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Final Evaluation of the UN Joint SDG Fund Leaving No One Behind: Adaptive Social Protection for All in Indonesia (January 2020 – December 2021)

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FINAL REPORT



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Acronyms

AR	Annual Report
ASP	Adaptive Social Protection
BAPPENAS	Ministry of National Development Planning
BMKG	National Agency for Meteorology, Climatology, and Geophysics
BNPB	National Agency for Disaster Management
CBO	Community Based Organisation
CCA	Climate Change Adaptation
CP/ CPD	Country Programme/ Country Programme Document
CSO	Civil Society Organisation
CVA	Cash and Voucher Assistance
DB	Duty-Bearers
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
DS	Desk Study
EBP	Evidence-Based Practices
EGH	Equity, Gender Equality and Human Rights
EWS	Early Warning System(s)
FGD	Focus Group Discussion
MoEF	Ministry of Environment and Forestry
MoF	Ministry of Finance
MoSA	Ministry of Social Affairs
MoV	Ministry of Villages, Disadvantaged Regions and Transmigration
ProDoc	Programme Document
PUNOs	Participating UN Organisations
RC	Results-Chain
RCO	Resident Coordinator Office
RC/ RF	Results-Chain/ Results Framework
RH	Rights Holders
SDGs	Sustainable Development Goals
SH	Stakeholders
SP	Social Protection
SV	Survey
ToC	Theory of Change
ToR	Terms of Reference
UNDP	United Nations Development Programme
UNGC	United Nations Global Compact
UNOCHA	United Nations Office for the Coordination of Humanitarian Affairs
MDF	Management for Development Foundation – training and consultancy
WFP	World Food Program
WS	Workshop

Executive Summary

The evaluation

This evaluation is the final summative evaluation of the UN Joint SDG Fund Leaving No One Behind: Adaptive Social Protection for All in Indonesia (“the ASP Programme”, or “the programme”), implemented between January 2020 – December 2021 in Indonesia. The evaluation took place between February and May 2022.

Context and background

Regular and frequent natural disasters translate to significant loss of life, disrupted productivity and economic losses, affecting the Indonesian government’s resources, infrastructure, and livelihoods of the poorer and most vulnerable rights holders. Social protection (SP) refers to a set of policies and programmes aimed at preventing or protecting people (the rights holders) against poverty, vulnerability, shocks, and social exclusion throughout their lifecycles, with a particular emphasis towards vulnerable groups (ISPA, 2016 in ASP in the context of natural and climate related-risks – GIZ, 2020). The rationale behind the Adaptive Social Protection (ASP) concept is to help individuals, households and communities living in areas exposed to different types of shocks induced by disasters, economic downturns, disease outbreaks, political crises, etc. to adapt their lives and livelihoods to these conditions (adaptive capacity), to manage potential risks, and to cope with their negative impact by strengthening the existing social protection system (evidence generation; policy and strategy, legal instrument, coordination & financing mechanism; shock responsive programmes; integrated administration, etc) linking with Disaster Risk Management (DRM) and Climate Change Adaptation (CCA).

Indonesia’s (current investment in) social protection is still below what is expected of a middle-income country¹, resulting in gaps in coverage, particularly for the most vulnerable, including young children, women and girls, the elderly, people with disabilities, and most of the population on middle incomes who are still vulnerable to risks and shocks (Social Protection for All - TNP2K, 2018)².

Four UN organizations under the leadership of UN Resident Coordinator and the Government of Indonesia have implemented a Joint SDG Fund programme, the ASP Joint Programme, to lay the foundation of Adaptive Social Protection (ASP) in Indonesia. ASP aims to integrate three communities of practices: Disaster Risk Reduction (DRR), Climate Change Adaptation (CCA) and Social Protection. This Joint SDG Fund has been implemented during the COVID-19 pandemic, and the ASP programme has included a response to the pandemic, widening its initial approach. ASP is one of Indonesia’s national priorities as set out in the National Medium-term Development Plan 2020 – 2024 and is part of the country’s strategy on social protection. The UN Joint SDG Fund Leaving No One Behind: Adaptive Social Protection for All in Indonesia (January 2020 – December 2021) addressed four output areas: 1- Partnership and Coordination, 2-Policy and Procedures, 3-Technical and Operational Capacity, and 4-Monitor, Evaluate and Learn.

¹ 0.35 per cent of gross domestic product (GDP) in social assistance schemes. Other countries, such as Nepal, with a much lower GDP than Indonesia, invests approximately 2 per cent of GDP on tax-financed social protection

² <http://tnp2k.go.id/download/33117200829-TNP2K%20The%20Future%20of%20Social%20Protection-Full%20Report-EN.pdf>

The evaluation object, evaluation questions, methods, approaches and challenges encountered

Object and objectives of the evaluation:

The object of this summative evaluation is the actual implementation process (including efficiency in programme management given the human and financial resources available) and strategy, and (hence) intermediate outcomes and outputs, as mentioned in the intervention logic/ intervention strategy (see 2.2) of the ASP Joint Programme.

