performance System" has been introduced progressively from 2019 as a mechanism to provide KIAT and DFAT with regular, structured information about the extent to which all individual KIAT Activities are achieving (or are on track to achieve) their desired results, as the basis for strategic decision-making and de-bottlenecking. It is also intended to encourage regular, structured conversations between key stakeholders of individual KIAT Activities about their expectations related to Activity performance and about key issues arising over the course of implementation.

The fact that the core processes of the system are implemented iteratively over 6 monthly periods introduces both consistency (in terms of timeframes and progress) but also flexibility (in that the approach remains constant even as Activities are added or completed, and in that the definition of 'performance' for any Activity can adapt over time document and respond to changing circumstances and evolving strategies).

The KIAT Performance System is applied to all KIAT Activities with total budgets over AUD 80,000, starting when DFAT approves the Activity Concept Note and until the delivery of all implementation tasks are completed.

Core elements of the KIAT Performance System include:

- At the beginning of each 6 monthly Performance Period (i.e., in January-February and July-August), reviewing Activity Outcomes for relevance and clarity, and then agreeing a limited number of "Progress Markers" whose observation at the end of the period would key aspects of progress towards those Activity Outcomes
- At the conclusion of each 6 monthly Performance Period (i.e., in June-July and December-January), collaboratively (a) assessing the status of each Progress Marker and (b) discussing other significant results and challenges, as the basis for assessing overall progress toward Activity Outcomes
- Standardised ratings of the status of Progress Markers (Fully Achieved, Partially Achieved, Minimal Progress) and progress towards Activity Outcomes (Good, Adequate, Challenging, Highly Challenging)
- Structured facilitation and arms-length verification by the KIAT Performance Unit

The KIAT Performance System is reviewed and adjusted based on learning and reflection at the conclusion of every 6 monthly performance cycle. Key priorities for further iterative improvement to the design and implementation of the Performance System under KIAT Phase 2 include (a) alignment between Progress Markers, Activity Outcomes, and the "Headline Results" described in KIAT Engagement Strategies, (b) a gradual shift in focus from Progress Markers to the assessment of Activity Outcomes.

Further information on the KIAT Performance System is contained in the KIAT System Performance Guidelines, last updated in November 2021 and scheduled to be reviewed and further updated in November 2022.

While Activity performance monitoring and progress reporting is primarily managed by KIAT technical directorates and subcontractors, the implementation of the KIAT Performance System is managed by the KIAT Performance Unit. In implementing this system, the KIAT Performance Unit:

- Facilitates a structured and collaborative process of performance planning for all Activities, with input from the KIAT technical directorate, KIAT cross-cutting teams, the Activity implementer, and an arms-length reviewer, and final sign-off by the KIAT Deputy Director responsible for the Activity
- Works with the Activity Manager and Activity implementer to ensure the collection of relevant information and supporting documentation required as the basis for reviewing the performance of the Activity
- Facilitates a structured and collaborative process of performance reviews, which include self-assessment of progress by the KIAT technical directorate and validation by an arms-length reviewer
- Documents and compiles all results and supporting documentation
- Prepares a summary of Activity performance and key themes identified across Activities

Where Activity MEL Designs call for supplemental reviews or data collection, or where KIAT identifies a need for more robust or independent information, the KIAT Performance Unit will work closely with the Activity Manager and relevant cross-cutting units/advisors to:

- Identify needs and scope the exercise, including developing or quality assuring a terms of reference

- Participating in field visits or other forms of data collection (e.g., interviews with stakeholders), primarily as a form of quality assurance
- Provide reviews and quality assurance on reports and summary presentations
- Support the identification and summary of key information for consumption by KIAT stakeholders, e.g., DFAT or GOI counterparts

## 5.4 Activity Completion

This stage comprises the handover and close-out of Activities, including the development of Activity Completion Reports (ACRs), which are required for all Activities. Activity Completion Reports represent an important opportunity to document key summary information about the Activity, particularly in terms of:

- The achievement of Activity Outcomes and any other unanticipated outcomes
- Financial expenditure against expectations, and the causes of any significant deviations
- The potential for sustainability of results, including in terms of GOI adoption of key approaches developed or demonstrated over the course of Activity Implementation
- How cross-cutting issues were addressed within the context of the Activity, and any relevant results
- Key learnings from Activity implementation
- Possibilities for future engagement
- Summary contributions to KIAT or DFAT indicators identified as relevant for the activity.

Additionally, for high-profile Activities (particularly DFAT grants for which separate FIMRs are required to be prepared, i.e., the PRIM, PBG, and PCSP Activities), Activity Completion may also include an independent or arms-length End of Program Review (EPR) or other final evaluation. The need for such reviews will be identified through the development and agreement of Facility-level Review and Evaluation Agenda with DFAT (see Section 6.4).

To support ACR development, the KIAT Performance Unit will work closely with the Activity Manager and relevant cross-cutting units/advisers to:

- Quality assure the development and agreement of an outline for the ACR, based on a standard KIAT template
- Convene a structured presentation by the Activity implementer on key ACR content, as a basis for feedback on the draft report
- Provide reviews and quality assurance on the ACR.

## 5.5 Post-Completion

For certain Activities, the key desired outcomes may not be observable upon the completion of Activity implementation. This is particularly true for Activities which contribute to larger processes of policy development or revision, focus on project preparation, or contribute to the development or demonstration of approaches which may be adopted by GOI over the longer term. KIAT may therefore wish to undertake “post-completion monitoring” to investigate and/or document the extent to which the key desired outcomes of the Activity have been achieved even after support has concluded.

The KIAT Performance Unit will work with relevant KIAT technical directorates to identify needs for Post-Completion Monitoring, with a focus on Activities and desired outcomes that (a) are considered to have the potential to make significant contributions to one or more KIAT EOFs, and/or (b) are closely linked to the achievement of “Headline Results” as identified in Sector Engagement Strategies.

The modality for Post-Completion Monitoring will be agreed based on the particular circumstances of the Activity and outcomes, but may include:

- A ‘light touch’ approach based on readily available documents (e.g., media reports or published policies) or minimal stakeholder interviews
- Data collection for the purposes of developing a case study of key outcomes (see Section 6.3)
- Integration into the implementation of a relevant subsequent Activity
- Integration into the implementation of Facility-level evaluation or review (see Section 6.4).

## 5.6 Structured Guidance and Templates in Support of Activity-Level MEL/P

To enable and support high-quality Activity-level MEL and the implementation of the KIAT Performance System across the various stages described above, KIAT maintains a variety of templates and guidance, which undergo periodic reviews and updates and are accessible to KIAT staff and contractors via the KIAT Sharepoint. Annex 4 contains a full list of this guidance.

Additionally, as part of the transition to Phase 2 and ongoing efforts to support high-quality MEL on areas of particular relevance to KIAT's EOFOs, KIAT will work to develop simple toolkits which can be easily applied by Activity implementers. Initially, these will focus on 2 areas which are common across many of KIAT's Activities, namely:

- How Activity efforts help to influence policy or decisions by key stakeholders
- The effectiveness of efforts to build individual capacity, covering structured training, on the job training, and mentoring/coaching.

## 6. Implementing Facility-Level MEL/P

This section describes implementation of the KIAT MEL/P Strategy at the Facility level. It covers how KIAT aggregates, synthesises, and supplements information from Activity-Level MEL/P, to assess the overall performance of the facility and answer the KEQs as presented in Section 4.

### 6.1 Performance System Analysis and Synthesis

Although the KIAT Performance System (as described in Section 5 above) is implemented primarily at the Activity level, it feeds into Facility-level MEL/P in several key ways. Improved management of Performance System data during KIAT Phase 2, particularly related to the status of Progress Markers and achievement of Activity Outcomes, will facilitate analysis and synthesis of Activity-level data against EOFOs, Headline Results per Activity Stream, and KIAT's 3 main cross-cutting issues. As described in Section 4.1, in Phase 2 KIAT will also introduce Facility-level progress markers that focus explicitly on progress against KIAT's cross-cutting issues of GEDSI, Climate Change, and PPI.