Specifically, the initial 6 objectives of the final evaluation were:

1. To assess the relevance, effectiveness, efficiency, coherence and sustainability of the joint programme from its inception to its completion, with a focus on its ability to respond to the needs of the most vulnerable households.
2. To examine the conceptual underpinnings, and test if the design of the programme and its underlying Theory of Change (ToC) are integrated.
3. To document and provide recommendations regarding lessons learned, good practices and innovations, to better inform the sustainability plan of the program.
4. To inform the achievements of the programme against the designated main transformative results, outcome and output indicators of the UN Joint SDG Fund ASP, as defined in its Overall Results Framework.
5. To assess evidence from programme experiences and approaches that have proven effective in meeting the needs of vulnerable households.
6. To review the implementation of the program, including governance and implementation arrangements, monitoring and reporting arrangements, in order to gather lessons learned that can help the continuation of the ASP project as well as other future programs.

During the inception phase, of these initial 6 objectives, objectives 3 and 5 were deemed not possible to meet due to the non-availability of the final ASP Road Map. As a result, the evaluation questions were reformulated.

Methodologies and data collection methods used, and challenges encountered

The evaluators used three core methodological approaches which were used interchangeably, depending on the data and respondents available:

- **Theory of Change analysis** (objectives 1, 2, 6)
- **Results-based management: a results chain analysis** (objectives 1, 2, 4, 6)
- **Most Significant Change** elements (objectives 1, 6)

Data collection methods:

- **Desk study**- 199 documents were consulted (some in part) (see Annex 3)
- **Key informant interviews and Focus Group Discussions** – 28 interviewees were interviewed, from different stakeholder groups (see Annex 2).
- **Surveys / online questionnaires**- 1 survey was sent out (see Annex 6).

While overall the evaluation went well, challenges were encountered:

- The original TOR of the evaluation required the assignment to assess the overall contribution of the UN Joint SDG Fund for ASP in laying the foundation of ASP in the country. However, during the inception phase it became clear that the final ASP Roadmap (in process of being designed under the coordination of BAPPENAS), as the policy framework representing the overarching ASP system, was still in a draft stage and not shared with any stakeholder, and hence could not be assessed. As a result, the contribution of the programme to the ASP Road

Map could not be assessed. Hence, the evaluation changed its focus, with the approval of the Evaluation Team, to the cooperation and collaboration modalities, the relevance and effectiveness of the activities and intermediate outcomes and outputs, rather than on the final result of the programme.

- The evaluation faced some data gaps and, hence, additional interviews were held, and specific data and feedback requested. As a result of the availability of some respondents, combined with the very short time frame, the evaluation was slightly delayed.
- The response to the survey was not good: only 20% of the respondents replied, even after a reminder email. The survey results were therefore not considered representative and are left out from this evaluation report.

Final evaluation conclusions and lessons learned

Relevance

1. The timing of the UN Joint ASP programme was right, and the ASP programme responded to the most pressing categories of capacity needs of the GoI with several activities/ projects, which are considered relevant (i.e., expansion of government social protection programmes amid COVID-19). Where the GoI and the ASP programme's visions diverged was mainly on two things: the need for Universal Social Protection, considered politically controversial within the GoI, and the way Cash and Voucher Assistance (CVA) was operationalised.
2. However, even though the overall ASP programme's projects and activities were largely assessed as relevant, the programme itself was criticised for a lack of coherence. Meaning: internal programme coherence of the various projects/ activities to achieve a certain overarching outcome. In other words: clarity on the extent to which the ASP programme's projects and activities contributed to a larger, integrated approach to ASP. One of the potential reasons for this is that the ASP programme appears to have focused more on the individual activities/ projects within the programme, rather than on the connection, and measurement of the contribution of these to the higher up, wider ASP policy setting and achievements at national and/ or local levels, which is currently still under development.
3. As a result, to what extent the ASP programme's outputs (by means of its projects and activities) were relevantly contributing to defining a national ASP system/ the ASP Road Map, or indeed to wider policies (the intermediate outcome levels of the ASP programme), is hard to measure, but the feedback on direct measurable contributions to the ASP Road Map itself is not all positive. However, parts of the ASP Road Map were reported to have been 'inspired by the programme'.
4. When asked about inclusivity and human rights issues (LNOB focus, including gender), stakeholders agree that this was sufficiently addressed in the various activities/ projects of the programme (29 major activities focused specifically on LNOB, see Annex 7, including specific vulnerable groups).
5. Stakeholders specifically mentioned that the operationalisation of ASP, and the capacities to implement this, is as by no means yet sufficient, particularly at the local levels. The final ASP's relevance (for the vulnerable groups) would be measured at these levels.