Facility-level analysis and synthesis of Performance System data will focus primarily on:

- (a) Identifying examples which represent either the achievement of or important progress toward:
  - (i) Each EOFO
  - (ii) Headline Results contained within Engagement Strategies
  - (iii) Key results targeted in the GEDSI, Climate Change, and IFF Strategies
- (b) Identifying key 'themes' across Activities that can inform learning and adaptation across the Facility
- (c) Producing summary statistics that help provide an overall picture of performance *across* Activities, particularly in terms of progress towards cross-cutting issues, or other issues of particular interest or concern to KIAT management or DFAT.<sup>21</sup>

### 6.2 Key Outcomes Log and Outcome Harvesting

Answering KEQs 1, 2, 3, and 4 requires KIAT to identify and document instances of significant contributions to its 4 EOFOs.

Building on the "Outcome Harvesting" experience conducted near the conclusion of KIAT Phase 1, KIAT will maintain a "Key Outcomes Log" that documents examples of KIAT's contributions to its EOFOs. These examples are expected to be limited in number but describe KIAT's most important contributions. The Key Outcomes Log will include summary information on the following:

- An overall description of the outcome-level change<sup>22</sup>
- Which of KIAT's EOFOs and cross-cutting issues the change is related to
- Who were the main actors whose policy, behaviour or practice changed
- When (or over what period) the change occurred
- The significance of the change
- Whether the outcome is "established" (i.e., has already reached a critical point) or is "emerging" (i.e., is still in process and/or is part of an ongoing watching brief)
- The main ways in which DFAT, KIAT or KIAT Activities contributed to the change
- The key evidence available to substantiate the change

<sup>21</sup> One example of such analysis conducted in Phase 1 was analysis of progress markers from 3 performance periods (covering the period Jan 2021 – June 2022) comparing performance on new Activities versus those already in the implementation phase. This helped to identify issues related to procurement planning, resulting in the clarification of expectations about the length of time needed for Activity development to contract mobilisation.

<sup>22</sup> For the purposes of the Key Outcomes Log, KIAT will apply a definition of "outcome-level change" that is consistent with its common use in Outcome Harvesting, namely: "observable and significant changes in the behaviour of a social actor that has been achieved and that has been influenced by an intervention," where "social actor" is further defined as 'an individual, a group, an organisation, or an institution that has changed in part because of an intervention or a portfolio of interventions.'

The KIAT Performance Unit, with input from KIAT Technical Directorates, will identify Key Outcomes and update the Key Outcomes Log on a 6 monthly basis, based on (a) Activity Progress Reporting, and (b) results of the Performance Reviews implemented as part of the KIAT Performance System.

Based on the information recorded in the Key Outcomes Log, KIAT may choose to further investigate or elaborate Key Outcomes, including in the form of brief case studies or other communications pieces. Particular Key Outcomes will be selected for such work in consideration of (a) the fact that they illustrate interesting or significant contributions to KIAT EOFOs, and (b) whether they are likely to be of interest to broader audiences, including DFAT Canberra, KIAT partners, or other DFAT programs.

At the mid-point and approaching the conclusion of KIAT Phase 2 (i.e., early 2024 and early 2026), KIAT will undertake a more structured Outcome Harvesting to review and supplement the contents of the Key Outcomes Log. This will build on the experience under KIAT Phase 1, and will include the external validation of Key Outcomes.

### 6.3 Annual Facility “Health Check” Processes

A key mechanism for assessing the performance of the Facility and answering the KEQs is a structured process to review KIAT’s progress against the performance expectations elaborated under each Performance Dimension and Performance Element, as contained in Annex 2. It is expected that this process will both identify opportunities to improve KIAT’s performance, as well as to drop, add, or modify performance expectations as the basis for future assessments.

The annual “health check” process is expected to be implemented in February-March of each year, to build on the Performance Reviews conducted over December-January, as well as to feed into DFAT IMR reporting, the review and update of Engagement Strategies, and KIAT annual work planning.<sup>23</sup> The process will be further detailed in preparation for its first implementation in March 2023, but is expected to include:

- A preparatory phase which will include the compilation of key evidence against each performance element and dimension, including based on the results of an internal questionnaire and the collection of high-level feedback from DFAT and GOI counterparts
- An internal offsite KIAT workshop spread over multiple days, to collaboratively review and reflect on KIAT’s performance
- One or more facilitated summary discussions with DFAT to share key findings and reflections from the internal workshop, and provide an opportunity for DFAT to respond and provide further comment
- The documentation of the assessments and key findings against each Performance Element, as well as any agreed priorities for improvement

The annual workshop will build on similar annual planning meetings with the KIAT Senior Management Team previously held in February under Phase 1. The annual “health check” process will be managed by the KIAT Performance Unit, with active participation the KIAT Senior Management Team and KIAT advisers. To support the credibility and objectivity of assessment or to allow the KIAT Performance Unit to play a more arms-length role, KIAT may involve an external party to support the process.

<sup>23</sup> As per the DFAT Facilities PAF guidance, facility performance is suggested to be assessed on a 6 monthly basis. Noting that KIAT implements a structured cycle of performance planning and reviews at the Activity level every 6 months, an annual review and assessment is considered the appropriate time period to review and reflect on Facility performance, also in line with annual IMR reporting and annual updates to Engagement Strategies.

## 6.4 Facility-Level Evaluations and Reviews

A final element of Facility-level MEL/P is the design and implementation of specific evaluations or reviews that provide evidence and/or assessment about KIAT or aspects of KIAT's work that cut across multiple Activities.<sup>24, 25</sup>

KIAT has agreed with DFAT that Facility-Level Evaluations or Reviews will be identified during annual planning and budgeting processes, and that no Facility-Level Evaluations or Reviews will be conducted during FY 2022/23, other than those required for FIMR purposes.<sup>26</sup>

In April-June 2023, KIAT will develop a Facility Review and Evaluation Agenda containing proposed reviews for FY 2023/24, as well as any reviews indicatively planned for the remainder of KIAT Phase 2. As identified in the KIAT GEDSI Strategy, this is expected to include a "GEDSI Action Plan (GAP) Implementation Review" in 2024 or 2025 to review the overall effectiveness of GAPs as well as the processes for developing, implementing and reporting on them.

The Facility Review and Evaluation Agenda will be developed in close consultation with DFAT, including in anticipation of DFAT's needs to support the design of future programming in the infrastructure sector after the conclusion of KIAT.

---

<sup>24</sup> Reviews, evaluations, or other studies that focus on one particular KIAT Activity are considered part of Activity-Level MEL: see Section 5.

<sup>25</sup> KIAT undertook 2 Facility-level Reviews under Phase 1: the "Review of Australian Results-Based Grant-Funded (*hibah*) Infrastructure Demonstration Projects", and the "Review of KIAT Support to Improve the Government of Indonesia's Quality of Infrastructure Investment." A third Facility-level review, the KIAT Mid-Term Review, was managed directly by DFAT. Additionally, an End of Program Review of the separately-funded Indonesia-Australia Sanitation Grants (sAIG) Program was undertaken in support of the FIMR for that program.

<sup>26</sup> An End of Program Review for the Provincial Road Improvement Program (PRIM), which is an initiative funded separately through an Australian grant but managed and supported by KIAT, is planned for the period October 2022 – January 2023.



## 7. Data Management, Reporting & Communications

Key parameters for information management and reporting are presented below.

### 7.1 Management of Performance Information

Under KIAT Phase 2, Facility- and activity-level performance information will be consolidated and stored in a cloud-based data repository accessible through Microsoft SharePoint, and linked to existing KIAT systems for storing and accessing operational and financial information. This system will continue to be developed iteratively over the initial portion of KIAT Phase 2, with new modules and functionality over time. At a minimum, the system is expected to provide user-friendly access to:

- (a) Information about the list of and status of KIAT activities, their Activity Outcomes, and their expected contributions to KIAT EOFOs and “Headline Results”.
- (b) The key outputs of the KIAT Performance System for each 6 monthly period, namely the list of Progress Markers for each Activity, the agreed status of each Progress Marker, and the agreed assessment of progress toward each Activity Outcome.
- (c) KIAT indicator data reported by various Activities, including a dashboard summarising performance indicator achievements.
- (d) Information about “Key Outcomes” that are considered to represent significant contributions to KIAT EOFOs.