Coherence

6. The ASP programme's activities/ projects are considered as well-aligned with the GoI's ASP vision and ongoing efforts. Issues of disagreement/ non-alignment mostly related to the concept of Universal Social protection, considered politically controversial within the GoI, and the way Cash and Voucher Assistance (CVA) was operationalised.

7. The ASP programme's implementation also aimed to align with local policies, and the involvement of local governments tried to ensure that the piloting and the design were in line with the local governments' vision on ASP.
8. The ASP programme's design and implementation is in line with the UN Joint SDG Fund's objectives and policies. However, the focus of reporting lacked specificity to measure outcome achievements at the (national) ASP programme level.

Effectiveness

9. After an initial slow start, PUNOs were well-aware of the ASP programme's overall design and their respective roles in the ASP programme. Similarly, PUNOs were clear with the outputs under their purview, but a clear understanding and vision of the higher results to which all outputs should contribute was mostly perceived as missing. Furthermore, there are no indicators against which the achievement of outputs and outcomes can be objectively measured.
10. The ASP programme's (mostly bilateral) coordination with the GoI ministries and agencies resulted in an increased understanding of ASP and the respective roles of ministries and agencies, and the identification of synergies and gaps between the visions, policies, and systems. Multilateral meetings, between PUNOs and multiple GoI ministries and agencies to align visions and coordinate on ASP in a 'platform' (hence beyond the occasional training), is perceived by most respondents as insufficient. Similarly, coordination with subnational governments could have been improved, as district/city office of social affairs felt they were not sufficiently engaged during project implementation and monitoring and not updated on the (use of the) final project results.
11. The coordination and cooperation between the ASP programme and ministries/ agencies took mostly, and most effectively, place at the technical (WG and DG) levels. Gaining buy-in and support for ASP from the higher-level leadership of the involved ministries proved to be challenging. This was caused by several system factors such as a lack of awareness of ASP, the absence of higher-level regulations (i.e., presidential decree), an ASP roadmap, etc., but certainly also because of a lack of personal commitment and support at the ministerial level. This has impacted on the ASP programme in a number of ways, but most notably at the outcome levels. Consequently, it is unclear if and how the deliverables of the ASP programme will be followed up.
12. Overall, in terms of effectiveness of the ASP programme, the outputs of the four output areas can be considered to have been (mostly) achieved. The contribution of these outputs to the planned outcomes, particularly the intermediate outcomes, is as yet limited due to various factors such as the short timeframe to measure policy changes, the absence of a presidential regulation on social protection, a lack of leadership support at the national level, and the Covid-19 pandemic.

Efficiency

13. The ASP programme started a bit slow, partly due to Covid restrictions, partly due to staff turnover, but certainly also due to a slow set-up of management operations. This caused inaction and unclarity of ASP programme objectives at the various PUNOs (and other stakeholders) at the start. This was largely solved when a PMU was set up in August 2020 (8 months after the start of the programme).
14. The ASP programme was implemented jointly by UNDP, WFP, OCHA and UNICEF, with the latter as the lead agency. Overall responsibility and oversight lie with the RC, with support of

RCO. The PMU did not clearly stipulate each PUNOs role, tasks and responsibilities, and the UN Joint SDG Guidelines do not provide a clear description of the different tasks and responsibilities of the Lead vs RCO either. As a result, this dual management set-up did cause some confusion at times.

15. The technical cooperation and coordination at the 'lower' (WG) levels, both between PUNOs as well as with the government agencies, was good. However, higher up the (PUNO) chain, it appears interest, commitment and time spent was insufficient, particularly at Deputy and Heads of Agency level. Given the intended roles of the individual UN agencies vs. RC in the UN Joint SDG Fund's JPs (UNICEF leading and coordinating, but the RC in charge of monitoring), this raises questions as to who should have stepped up more to improve inter-UN coordination and be the 'one UN voice' towards the GoI and among the PUNOs in this JP. This was often also referred to when mentioning one of the biggest hurdles of the ASP programme: leadership changes at the highest level within MoSA, and later a different level of commitment towards ASP at these highest levels within MoSA. Overall, it appears there still is room for the PUNOs to improve on appearing as 'One UN'.
16. Even though some respondents reported 'siloes' working methods of some PUNOs, at the same time the complementarity of the PUNOs expertise and strengths was hailed.