### 7.2 Reporting and External Communications

The KIAT MEL/P Strategy is oriented to produce information for inclusion in 6 monthly Bi-Annual Performance and Planning Reports (BPPRs), which are submitted each July and January. The primary audiences for these reports are DFAT and the KIAT Management Committee. The process and format for BPPRs developed and applied under KIAT Phase 1 is currently assessed to be working well and meeting DFAT’s needs. However, KIAT anticipates some modifications to the BPPR submitted in January 2023 to reflect this MEL Strategy, particularly the reframing of KIAT MEL/P in reference to the DFAT Facilities PAF and the revisions to the set of Key Evaluation Questions. The overall BPPR outline will be further revised based on DFAT feedback on that report.

In addition to 6 monthly BPPRs, KIAT will produce 3 additional types of information required for DFAT’s internal management processes. First, KIAT will report against the specific DFAT Indonesia Country PAF indicators as identified in Annex 3, noting that this list is subject to revision on an annual basis based on updates to the Indonesia Country PAF. As described in Section 6 above, during Activity development and inception processes, KIAT and Activity implementers will identify PAF indicators each activity is expected to contribute to (if any) and what is the target. Activity implementers will report on agreed indicators as part of Activity progress reporting. The KIAT Performance Unit will review & compile interim PAF indicator data in December for inclusion in the 6-monthly BPPR submitted to DFAT in January, with complete PAF indicator data to be compiled and reviewed in April for formal submission in May. Second, KIAT will also report against the mandatory “Efficiency” indicators as per the DFAT Facilities PAF. Indicators will be compiled for the July-June fiscal year in line with PERFORMS data, for submission to DFAT in September of each year.<sup>27</sup> Finally, in a continuation of practice from KIAT Phase 1, in February of each year, KIAT will prepare an outline response to the annual DFAT IMR for KIAT as well as the Australian infrastructure grant programs (PCSP and PBG) which are regarded as separate investments and require separate IMR processes. The outline response will draw on MEL/P data and other information available to KIAT against each of the quality criteria as per DFAT guidance on Investment Performance Reporting.

In addition to structured accountability reporting to DFAT, during Phase 2, KIAT will develop a limited number of case studies that describe KIAT’s (and DFAT’s) contributions to significant outcomes in line with its EOFOs. Although potentially relevant to support DFAT accountability processes (most notably “significant policy change” submissions required under the Indonesia Country PAF), these case studies will be targeted primarily at a broader audience within the development sector: DFAT Canberra and other DFAT programs, and potentially other bilateral donors, MDBs, and implementing agencies working in Indonesia and/or the infrastructure sector. The approach to these case studies will build on KIAT’s experience in producing similar communication products during Phase 1, most notably 4

<sup>27</sup> This timeframe will be confirmed with DFAT as part of KIAT’s initial submission of “Efficiency” indicators in 2023.

case studies describing KIAT's contributions to improving the Government of Indonesia's quality of infrastructure investment and 4 case studies summarising the implementation of 4 different Australian-based performance-based grant programs.

### **7.3 Use of Performance Information**

The overall design of the MEL/P Strategy – but especially the support to Activity development, Activity-level Performance Planning and Performance Reviews, and annual Facility “health check” sessions – is intended to ensure that it is integrated with KIAT management and implementation processes, rather than as a separate add-on activity. A key determinant of the effectiveness of this approach in encouraging the use of KIAT performance information is the ability of the KIAT Performance Unit to play a positive and constructive role, and to effectively engage with and support KIAT management, staff, and implementing partners.

Recruitment for all M&E-related positions should take into consideration not only technical skillsets, but also the soft skills that will enable staff and consultants to act as facilitators and ‘critical friends’ as necessary.

A second strategy for encouraging the use of performance information is to require KIAT management (specifically Deputy Directors) to provide management responses to key recommendations generated from reviews and evaluations of individual activities and as well as Facility-level external reviews.

## 8. Management of MEL/P

---

Key considerations for the management of MEL/P in KIAT are presented below.

### 8.1 Organisational Structure and Staffing

KIAT MEL/P is managed through a Performance Unit that reports to the KIAT Deputy Director for Strategic Planning and Performance. The Performance Unit is responsible for coordinating the implementation of all Facility-level MEL/P processes, for the overall implementation of the KIAT Performance System, and for providing technical support and quality assurance. The KIAT Performance Unit will also be responsible for managing any Activity-level reviews or evaluations where greater independence or objectivity is required, for example in the case of End of Program Reviews of high profile activities.

The KIAT implementation teams (under management of the KIAT technical directors) are responsible for all Activity-level MEL/P processes with technical support and quality assurance from the Performance Unit. To ensure clarity and consistency of support, one Performance Unit team member will be designated as the MEL/P counterpart for each Activity.

The Performance Unit will be staffed at a minimum with:

- An international-level Strategic Advisor (STA) who is responsible for providing overall technical oversight and guidance for KIAT MEL/P
- Three full-time MEL Managers who support Facility-level MEL/P processes and are also responsible for supporting the implementation teams on Activity-level MEL/P (the 3 managers are divided across KIAT directorates)
- One or more program support officers who are responsible for the compilation and management of all performance-related data.

In addition, under KIAT Phase 2, KIAT will recruit a Research Manager, who will be responsible for coordinating the development and updating of a research agenda which includes Facility-level Reviews and Evaluations, as well as for managing and/or quality assuring relevant Activity-Level Reviews and Evaluations.

KIAT's communications team will support communicating program results, impacts and learnings.

### 8.2 STA Panel for MEL and Performance

Additional technical support for MEL/P will be provided through the recruitment and contracting of a panel of Short-Term Advisors (an "STA Panel"). The STA Panel will provide a mechanism to flexibly engage highly qualified specialists, thereby enhancing KIAT's ability to respond more quickly and appropriately to identified needs at the Facility level, and potentially also the Activity level. At the Activity level, KIAT may either provide a list of relevant panel members to Activity implementers (i.e., subcontractors) for their consideration, or may directly contract and then "second" specialists to provide targeted support to Activities.

### 8.3 Work planning, Flexibility and Iterative Improvement

A key component of the ongoing success of MEL/P in KIAT will be the flexibility for the overall approach to adapt over time and as needs change.

Given that the overall approach to MEL/P may continue to evolve, it is important to maintain a structure and budget that allows for sufficient flexibility for amendments over time and as needs change. KIAT will develop an annual MEL/P workplan for each year as part of the overall KIAT planning and budgeting cycle. An initial annual workplan for core Facility level MEL/P processes for 2022/23 is included in Annex 5. This workplan will be expanded to cover Activity-level MEL/P and be reported in 6 monthly BPPR reporting cycles. Staffing arrangements and budgets for MEL/P processes will also be reviewed on an annual basis.

Additionally, this MEL/P Strategy should be subjected to a structured review and update in 2024, to further reflect any key changes to KIAT's strategy or operating context, and to ensure the suitability of KIAT MEL/P to the end of KIAT Phase 2 in 2026. This review should guide further adjustments in work planning, staffing and resourcing.

## 8.4 Quality Control

Key approaches to ensuring the quality of KIAT MEL/P processes and products are described briefly below.

At the Activity-level, the process for activity development will include guidance related to the existence and appropriateness of the performance monitoring and assessment approach for each activity. The KIAT M&E team (with support from external advisers as relevant) will provide guidance and quality control on both the performance monitoring and assessment design and implementation. The KIAT M&E team will also be responsible for reviewing and quality-assuring Activity-level MEL deliverables.

To aid in the quality control process and as a mechanism for clarifying expectations, the KIAT Performance Unit has developed a simple set of standards for (1) activity-level M&E design; (2) activity-level progress reports, (3) independent assessment reports, (4) Facility-level progress reports, and (5) terms of reference for M&E personnel. These standards refer to the DFAT M&E standards but are simplified and tailored to the specific context of KIAT. The KIAT MEL Standards will be further reviewed and updated as part of the process of bringing various operational guidance in line with the overall KIAT MEL/P Strategy.