Sustainability

17. A lack of knowledge of the formulated ASP Road Map/ wider ASP system until today is a challenge for the assessment of the sustainability of the results of the ASP programme. At the national level, there is mixed evidence among the ministries and agencies involved in the ASP programme on the ownership and 'use' of the achieved ASP programme outputs (which would be the outcomes), and hence sustainability. The most promising evidence on sustainability is the presidential regulation that is about to be launched soon.
18. One of the biggest issues in terms of sustainability is the commitment within the Ministry of Social Affairs, which is/ will be one of the lead ministries on ASP in Indonesia. Even though ASP is already in MoSA's RPJMN, top management support has not yet proven to be very strong. As a result, also within MoSA, there still is confusion on its vision of ASP, and there is no comprehensive mechanism which outlines the different roles and tasks/ responsibilities of relevant bodies on ASP and how they will coordinate the SP efforts in crisis situations.
19. At subnational levels, local governments, civil society organisations and other stakeholders appear to be motivated to take on ASP initiatives but need follow-up support to build capacities on ASP. There was limited involvement of the media and education institutions to create wider awareness and buy-in on ASP (in society). This could have contributed to a more 'enabling environment' for ASP activities ('communication for development').
20. It is still unclear which PUNOs will continue to provide funding for follow-up initiatives. WFP already indicated it will continue working with MoSA to finalise the expansion of e-SIMBA, including training. If (other) PUNOs decide to simply phase out, then the ministries, including MoSA, need to have a plan on how to provide resources for programme continuation/ sustainability. As yet, there is no evidence of this.
21. MoF has also expressed interest to continue exploring the use of INDOMOOD making the best of it to conduct fiscal space analysis for ASP.

Impact

22. 'Real' impact was not possible to measure, as the ASP programme just ended and higher-level (policy) results were (as yet) unknown/ hard to establish due to the unavailability of national level policy documents.
23. However, all respondents mentioned that they were quite confident of a positive future impact of the ASP programme's overall results, mainly mentioning the holistic view on ASP that the programme advocated, the fact that an ASP Road Map has been produced, and that a presidential regulation is on the way.

Lessons learned

A few higher-level lessons can be drawn from the above conclusions:

1. The PUNOs as well as the GoI's ministries and agencies really applaud the joint UN approach and would like to see more of it;
2. The ASP programme appears to be a good effort to implement a 'One UN'-focused joint programme. At the same time, the ASP programme appears (still) to be more a collection of individual 'projects' implemented by different agencies, rather than an actual integrated programme. Setting up a (cross-agency) PMU really helped to (partly) mitigate this;
3. It appears that the collaboration between GoI ministries and agencies on the one hand and the PUNOs on the other, should (also) be more multilateral, more cross-agency, for a joint vision and goal to be strengthened. This could (partly) mitigate any absence of higher-level regulations; and
4. The ASP programme was a policy-influencing and -strengthening programme, which was affected by the usual policy-programme problems: difficulties in programme design, unclear programme results measurements, GoI programme ownership, and a lack of focus on the 'enabling environment.'

Recommendations

Six recommendations are provided:

1. Even though the UN Joint SDG Fund 'prescribes' a fixed format for the individual JPs' Concept Notes and proposals, future JPs should define better:
 - a) The aimed for *outcomes* at the (national) programme level, and how the different outputs (and output areas) are planned to contribute to these outcomes. In other words: a stronger results orientation, instead of a project/ activity focus.
 - b) *Programme specific indicators* at both the output and outcome levels, and the reporting on these. The SDG Fund's Guidance and reporting format does not exclude the possibility of these programme specific indicators.
 - c) An M&E system which generates data that could have assisted with the above-mentioned results-oriented management.

Furthermore, set up a dedicated PMU early on, among others to ensure the above.

2. Provide clearer descriptions of the tasks and responsibilities of the Lead agency vs. RC(O) and ensure a stronger involvement of RC(O) in the external coordination and advocacy (the 'One UN' voice).
3. While the bilateral technical meetings between PUNOs and GoI institutions would in a future programme need to continue, more attention should be paid to organising/facilitating multilateral meetings, aligning visions and discussing different views on ASP, and gaining buy in from the higher-level leadership (also see recommendation nr. 2).

Similarly, the good engagement of local/ subnational governments during the planning/ inception phase of activities should be expanded to better involve these local government institutions during project implementation and inform them better of the results and follow-up.

4. A stronger outcome orientation, not only in the planning (see recommendation nr. 1) but specifically with regards to the *management* of the ASP programme is required to improve the relevance and potential impact of the programme (including to gain buy in from the higher-level leadership at the GoI institutions).

This means:

- a) Define better the aimed for outcomes and indicators (see recommendation 1).
- b) Ensure (better) the understanding of the PUNOs involved of the *outcomes* to be achieved, and their commitment to achieving these, through regular meetings and (internal) reporting on the outcomes (rather than on the formulated activities/ projects only).
- c) Ensure the RC manages and steers (more) on the outcome levels and takes the responsibility for achieving and reporting on these (see also recommendation 2).

5. Follow-up SP projects and activities should increasingly focus on capacity building of the subnational levels, local governments, civil society organisations and other local level stakeholders, to ensure increased capacities to implement ASP (in line with future national ASP policies).