## 8.5 Risk Management

A list of key risks to the effective implementation and management of MEL/P in line with this strategy are provided in Annex 6. These will continue to be reviewed and updated annually as part of work planning and resourcing.

## Annex 1 – Information Needs of Key Stakeholders

Who	Level	Needs information about:	For purposes of:	When
DFAT Infrastructure Team	Facility	<ul style="list-style-type: none"> <li>Achievements about Indonesia Country PAF achievements (requirements updated annually)</li> </ul>	<ul style="list-style-type: none"> <li>Completing PAF reporting</li> </ul>	June-July
DFAT Infrastructure Team	Facility	<ul style="list-style-type: none"> <li>Supporting information related to IMR areas: Relevance, Effectiveness, Efficiency, Gender Equality, Disability, Risk management &amp; safeguards</li> </ul>	<ul style="list-style-type: none"> <li>Completing IMRs</li> </ul>	January-February
DFAT Infrastructure Team and DFAT Canberra	Facility	<ul style="list-style-type: none"> <li>Facilities PAF Efficiency Indicators</li> </ul>	<ul style="list-style-type: none"> <li>Standardized assessment of facility modality including aggregation and comparison of performance across facilities</li> </ul>	January-February
DFAT Infrastructure Team	Facility	<ul style="list-style-type: none"> <li>KIAT results, successes &amp; challenges</li> </ul>	<ul style="list-style-type: none"> <li>Preparing annual reports</li> </ul>	January
KIAT Management Committee (MC) and Technical Committees (TCs)	Facility	<ul style="list-style-type: none"> <li>High level progress against KIAT outcomes / objectives</li> <li>Allocation across KIAT 'portfolio'</li> <li>Key questions to be addressed by MCs and TCs</li> </ul>	<ul style="list-style-type: none"> <li>As a basis for approval of KIAT plans and resource allocations</li> <li>As considerations to provide strategic guidance and de-bottlenecking</li> </ul>	Prior to MC and TC meetings
KIAT Management Team	Facility / Activity	<ul style="list-style-type: none"> <li>Progress against KIAT outcomes / objectives</li> <li>Particularly successful / problematic activities</li> </ul>	<ul style="list-style-type: none"> <li>Decision-making</li> <li>Structured and ad-hoc communication to DFAT and MC</li> <li>As a basis for strategic reflection and ongoing learning</li> </ul>	Ongoing, and as part of 6-monthly reporting processes
DFAT Infrastructure Team, KIAT Management, MC, GOI Counterparts	Activity	<ul style="list-style-type: none"> <li>High-risk activities or activities which otherwise require management attention</li> <li>Successes and challenges of new models and approaches developed or demonstrated by KIAT</li> </ul>	<ul style="list-style-type: none"> <li>To take informed action as necessary (to address risks or de-bottleneck)</li> <li>Consideration of policy advocacy and/or support for scaling of approaches</li> </ul>	As relevant
KIAT Management Team	Activity	<ul style="list-style-type: none"> <li>The status and main results of individual activities</li> </ul>	<ul style="list-style-type: none"> <li>Decision-making about new and ongoing activities</li> <li>Ongoing learning about what works and what doesn't</li> <li>To respond to ad hoc requests for information from DFAT</li> </ul>	Ongoing
KIAT finance team & GOI (partner agencies)	Activity	<ul style="list-style-type: none"> <li>Activity completion and key products provided</li> </ul>	<ul style="list-style-type: none"> <li>BAST reporting</li> </ul>	As activities are completed

## Annex 2 – Performance Expectations

### 2A. Development Results Performance Expectations

Performance Element	KIAT Performance Expectations
Progress towards End of Facility Outcomes (EOFOs)	<ol style="list-style-type: none"> <li>1. KIAT Activities have clear lines of sight to one or more EOFOs</li> <li>2. KIAT is tracking progress toward individual Activity Outcomes and using this as the basis for summarising progress toward each EOFO</li> <li>3. KIAT is able to demonstrate significant contributions to the achievement of EOFO1, including in reference to relevant “Headline Results” identified in Engagement Strategies and relevant Activity Outcomes</li> <li>4. KIAT is able to demonstrate significant contributions to the achievement of EOFO2, including in reference to relevant “Headline Results” identified in Engagement Strategies and relevant Activity Outcomes</li> <li>5. KIAT is able to demonstrate significant contributions to the achievement of EOFO3, including in reference to relevant “Headline Results” identified in Engagement Strategies and relevant Activity Outcomes</li> <li>6. KIAT is able to demonstrate significant contributions to the achievement of EOFO4, including in reference to “GEDSI Results” identified in the KIAT GEDSI Strategy and relevant Activity Outcomes</li> </ol>
Progress towards Key Policy Priority (KPP) Outcomes	<p><u>GEDSI</u></p> <ol style="list-style-type: none"> <li>1. KIAT is tracking progress toward key GEDSI results as identified in the KIAT GEDSI Strategy and/or targeted GEDSI activities</li> <li>2. KIAT is able to demonstrate satisfactory progress toward its prioritised GEDSI results</li> <li>3. KIAT is proactively and effectively addressing challenges to the achievement of its GEDSI results, if any</li> </ol> <p><u>Climate Change</u></p> <ol style="list-style-type: none"> <li>4. KIAT is tracking progress toward key Climate Change results as identified in the KIAT Infrastructure and Climate Change Strategy and/or targeted by Climate Change-focused activities</li> <li>5. KIAT is able to demonstrate satisfactory progress toward its prioritised Climate Change results (including mainstreaming and adjustment to Activities)</li> <li>6. KIAT is proactively and effectively addressing challenges to the achievement of its prioritized Climate Change results, if any</li> </ol> <p><u>PPI</u></p> <ol style="list-style-type: none"> <li>7. KIAT is tracking progress toward key PPI results as identified in the KIAT IF&amp;F Strategy and/or targeted by IF&amp;F activities</li> <li>8. KIAT is able to demonstrate satisfactory progress toward its prioritised PPI outcomes</li> <li>9. KIAT is proactively and effectively addressing challenges to the achievement of its PPI outcomes, if any</li> </ol>
Resources Leveraged	<ol style="list-style-type: none"> <li>1. KIAT tracks and reports the estimated resources leveraged by individual Activities to date</li> <li>2. KIAT tracks and reports the cumulative estimated resources leveraged by the Facility to date</li> </ol>

**2B. Stakeholders & Partnerships Performance Expectations**

Performance Element	KIAT Performance Expectations
<b>Governance</b>	<ol style="list-style-type: none"> <li>1. TC and MC meetings are held based on SOPs and provide the requisite level of strategic direction and oversight</li> <li>2. Agreed action items from TC/MC meetings and DFAT processes (e.g. IMRs) are followed up and tracked</li> <li>3. Forward plans and budgets (including indicative budget allocations for future years) are provided to DFAT in an appropriate level of detail to allow for oversight and approvals</li> <li>4. Effective risk monitoring and management processes are in place at both the facility and activity levels; DFAT and relevant GOI counterparts effectively support debottlenecking of key risks/challenges</li> <li>5. KIAT is proactively, collaboratively, and effectively addressing governance concerns from DFAT and GOI counterparts, if any</li> </ol>
<b>Communications</b>	<ol style="list-style-type: none"> <li>1. KIAT provides, communicates, and regularly updates key information about its main areas of work (consistent with engagement strategies)</li> <li>2. 'Infrastructure briefs' on agreed topics are considered relevant and useful by internal DFAT audiences</li> <li>3. DFAT disseminates relevant information / knowledge products internally, resulting in enhanced profile of KIAT in Canberra</li> <li>4. KIAT provides useful material in support of Australian public diplomacy initiatives</li> <li>5. GOI counterparts and policy audiences are well informed of KIAT's main areas of support and relevant approaches supported by individual KIAT activities</li> </ol>
<b>Engagement and Collaboration</b>	<ol style="list-style-type: none"> <li>1. Activities are designed in active collaboration with GOI counterparts</li> <li>2. Where relevant, DFAT and KIAT proactively engage with the ADB, WB, other DFAT programs, and other bilateral donors on common priorities</li> <li>3. KIAT facilitates relevant linkages between Australian institutions (private sector, civil society institutions, federal, state and local governments) and Indonesian counterparts</li> <li>4. KIAT effectively facilitates DFAT engagement on relevant policy initiatives</li> </ol>