6. Future JPs should improve the involvement of the media and education institutions to create wider awareness on ASP, and as such contribute to a more 'enabling environment' for ASP activities ('communication for development')

1. Context and Background

1.1. Introduction

Four UN organizations under the leadership of UN Resident Coordinator and the Government of Indonesia have implemented a Joint SDG Fund programme, the UN Joint SDG Fund Leaving No One Behind: Adaptive Social Protection for All in Indonesia (“the ASP Joint Programme”), to lay the foundation of Adaptive Social Protection (ASP) in Indonesia. ASP aims to integrate three communities of practices: Disaster Risk Reduction (DRR), Climate Change Adaptation (CCA) and Social Protection. This joint SDG Fund has been implemented during the COVID-19 pandemic, and the ASP programme has included a response to the pandemic, hence widening its initial approach. In the context of national policy framework, ASP is one of Indonesia’s national priorities as set out in the National Medium-term Development Plan 2020 – 2024 and is part of the country’s strategy on social protection.

An ASP Roadmap has been developed by BAPPENAS, which will serve as a reference document for ASP’s legal framework, policies, and programme in Indonesia. It is expected that the roadmap, including the Presidential Regulation on social protection reform, will be launched mid of 2022.

The UN Joint SDG Fund for ASP (January 2020 – December 2021) addressed four output areas: 1- Partnership and Coordination, 2-Policy and Procedures, 3-Technical and Operational Capacity, and 4-Monitor, Evaluate and Learn. At the national level, the programme works with seven ministries/agencies (BAPPENAS, MoSA, MoV, MoF, MoEF, BNPB, and BMKG). At the subnational level, the programme works in five provinces: West Nusa Tenggara, East Nusa Tenggara, Yogyakarta, Central Sulawesi and West Sulawesi.

The programme aims to have contributed to the improvement of cross-sectoral and inter-ministerial coordination for ASP between the UN and Government and development partners, inclusion of vulnerable population groups into the social registry, expansion of the risk information system for disaster management and establishing interoperability between three major Early Warning systems (EWS) in the country, generating evidence to inform decisions on financing options for ASP, advocate the development and sustainability of locally-led social protection programme at the subnational level and provide recommendation for the G20. The implementation of the intervention is at the final stage, and hence an independent evaluation is expected to be done.

UNICEF Indonesia, on behalf of the UN Joint SDG Fund programme on ASP, hired an independent evaluation team to conduct a final summative evaluation of the UN Joint Programme Adaptive Social Protection, implemented between January 2020 – December 2021.

Type of evaluation

As per the Terms of Reference (ToR), the evaluation is a summative evaluation: it will provide an independent evaluation of the joint programme, and it will be forward looking by reinforcing good practices, identifying areas for improvement, and providing conclusions and recommendations.

1.2. LNOB - Adaptive Social Protection in Indonesia

Indonesia is the world's largest archipelagic state, consisting of more than 17,500 islands perched precariously on the 'ring of fire'. Volcanic eruptions, earthquakes and consequent tsunamis remain a constant threat. Regardless of how fast Indonesia progresses towards its sustainable development goals (SDGs), climate-related and other disasters will continue to pose risks to its people, infrastructure and the economy. Indonesia occupies rank 55 out of 191 countries (considered 'medium' risk) (INFORM global risk index, 2019)³.

Regular and frequent natural disasters translate to significant loss of life, disrupted productivity and economic losses, affecting government's resources, infrastructure and livelihoods of the poorer and most vulnerable rights holders. There are also gendered dimensions to poverty and socio-economic disadvantage in Indonesia, the OECD noting that 'women are poorer across the life cycle and face disadvantages at school and, especially, in employment'. Gender inequalities are exacerbated during disasters and crises, such as increased unpaid care work, high risk of Gender-Based Violence (GBV), as well as lack of adequate fulfilment of gender specific needs.

Social protection refers to a set of policies and programmes aimed at preventing or protecting people (the rights holders) against poverty, vulnerability, shocks, and social exclusion throughout their lifecycles, with a particular emphasis towards vulnerable groups (ISPA, 2016 in ASP in the context of natural and climate related-risks – GIZ, 2020). The rationale behind the Adaptive Social Protection (ASP) concept is to help individuals, households and communities living in areas exposed to different types of shocks induced by disasters, economic downturns, disease outbreaks, political crises, etc. to adapt their lives and livelihoods to these conditions (adaptive capacity), to manage potential risks, and to cope with their negative impact by strengthening the existing social protection system (evidence generation; policy and strategy, legal instrument, coordination & financing mechanism; shock responsive programmes; integrated administration, etc) linking with Disaster Risk Management (DRM) and Climate Change Adaptation (CCA).