## 2C. Operations Performance Expectations

Performance Element	KIAT Performance Expectations
Contract & Delivery Management	<ol style="list-style-type: none"> <li>Established and fit for purpose processes for activity design and procurement, including consideration of appropriate modalities and VfM, <i>e.g. as evidenced by:</i> <ul style="list-style-type: none"> <li>Operations manual</li> <li>Relevant use of STA panels</li> <li>Consideration of VfM as part of direct source approvals, tender processes, etc</li> <li>ACN, procurement and HR trackers</li> </ul> </li> <li>Procurement and contracting of subcontractors &amp; STA teams is timely, fit for purpose, and appropriately flexible, <i>e.g. as evidenced by:</i> <ul style="list-style-type: none"> <li>Data on APPs vs actual timeframes</li> <li>Usage of STA panels</li> </ul> </li> <li>Contract management is results-oriented and effective, <i>e.g. as evidenced by:</i> <ul style="list-style-type: none"> <li>Subcontractor reporting on outcomes</li> <li>Performance management and PPAs for subcontracts &amp; advisers</li> </ul> </li> <li>KIAT is proactively and effectively addressing concerns about contract and delivery management, if any</li> </ol>
Financial & Resource Management	<ol style="list-style-type: none"> <li>Production of budget forecasts as a planning and decision support tool; forecasts are reasonably accurate</li> <li>Flexible &amp; responsive resource allocation – budget allocations and projections are updated on a 6 monthly basis</li> <li>Robust &amp; transparent financial reporting</li> <li>Tracking &amp; reporting of efficiency indicators as required by DFAT</li> <li>KIAT is proactively and effectively addressing concerns about financial and resource management, if any</li> </ol>
High Quality Leadership & Teams	<ol style="list-style-type: none"> <li>Experienced and technically strong management and senior advisers, <i>e.g. as evidenced by:</i> <ul style="list-style-type: none"> <li>PPA and APA scoring from DFAT</li> </ul> </li> <li>Proactive workforce planning (including technical and management continuity planning) and needs identification</li> <li>Effective, timely recruitment (vacant positions are filled in an acceptable period of time), <i>as evidenced by:</i> <ul style="list-style-type: none"> <li>Data on recruitment timeframes and success rates</li> </ul> </li> <li>Gender balance of overall facility staff, <i>e.g. as evidenced by:</i> <ul style="list-style-type: none"> <li>Analysis of gender balance at various levels (SMT, leadership roles, all staff)</li> </ul> </li> <li>Performance culture and performance management, <i>e.g. as evidenced by:</i> <ul style="list-style-type: none"> <li>APAs and performance assessments managed by KIAT</li> <li>Performance review processes for LES staff</li> </ul> </li> <li>KIAT is proactively and effectively addressing concerns on leadership and staffing, if any</li> </ol>

## 2D. Learning & Adapting Performance Expectations

Performance Element	KIAT Performance Expectations
Coherent & Joined Up	<ol style="list-style-type: none"> <li>1. KIAT facility team is providing relevant &amp; useful support to individual activities / sectors on: <ul style="list-style-type: none"> <li>o Policy engagement and communications</li> <li>o M&amp;E</li> <li>o GEDSI</li> <li>o Climate Change</li> <li>o PPI</li> </ul> </li> <li>2. KIAT Strategy &amp; Performance Unit and relevant Lead Advisers facilitate cross-learning &amp; strategic thinking on key 'themes' that are common to work across sectors, e.g.: <ul style="list-style-type: none"> <li>o Institutional strengthening</li> <li>o subnational transfers</li> <li>o capacity building, transition and handover to government</li> <li>o climate change adaptation and mitigation</li> <li>o urbanisation</li> </ul> </li> </ol>
Flexible & Adaptive	<ol style="list-style-type: none"> <li>1. Activity designs are developed or modified in response to strategic requests and opportunities, including in response to new or emerging GOI or GOA priorities (e.g. new capital city or climate change)</li> <li>2. Sector engagement strategies and 'headline results' are reviewed annually for relevance and appropriateness and updated accordingly</li> <li>3. Key lessons from activity implementation are identified, documented, and actively used to inform the design of new activities</li> <li>4. KIAT proactively manages activities and, where appropriate, transitions away from activities or engagement areas that are not meeting expectations in terms of counterpart engagement or results</li> <li>5. STA pools in place are able to provide nimble expertise as required</li> </ol>
Continuous Improvement	<ol style="list-style-type: none"> <li>1. Annual KIAT performance reviews result in the identification and agreement of key priorities for improvement</li> <li>2. On an annual basis, KIAT makes meaningful progress toward addressing agreed priorities for improvement</li> <li>3. KIAT implements, monitors, and reports against agreed recommendations from (a) governance and oversight mechanisms and (b) reviews and evaluations</li> <li>4. Continuous improvement mechanisms are in place at the activity-level, including related to the discussion of review / evaluation results with GOI counterparts</li> </ol>

## Annex 3 – KIAT Performance Indicators

### 3A. Development Results Indicators

#	Indicator Name	ALIGNMENT			Disaggregated By	Information Source	Definitions / Notes
		DFAT PAF	KIAT	Applied in KIAT Phase 1			
Progress toward EOFOs							
1	Number of instances of significant changes to the policy or regulatory framework to which KIAT has contributed	2022 Indonesia PAF #22	EOFO1 KEQ1		Activity Stream	<ul style="list-style-type: none"><li>• Activity reporting</li><li>• KIAT Performance System</li><li>• Outcome case studies</li></ul>	<ul style="list-style-type: none"><li>• Used to report against EOFO1</li><li>• ‘Changes to the policy or regulatory framework’ is interpreted as:<ul style="list-style-type: none"><li>◦ National level: laws (UU), government regulations (PP), presidential regulations (PerPres), or ministerial regulations (PerMen)</li><li>◦ Provincial level: regional regulations (PerDa) or gubernorial regulations (PerGub)</li><li>◦ District/city level: regional regulations (PerDa) or regent/mayoral regulations (PerBup/PerWali)</li></ul></li><li>• Lower-level regulations or documents, e.g. decision letters (SK) or circular letters (SE) are considered to be a form of implementation guidance and are not considered part of the ‘policy or regulatory framework’ for the purposes of this indicator.</li></ul>
2	Number of studies conducted or supported by KIAT that contribute to evidence for improved policy and regulatory framework for infrastructure development		EOFO1 KEQ1	✓	Activity Stream	<ul style="list-style-type: none"><li>• Activity reporting</li></ul>	<ul style="list-style-type: none"><li>• “Conducted or supported” = funded, partially funded, and/or managed by KIAT</li></ul>
3	Number of projects where KIAT has provided project preparation support that have been taken to market and successfully entered the transaction phase (for PPP projects) or entered the delivery phase (for non-PPP projects)		EOFO2 KEQ2		Activity Stream PPP or non-PPP	<ul style="list-style-type: none"><li>• Activity reporting</li><li>• KIAT Performance System</li><li>• Outcome case studies</li></ul>	<ul style="list-style-type: none"><li>• ‘Provided’ = funded, partially funded, and/or managed by KIAT</li></ul>

## KIAT MONITORING, EVALUATION, LEARNING AND PERFORMANCE

#	Indicator Name	ALIGNMENT			Disaggregated By	Information Source	Definitions / Notes
		DFAT PAF	KIAT	Applied in KIAT Phase 1			
4	Number of feasibility studies and/or Detailed Engineering Designs conducted or supported by KIAT that contribute to project preparation for financial support		EOFO2 KEQ2	✓		<ul style="list-style-type: none"> <li>Activity reporting</li> </ul>	<ul style="list-style-type: none"> <li>'Conducted or supported' = funded, partially funded, and/or managed by KIAT</li> </ul>
5	Number of districts with improved practices and policies for infrastructure planning, delivery, management, and maintenance		EOFO3 KEQ3	✓	Activity Stream Improved practice	<ul style="list-style-type: none"> <li>Activity reporting</li> <li>KIAT Performance System</li> </ul>	<ul style="list-style-type: none"> <li>In order to be counted, "practices and policies" must either have evidence of application or be required through a national-, provincial-, or district-level policy instrument</li> <li>This was an indicator under previous versions of the Indonesia Country PAF, and is maintained for KIAT Phase 2 to report on KIAT's results and reach at the subnational level</li> </ul>
6	Number of improved practices or approaches for infrastructure planning, delivery, management or maintenance developed or demonstrated with KIAT support that have been adopted by GOI		EOFO3 KEQ3 KEQ5		Activity Stream	<ul style="list-style-type: none"> <li>Activity reporting</li> <li>KIAT Performance System</li> </ul>	<ul style="list-style-type: none"> <li>In order to be counted, "adoption" must either be formalised through a national-, provincial-, or district-level policy instrument, or have evidence of application</li> </ul>
7	Number of instances where GOI has used evidence provided by KIAT to improve gender mainstreaming or disability inclusion		EOFO4 GEDSI Result 1		Activity Stream	<ul style="list-style-type: none"> <li>Activity reporting</li> <li>KIAT Performance System</li> </ul>	<ul style="list-style-type: none"> <li>In order to be counted, "adoption" must either be formalised through a national-, provincial-, or district-level policy instrument, or have evidence of application</li> </ul>
8	Number of instances where government and/or contractors have used technical inputs to accommodate the needs of women and people with disabilities in infrastructure design or delivery		EOFO3 EOFO4 GEDSI Result 2		Activity Stream	<ul style="list-style-type: none"> <li>Activity reporting</li> </ul>	
9	Number of instances supported by KIAT where women and people with disabilities are reported to have provided		EOFO4 GEDSI Result 3		Activity Stream	<ul style="list-style-type: none"> <li>Activity reporting</li> </ul>	

## KIAT MONITORING, EVALUATION, LEARNING AND PERFORMANCE

#	Indicator Name	ALIGNMENT			Disaggregated By	Information Source	Definitions / Notes
		DFAT PAF	KIAT	Applied in KIAT Phase 1			
	input/feedback into infrastructure design and delivery						
10	Number of women in KIAT's sphere of influence who have taken up positions of higher responsibility or representation in the infrastructure sector		EOFO4 GEDSI Result 4		Activity	<ul style="list-style-type: none"> <li>Activity reporting</li> </ul>	
11	Number of instances where there are expanded opportunities for women and people with disabilities to access employment and training.		EOFO4 GEDSI Result 5		Activity	<ul style="list-style-type: none"> <li>Activity reporting</li> </ul>	
<b>Progress toward Policy Priorities: GEDSI</b>							
<i>See indicators 7-11 above, which capture progress towards both EOFO4 and the 5 GEDSI Results reflected in the KIAT GEDSI Strategy</i>							
<b>Progress toward Policy Priorities: Climate Change</b>							
12	Number of instances where GOI has used evidence or input provided by KIAT to improve resilience of infrastructure to climate change risks		Climate Change			<ul style="list-style-type: none"> <li>Activity reporting</li> <li>KIAT Performance System</li> </ul>	<ul style="list-style-type: none"> <li>Note: this includes changes to policies, project preparation, and design and delivery practices</li> </ul>
<i>Note: other relevant indicators to be determined based on the KIAT Infrastructure and Climate Change Strategy</i>							
<b>Progress toward Policy Priorities: Private Participation in Infrastructure</b>							
13	Number of PPP projects where KIAT has provided project preparation support that have been taken to market and successfully entered the transaction phase		PPI		Sector	<ul style="list-style-type: none"> <li>Activity reporting</li> <li>Post-activity follow-up with key counterparts</li> </ul>	<ul style="list-style-type: none"> <li>This is a sub-indicator of Indicator 3</li> </ul>

# KIAT MONITORING, EVALUATION, LEARNING AND PERFORMANCE

#	Indicator Name	ALIGNMENT			Disaggregated By	Information Source	Definitions / Notes
		DFAT PAF	KIAT	Applied in KIAT Phase 1			
14	Number of instances where GOI policy makers have decide to expand the use of alternative PPI instruments for suitable projects		PPI			<ul style="list-style-type: none"> <li>Activity reporting</li> <li>KIAT Performance System</li> </ul>	<ul style="list-style-type: none"> <li>This is a sub-indicator of Indicator 6</li> </ul>
<b>Resources Leveraged</b>							
15	Amount of additional financing (AUD) co-invested for infrastructure delivery, management or maintenance	2022 Indonesia PAF #17		✓	Sector Activity Source of funding (GOI / MDB / private)	<ul style="list-style-type: none"> <li>Activity Reporting</li> <li>Post-activity follow-up with key counterparts</li> </ul>	<ul style="list-style-type: none"> <li>Additional funding is the total amount (AUD) of additional (non DFAT) funds for infrastructure and economic development initiatives that were partly or wholly assisted by Australian Aid</li> </ul>
<b>Additional Indicators required for DFAT Country PAF Reporting</b> <i>Note: the current list of proposed indicators is based on the Indonesia COVID-19 Development Response Plan (CRP) Performance Assessment Framework (PAF) issued by the Australian Embassy in November 2021. The list of additional indicators required for Indonesia Country PAF Reporting will be reviewed and updated based on updated DFAT guidance expected in November 2022, and annually thereafter.</i>							
16	Number of additional women and men that have access to improved water and sanitation services	2022 Indonesia PAF #5	Goal	✓	Activity	<ul style="list-style-type: none"> <li>Activity-level Reporting</li> </ul>	<ul style="list-style-type: none"> <li>Reported annually in line with DFAT Indonesia PAF Reporting schedule</li> <li>Subject to review based on Indonesia Country PAF 2023</li> </ul>
17	Evidence of women and other vulnerable groups participating in decision making	2022 Indonesia PAF #13	EOFO4 KIAT GEDSI Result 3	✓		<ul style="list-style-type: none"> <li>Activity-level Reporting</li> </ul>	<ul style="list-style-type: none"> <li>Reported annually in line with DFAT Indonesia PAF Reporting schedule</li> <li>Subject to review based on Indonesia Country PAF 2023</li> </ul>
18	Evidence of Indonesia introducing reform to promote job creation	2022 Indonesia PAF #19	EOFO1 EOFO3	✓		<ul style="list-style-type: none"> <li>Activity-level Reporting</li> </ul>	<ul style="list-style-type: none"> <li>Reported annually in line with DFAT Indonesia PAF Reporting schedule</li> <li>Subject to review based on Indonesia Country PAF 2023</li> </ul>

### 3B. Operations / Efficiency Indicators

#	Indicator Name	Alignment	Information Source	Notes
<b>Contract &amp; Delivery Management</b>				
1	% of contracts signed within 45 days of need identification	Facilities PAF Efficiency Indicator #5A	KIAT Contracts data (based on Cardno Quickbase system)	<ul style="list-style-type: none"> <li>Reported annually for July-June fiscal year</li> <li>Applies to all contracts with subcontractors (not personnel) over 10K, consistent with PERFORMS Supply Chain reporting.</li> <li>'Need identification' is considered to be internal approval by KIAT, based on Activity Procurement Plan or Direct Source Form.</li> </ul>
1b	% of contracts signed within 90 days of need identification	---	KIAT Contracts data (based on Cardno Quickbase system)	<ul style="list-style-type: none"> <li>This is a modified version of Facilities PAF Efficiency Indicator #5A used to report against Operations: Contract &amp; Delivery Management</li> <li><i>See notes for Indicator 1</i></li> </ul>
2	% of contracts subject to VfM Assessment	Facilities PAF Efficiency Indicator #5B	KIAT Operations and subcontracting data (based on Cardno Quickbase system)	<ul style="list-style-type: none"> <li>Reported annually for July-June fiscal year</li> <li>Applies to all contracts with subcontractors (not personnel) over 10K, consistent with PERFORMS Supply Chain reporting.</li> <li>This is expected to be 100%, based on standard KIAT business processes for procurement and contracting (e.g., see KIAT Operations Manual, and Request to Contract forms/guidance, and Contract Amendment Request forms/guidance), as well as roll out of VfM assessment in tendering processes.</li> </ul>
3	% of international staff mobilised within 40 days of appointment	Facilities PAF Efficiency Indicator #6	KIAT recruitment/contracting data	<ul style="list-style-type: none"> <li>Reported annually for July-June fiscal year</li> <li>Applies to all LTA and STA contracted directly by KIAT; excludes LTA and STA contracted under subcontractors.</li> <li>'Appointment' is considered to be internal approval by KIAT, based on Approved 'Request to Negotiate' form.</li> <li>Mobilisation is considered to be 'contract commencement date'.</li> </ul>
4	% of all contracts/grants (by value) to date issued to Indonesian organisations	Facilities PAF Efficiency Indicator #7	PERFORMS Data	<ul style="list-style-type: none"> <li>Reported annually for July-June fiscal year</li> <li>Applies to all contracts with subcontractors (not personnel) over 10K, consistent with PERFORMS Supply Chain reporting.</li> <li>Baseline reference KIAT Phase 1: 11.5%</li> </ul>
<b>Finance &amp; Resource Management</b>				