Indonesia has shifted from a focus on emergency response to a more comprehensive, integrated approach to disaster risk management by restructuring institutions, laws, and policies. The Indonesian government strives for transparency in cash-based assistance. However, it faces challenges with the 'localisation' of capacity and resources in line with decentralised governance. To bridge some of the most obvious gaps in essential public services, the Indonesian Government has sought to expand and strengthen its education, health and social protection systems. The social protection schemes in Indonesia have been extensively researched and a roadmap has been outlined in 'The Future of the Social Protection System in Indonesia: Social Protection for All' (TNP2K, 2018)⁴. The National Long-Term Development Plan (RPJMN 2005 - 2025) shows the government's commitment to expanding the national social protection system. The plan states that social protection and social insurance mechanisms must be in place by 2025 to fulfil people's basic rights and ensure access to services. However, Indonesia's current investment in social protection is still below what is expected of a middle-income country, resulting in gaps in coverage, particularly for the most vulnerable, including young children, women and

³ <https://reliefweb.int/sites/reliefweb.int/files/resources/Inform%202019%20WEB%20spreads.pdf>

⁴ <http://tnp2k.go.id/download/33117200829-TNP2K%20The%20Future%20of%20Social%20Protection-Full%20Report-EN.pdf>

girls, the elderly, people with disabilities, and most of the population on middle incomes who are still vulnerable to risks and shocks.

Indonesia runs its social security system through various ministries and agencies, through several different programmes, laws, policies and measures related to social assistance. Still, the unavailability of a single window service in managing the social protection system has created issues of coordination and overlapping programmes. Ineffective targeting and insufficient budgetary allocation compromise the system, in addition to it being conditional, low-value, very expensive to administer, and having no positive impact on reducing poverty or child poverty rates (Programme Document LNOB-ASP Joint SDG Fund- (“ProDoc”)). These social protection systems with state policies/laws and a growing set of social protection schemes, it is not currently linked to forecasting of the risks and early warning associated with climate (seasonal) or humanitarian crises. Similarly, Indonesia has systems providing risk assessment and early warning, but they are seldom linked to either decision-makers or communities, limiting the ability to trigger preventive actions. Emergency response still relies heavily on assistance provided in-kind, with limited scale of cash-based transfers after a natural disaster event. A systematic approach to link risk assessment and early warning to prevention and response that leverages existing social protection schemes is still missing (jointsdfund.org, 2022 and Joint Programme Document Leaving No One Behind: Adaptive Social Protection for All in Indonesia, 2019 (ProDoc))⁵.

Guiding principles for Adaptive Social Protection

The Government of Indonesia’s goal is to make the existing social protection system (more) adaptive, with the support of PUNOs (Participating UN Organisations), according to the following guiding principles (of this system) (ProDoc):

- Protect and promote human rights.
- Provide a continuum of protection (life-cycle approach).
- Ensure non-discrimination.
- Foster gender equality and women’s empowerment.
- Remain risk-informed and sensitive to environmental concerns.
- Promote inclusion and flexibility.

In summary, major ASP systemic issues mentioned in the context and need analysis of the program

Societal (rights holders related)

- Disasters disproportionately affect already vulnerable groups including the poor, children, elderly, persons with disabilities, women at risk, migrant workers and indigenous peoples (the rights holders).
- There are gendered dimensions to poverty and socio-economic disadvantage in Indonesia.
- Natural disasters increase the probability of girls entering child marriage.
- Women’s aspirations and needs are often neglected since they do not have equal access to decision-making and participation in political processes.
- Women face higher vulnerabilities due to lack of equal access to information and training as well as disaster preparedness.
- Increased unpaid care work.

⁵ <https://jointsdfund.org/article/strengthening-early-warning-and-risk-information-systems-trigger-early-response-adaptive>

- High risk of Gender-Based Violence (GBV) (which often goes unreported).
- Lack of adequate fulfilment of gender specific needs, such as reproductive health services, breast-feeding facilities and safe toilets.
- High risk of sexual exploitation and sexual violence.
- Social norms: women are often restricted to unpaid household work, including childcare and other domestic work, and less control over, and access to, resources, incl. bank loans.

Systems (duty bearers related)

- Shift from a focus on emergency response to a more comprehensive, integrated approach to disaster risk management by restructuring institutions, laws and policies.
- Transparency in cash-based assistance.
- Challenges with the 'localisation' of capacity and resources in line with decentralised governance.
- Interoperability of information systems as a measure to inform policy and decision-makers.
- Rigorous, evidence-based approaches to risk reduction, particularly on risk assessment and early warning.
- Need to expand the national social protection programmes (social assistance and social insurance) to be in place by 2025 to fulfil people's basic rights and ensure access to services. However, overall coverage remains low in relation to investment in other countries and in sectors, such as infrastructure.
- Access to social services and social protection is not always guaranteed: internal displacement, restricted access to education, social protection and property rights.
- Social security system runs through various ministries and agencies. No single window service. This causes coordination issues and overlapping programmes, ineffective targeting and insufficient budgetary allocation.
- The system is conditional, low-value, very expensive to administer, and has no positive impact on reducing poverty or child poverty rates (Joint Programme Document Leaving No One Behind: Adaptive Social Protection for All in Indonesia, 2019 (ProDoc)).
- Speed of disbursement, as well as scope and scale has so far been insufficient to cover a substantial part of the affected population following disasters.
- Social protection systems and schemes are not currently linked to forecasting of the risks.
- Risk assessment and early warning are seldom linked to either decision-makers or communities, limiting the ability to trigger preventive actions.
- None of the many policies and frameworks, laws or regulations address coordination between disaster management and social assistance programmes as part of the broader disaster management activities.
- Consequently, the provision of assistance in times of emergency is largely a reactive one, because they are given once a disaster happens without prior preventive measures embedded to strengthen individual's resilience and to enable timely distribution of assistance.
- Emergency response relies heavily on assistance provided in-kind, with limited scale of cash-based transfers after a natural disaster.
- Natural and human hazards indices used in INFORM could be supplemented with an additional component on financial and economic shocks.
- Ensure gender dimensions [in] cash assistance operations.
- lack of coordination between the directorate implementing social assistance (Directorate for Family Social Security) and directorate implementing emergency assistance (Directorate for Natural/Social Disaster for Disaster Victims).