## KIAT MONITORING, EVALUATION, LEARNING AND PERFORMANCE

5	Supply Chain Direct Delivery as a share of Program Expenditure to Date	Facilities PAF Efficiency Indicator #1	PERFORMS Data	<ul style="list-style-type: none"> <li>Reported annually for July-June fiscal year, based on PERFORMS data / reporting</li> <li>Baseline reference FY 2021/22: 67.2%</li> </ul>
6	Supply Chain Indirect Delivery as a share of Program Expenditure to Date	Facilities PAF Efficiency Indicator #2	PERFORMS Data	<ul style="list-style-type: none"> <li>Reported annually for July-June fiscal year, based on PERFORMS data / reporting</li> <li>Baseline reference FY 2021/22: 0.8%</li> </ul>
7	Administration Costs as a Share of Program Expenditure to Date	Facilities PAF Efficiency Indicator #3	PERFORMS Data	<ul style="list-style-type: none"> <li>Reported annually for July-June fiscal year, based on PERFORMS data / reporting</li> <li>Baseline reference FY 2021/22: 0.5%</li> </ul>
8	Cumulative % Spend	Facilities PAF Efficiency Indicator #4 (required)	PERFORMS Data	<ul style="list-style-type: none"> <li>Reported annually for July-June fiscal year, based on PERFORMS data / reporting</li> <li>Baseline reference FY 2021/22: 100.0%</li> </ul>
9	Total Performance-Based Fee Payments as a share of Program Expenditure to Date	Facilities PAF Efficiency Indicator #9A	PERFORMS Data	<ul style="list-style-type: none"> <li>Reported annually for July-June fiscal year, based on PERFORMS data / reporting</li> <li>Baseline reference FY 2021/22: 3.0%</li> </ul>
10	Non-Performance-Based Fee Payments as a share of Program Expenditure to Date	Facilities PAF Efficiency Indicator #9B	PERFORMS Data	<ul style="list-style-type: none"> <li>Reported annually for July-June fiscal year, based on PERFORMS data / reporting</li> <li>Baseline reference FY 2021/22: 4.4%</li> </ul>
11	Total procurement fee payments as a share of Total Supply Chain Costs to Date	Facilities PAF Efficiency Indicator #9C	PERFORMS Data	<ul style="list-style-type: none"> <li>Reported annually for July-June fiscal year, based on PERFORMS data / reporting</li> <li>Baseline reference FY 2021/22: 0%</li> <li>This is assumed to be 0, KIAT manages procurement internally and as a result does not make procurement-related fees to third parties</li> </ul>
12	Total management fee payments as a share of Total Non-Procurement Costs to Date	Facilities PAF Efficiency Indicator #9D	PERFORMS Data	<ul style="list-style-type: none"> <li>Reported annually for July-June fiscal year, based on PERFORMS data / reporting</li> <li>Baseline reference FY 2021/22: 23%</li> </ul>
High Quality Leadership & Teams				

## KIAT MONITORING, EVALUATION, LEARNING AND PERFORMANCE

13	% of Indonesian Project Support Staff	Facilities PAF Efficiency Indicator #8A	PERFORMS Data	<ul style="list-style-type: none"> <li>Reported annually for July-June fiscal year, based on PERFORMS data / reporting</li> <li>'Staff' applies to all personnel contracted by KIAT in the implementation of the program, i.e. any person working on KIAT who for example, appears in the 'organisation chart' or has a project business card or represents KIAT; it excludes staff and LTA contracted under subcontractors</li> <li>Baseline reference FY 2021/22: 66%</li> </ul>
14	% of Indonesian Technical and Management Staff	Facilities PAF Efficiency Indicator #8B	PERFORMS Data	<ul style="list-style-type: none"> <li>Reported annually for July-June fiscal year, based on PERFORMS data / reporting</li> <li>Baseline reference FY 2021/22: 71%</li> </ul>

## Annex 4 – Templates and Guidance for Activity-Level MEL/P

Document	Last Updated	Next Planned Update
<b>Activity-Level Templates/Samples</b>		
a. Activity Concept Note	May 2021	By December 2022
b. Description of Services	August 2022	By December 2022
c. Activity Design Annex: Activity Logic	January 2021	By December 2022
d. Activity Design Annex: Indicative MEL Requirements	January 2021	By December 2022
e. Activity Safeguard Screening Tool	July 2022	TBD
f. Activity Inception Report	N/A (new)	By December 2022
g. Activity GEDSI Action Plan	February 2022	TBD
h. Activity MEL Framework	December 2020	By December 2022
a. Activity Monthly Snapshot	August 2022	By December 2022
b. Activity 6 Monthly Progress Report	December 2020	By December 2022
c. Activity Completion Report	August 2021	By December 2022
<b>Guidance for Activity-Level Monitoring</b>		
a. Toolkit for Monitoring Policy Influence	N/A (new)	March 2023
b. Toolkit for Monitoring Individual-Level Capacity Building	N/A (new)	March 2023
<b>KIAT Performance System</b>		
a. Performance System Guidelines	November 2021	October 2022
b. Activity-level Performance Planning workbook	July 2021	Jan 2023
c. Facility-level (Cross-Cutting Issues) Performance Planning workbook	September 2022	Jan 2023
d. Performance Review Workbook	May 2022	By December 2022
e. Independent Reviewer Summary Template	June 2022	By December 2022

## Annex 5 – MEL/P Annual Work Plan: July 2022 – June 2023

Performance Unit Internal Process / Preparation	
Implementation	
Submission to DFAT	

Task	Responsible	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Comments
<b>KIAT Strategy Development (as the basis for MEL/P)</b>														
Development and Finalisation of Infrastructure and Climate Change Strategy	Facility Director													
Initial Development of Engagement Strategies	KIAT Deputy Directors													
Annual Review and Update of Engagement Strategies	KIAT Deputy Directors													Expected annually in April-June
<b>Ongoing Development of the KIAT MEL/P System</b>														
Review and Update of KIAT MEL/P Strategy	Dep. Director, Strategic Planning & Performance Strategic Advisor (Performance)													
Development and socialisation of KIAT Indicator guidance and reporting formats	Strategic Advisor, Performance													
Review & update of Review & Evaluation Agenda in consultation with DFAT	Research Manager													Annually in May-June for following year
<b>Performance System Implementation</b>														
Review and update of KIAT Performance System guidance and templates	Strategic Advisor (Performance)													Expected to be updated 6-monthly (September and March) based on performance review results
Review of Activity Outcomes for all Activities implemented under KIAT Phase 2	MEL Managers and KIAT Deputy Directors													One time review. Going forward, review of Activity Outcomes will be formally integrated into Activity Design and 6-monthly performance planning.
Socialisation of key updates to performance system	MEL Managers													