- Available climate-related and disaster risk information provided by other line ministries e.g., BNPB, BMKG, KLHK, etc. have not been utilised to inform a social assistance programmatic strategy.

1.3. Stakeholders Engaged in ASP in Indonesia

As became clear from the above, there are a substantial number of stakeholders engaged in ASP in Indonesia.

At the national level, MoSA acts as the implementing ministry. Under this ministry, the implementation of social assistance programmes is delegated to the Directorate General (DG) for Social Protection and Security. At the subnational (Provincial and Regency) level, key stakeholders include provincial and regency-level social service authority (Dinas Sosial) as well as the regional technical coordination team. Supporting stakeholders, such as, social worker assistants, bank agents, database administrators, and other ministries, are also involved in the subnational level with the main job of providing operational and technical support in programme implementation.

The National Disaster Management Agency (BNPB) and the Regional Disaster Management Agency (BPBD) are the key stakeholders in Indonesia’s DRM system in the national and subnational level, respectively. The subnational and national government also play key roles in (Disaster Risk Management) DRM.

Disaster risk management in Indonesia is outlined in the National Disaster Response Framework (NDRF). The framework provides clear guidelines of coordination and division of roles and responsibilities between different ministries (e.g., Ministry of Agriculture, Ministry of Education, Ministry of Health, Ministry of Finance, etc.) and agencies involved (e.g., Disaster Management Agency, Indonesia Search and Rescue, Meteorological, Climatological, & Geophysical Agency, etc.). Likewise, the provision of emergency assistance in times of emergency (e.g., shelter, emergency food assistance, etc.) and during normal times (e.g., PKH, BPNT, etc.) are outlined in various laws and regulations in Indonesia. Yet, none of these frameworks, laws or regulations address coordination between disaster management and social assistance programmes as part of the broader disaster management activities.

An overview of the role of various stakeholders can be depicted as below in Table 1 (BAPPENAS, 2022).

Table 1: role of various stakeholders in ASP

Ministries/ institutions	Roles and responsibilities	Ministries/ institutions	Roles and responsibilities
Ministry of Planning	Coordination, planning, institutionalization, regulation, inter-sectoral M&E of ASP	Secretary of cabinet office	Assist the President and Vice President in national priority programmes and strategic issues related to ASP
Coord. Min for human development and culture	Interministerial/institutional implementation of coordination and synchronisation of policies and during disasters	Ministry of Finance	Fiscal and financial policies related to ASP
Ministry of Social Affairs	Policy implementer and social rehabilitation programmes, social insurance, social empowerment, social protection, and poverty management	Ministry of women empowerment and child protection	Implementer of policy and gender equality programmes, women rights’ protection issues
Nat. Agency for Disaster Management	Strategy implementation and disaster management programme (prevention, emergency, rehabilitation, and reconstruction), including provision of data and disaster information	Min. of agrarian affairs/ spatial planning	Implementer of Policy and spatial program related to disaster risk reduction
Ministry of Home Affairs	Coordination, supervision of regional and local level governments and district development related to ASP	Min of Agriculture	Implementer of agricultural policy and programmes related to ASP

Ministry of Villages	Implementation of policy and village development programmes, and optimisation of village roles related to ASP	Ministry of marine affairs and fisheries	Implementer of policy and programmes in coastal areas and small islands related to ASP
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2. Object of the Evaluation

2.1. Summative Object of the Evaluation

This evaluation covers the intervention called the UN Joint SDG Programme on ASP (from now on it will be referred to as the ASP Joint programme, or the ASP programme, in this report) as implemented by four UN organisations: UNICEF, UNDP, UN OCHA, WFP and RCO (the Resident Coordinator Office), under the leadership of UN Resident Coordinator (called the Participating UN Organisations – PUNOs) and the Government of Indonesia.