## KIAT MONITORING, EVALUATION, LEARNING AND PERFORMANCE

Task	Responsible	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Comments
Performance Planning	MEL Managers													6-monthly (Aug-Sep and Feb-March)
Performance Reviews	MEL Managers													6-monthly (Dec-Jan and June-July)
Synthesis and Identification of Key Themes	Strategic Adviser (Performance)													6-monthly (Jan and July) based on Perf Reviews
<b>Facility-Level MEL/P Processes</b>														
Annual Facility "Health Check"	Dep. Director, Strategic Planning & Performance													Annually (February). Includes administration of pre-review KIAT self-assessment and collection of DFAT and GOI feedback as preparation.
'Harvesting' of Key Outcomes and Updating of Outcomes Database	MEL Managers													Expected 6-monthly (Feb and August) based on the results of Performance Reviews and 6-monthly Activity Reporting
Identification and agreement of Key Outcomes to be further documented and elaborated through case studies	Dep. Director, Strategic Planning & Performance													
Development of case studies to further document and elaborate Key Outcomes	MEL Managers													
<b>Reporting and Communication</b>														
KIAT Bi-Annual Performance and Planning Report	Dep. Director for Strategic Planning & Performance													
Support to DFAT Investment Monitoring Reports (IMR) for KIAT, PCSP, PBG	MEL Managers													Annually in Feb
Performance Assessment Framework (PAF) Indicators Reporting	MEL Managers													
<b>Management of MEL/P</b>														
Annual MEL/P Work planning	Dep. Director, Strategic Planning & Performance													Annually (May-June for following year)
Recruitment of MEL Manager (3)	Dep. Director, Strategic Planning & Performance KIAT Operations													
Recruitment of KIAT Research Manager	Dep. Director, Strategic Planning & Performance KIAT Operations													

## KIAT MONITORING, EVALUATION, LEARNING AND PERFORMANCE

Task	Responsible	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Comments
STA Panel Recruitment & Standing Offers	Dep. Director, Strategic Planning & Performance KIAT Operations													Expected to be refreshed annually in January
KIAT Performance Data Management: Initial Development of SharePoint system	Strategic Advisor (Performance)													

## Annex 6 – Risks to KIAT M&E

In line with the overall KIAT risk management approach, key risks for the KIAT Monitoring & Evaluation as well as strategies to mitigate and manage those risks are identified in this risk matrix.

				Consequences				
				Limited	Minor	Moderate	Major	Severe
				Performance Short term delays in providing services or achieving objectives	Performance Marked delays in providing services or achieving objectives	Performance Reduced ability to provide services or achieve objectives	Performance Restricted ability to provide services or achieve objectives	Performance Critical failure to provide services or achieve objectives
				Compliance Non-compliance with public sector accountability requirements	Compliance Breach of DFAT policy	Compliance Breach of Australian/partner government legislation	Compliance Major breach of Australian/partner government legislation	Compliance Critical breach of legislation
				Reputation Limited impacts on DFAT's reputation	Reputation Minor impact to relations with stakeholders	Reputation Significant damage to relations with stakeholders and media criticism.	Reputation Major damage to relations with stakeholders and strong media criticism.	Reputation Total loss of confidence in DFAT and severe media criticism.
				Safety Limited injury requiring first aid	Safety Minor injury requiring medical care	Safety Serious injury or multiple minor injuries	Safety Life threatening injury/multiple serious injuries	Safety Death/multiple life-threatening injuries
				Security Limited or short-term damage to national interests	Security Minor damage to national interests	Security Significant damage to national interests	Security Major damage to national interests	Security Exceptionally grave damage to national interests
				Assets Limited damage to property or financial assets	Assets Minor damage to property or financial assets	Assets Significant damage to property or financial assets	Assets Major damage to property or financial assets affecting business continuity	Assets Extensive and widespread damage to property or financial assets affecting business continuity
				Information Disclosure of a small amount of UNCLASSIFIED (including DLM) data.	Information Disclosure of a large amount of UNCLASSIFIED (including DLM) data or any PROTECTED data.	Information Disclosure of a large amount of PROTECTED data or any CONFIDENTIAL and/or SECRET data.	Information Disclosure of a large amount of CONFIDENTIAL and/or SECRET data.	Information Disclosure of any TOP SECRET data.
Likelihood	Probability	Controls	Historical					
Almost Certain	Expected in most circumstances  90% or greater probable  Circumstances in train will cause it to happen.	Difficult to control  All of the controls associated with the risk are extremely weak and/or non-existent.	Has occurred on an annual basis in DFAT or other similar agencies	Medium	Medium	High	Very High	Very High



## KIAT MONITORING, EVALUATION, LEARNING AND PERFORMANCE

Likely	Will probably occur in most circumstances  50% to less than 90% probable  Circumstances have happened that will cause it to happen in the next few years	The majority of the controls associated with the risk are weak. Without control improvement it is more likely than not that the risk will eventuate.	Has occurred in the last few years in DFAT or similar agencies	Medium	Medium	High	High	Very High
Possible	Might occur at some time  20% to less than 50% probable	There are some controls that need improvement.	Has occurred at least once in the history of DFAT	Low	Medium	Medium	High	High
Unlikely	Not expected to occur  5% to less than 20% probable	The majority of controls are strong with few control gaps.	Has never occurred in DFAT but has occurred in similar agencies	Low	Low	Medium	Medium	High
Rare	May occur only in exceptional circumstances – Less than 5% probability	All controls are highly effective with no control gaps	Is possible but has never occurred to date	Low	Low	Low	Medium	High

## KIAT MONITORING, EVALUATION, LEARNING AND PERFORMANCE

Risk	Potential Impact	Probability	Impact on KIAT M&E	Initial Risk Rating	Actions to Mitigate Risk	Residual Risk Rating
KIAT is unable to attract MEL/P staff & consultants with the necessary skills and experience	<ul style="list-style-type: none"> <li>KIAT MEL/P processes delayed or not delivered in line with expectations of quality</li> </ul>	Possible (3)	Major (4)	High	<ul style="list-style-type: none"> <li>Proactive recruitment of qualified staff &amp; panel members</li> <li>Use of MEL &amp; Performance STA Panel for flexible resourcing</li> </ul>	Moderate
KIAT program staff unwilling or unable to engage with M&E processes as necessary	<ul style="list-style-type: none"> <li>MEL/P processes delayed or not implemented</li> <li>MEL/P team overburdened</li> <li>Less potential for learning and continuous improvement</li> </ul>	Possible (3)	Major (4)	High	<ul style="list-style-type: none"> <li>Ongoing clarification of expectations and endorsement by KIAT senior management</li> <li>Performance Unit in a facilitation role</li> <li>MEL/P responsibilities considered during recruitment processes</li> </ul>	Moderate
KIAT implementing partners lack knowledge and skills to meet expectations for internal initiative-level M&E	<ul style="list-style-type: none"> <li>Activity-level MEL/P is delayed or does not produce the required information</li> <li>Additional budget required to supplement</li> <li>Key initiative-level information is not reflected in Facility-level performance indicators (e.g. PAF indicators)</li> </ul>	Likely (4)	Moderate (3)	High	<ul style="list-style-type: none"> <li>Standardized toolkit for key approaches</li> <li>KIAT MEL and Performance Panel available to support initiative-level M&amp;E</li> <li>Targeted MEL support and capacity strengthening for KIAT implementing partners</li> </ul>	Moderate
DFAT & GOI expectations about KIAT MEL/P differ or change; e.g. there are frequent DFAT and GOI requests for information that is not in line with the KIAT MEL/P Strategy	<ul style="list-style-type: none"> <li>MEL/P team overburdened</li> <li>KIAT loses credibility among DFAT and GOI</li> </ul>	Possible (3)	Moderate (3)	High	<ul style="list-style-type: none"> <li>MEL/P Strategy and Performance Framework collaboratively reviewed &amp; discussed with DFAT and GOI</li> <li>Annual Work planning &amp; Review of resourcing</li> <li>Flexibility to accommodate requests as KIAT activities</li> </ul>	Low



International Financial Centre (IFC) Tower 2,  
Level 18, Jl. Jenderal Sudirman Kav. 22-23,  
Jakarta 12920, Indonesia

+62 21 8086 9800  
[www.kiat.or.id](http://www.kiat.or.id)

KIAT IS SUPPORTED BY THE AUSTRALIAN GOVERNMENT AND IMPLEMENTED BY DT GLOBAL