Object of the evaluation

The object of this summative evaluation is the actual implementation process (including efficiency in programme management given the human and financial resources available) and strategy, and (hence) intermediate outcomes and outputs, as mentioned in the intervention logic/ intervention strategy (see 2.2) of the ASP Joint Programme, with the final aim:

By 2022, the Government of Indonesia has setup and Adaptive Social Protection system that reduces the exposure and vulnerability (in US\$ and lives) of the poor and those particularly vulnerable due to climate related extreme events and other economic, social and environmental shocks and disasters, providing faster, more predictable, effective and accountable cash-based assistance before/ after a catastrophic event.

The strategy of the ASP Joint Programme contains 4 pillars: Partnership and Coordination, Policy and Procedures, Technical and Operational Capacity, and lastly Monitor, Evaluate and Learn, as outlined in the Project Document (ProDoc).

The rights holders and duty bearers were not specifically and in detail identified in the programme documents, but from these documents it could be assumed the rights holders are considered the poor and most vulnerable populations of Indonesia (including women and girls), and the duty bearers the various national and local government institutions of the Government of Indonesia (see also paragraph 1.2).

The consultants had some difficulties identifying the object of the evaluation, as they couldn't clearly identify the aimed for results to be achieved by the ASP Joint Programme as some of the terminologies used were unclear and sometimes mixed up. Hence, as part of the inception phase the consultants reconstructed the ASP Joint Programme's results-chain, validated this through two rounds of feedback from the Evaluation Team, and then settled on the (agreed upon) results-chain of the ASP Joint Programme as depicted in section 2.2 (Figure 1), as the final object of the evaluation.

Stakeholders involved in the UN Joint SDG Fund ASP programme

Overall, the joint programme was implemented in collaboration with the Government, civil society organisations (CSOs), and the private sector, at both national and sub-national levels. Cooperation with Government was primarily in technical areas related to planning, budgeting and implementation of sectoral programmes, including the leveraging of resources for planned results. Partnerships with civil

society, including academia and the media, focused on joint contribution to the overall programme results through implementation, knowledge sharing and innovations. Joint advocacy with CSOs aimed to influence upstream agendas for children on legislation, accountability and budget allocations, for example.

As for the PUNOs, UNICEF assumed the overall programme technical lead role. UNOCHA primarily supported MoSA and BNPB as co-leads of the CVA working group. The UNDP assumed a role in strengthening institutional governance and innovative financing based on evidence from pilot interventions and worked with MoSA, BNPB, KLHK, MoHA, and BPS to leverage established methods for Socio-Environmental Vulnerability Assessments. The WFP focused on the early warning component of the Programme with BMKG and the UN Pulse Lab to further develop and upgrade the existing platform to identify locations at immediate risk of disaster and incorporate vulnerability profiles. WFP also worked jointly with BMKG, BNPB and MoSA to support the development of the Platform to provide enhanced predictive risk analytics. Overall, the Resident Coordinator was signing the ProDoc, thus accountable for the results achieved. As shown in Table 2, the total programme budget was presents the budget contributions from each PUNO. The total programme budget was USD 2,390,00 of which, USD 390,000 was co-funding from the PUNOS.

Table 2 Programme Budget

Programme Budget (US\$)			
Total Budget (as per Programme Document, without co-funding): USD 2,000,000			
Agency/Other Contributions/Co-funding (if applicable): USD 2,390,000			
Joint SDG Fund Contribution⁶ and co-funding breakdown, by recipient organization:			
Agency/others	Joint SDG Fund contribution	Co-funding	Total
UNICEF	USD 859,967	USD 142,500	USD 1,002,467
UNDP	USD 500,032	USD 107,000	USD 607,032
WFP	USD 638,721	USD 90,500	USD 729,221
UN OCHA	-	USD 50,000	USD 50,000
Total	USD 2,000,000	USD 390,000	USD 2,390,000

Importance of this evaluation for the UN SDG Fund and the PUNOs

The UN Joint SDG Fund programme on ASP, as implemented in Indonesia by the PUNOs, was one of the UN Joint SDG Fund programmes that were awarded in the first round of the Joint Programmes (JPs) (2019). The Joint Sustainable Development Goals (SDG) Fund is an innovative instrument to incentivise transformative policy shifts and stimulate the strategic investments required to get the world back on track to meet the SDGs⁶. The SDG Fund is an important part of the UN 2030 (Reform) Agenda which aims to support broader UN system-level functions, specifically to stimulate and improve coordination between the various UN organisations at the country level. The Joint SDG Fund was launched in 2018 to catalyse acceleration of the progress on the Sustainable Development Goals (SDGs) and the 2030 Agenda for Sustainable Development. Its core mandate is to invest in solutions that produce transformative results that catalyse change across systems, sectors, and industries.

The evaluation of this UN Joint SDG programme on ASP as implemented in Indonesia is hence important for the UN Joint SDG Fund to learn from for future implementation of new programmes, as well as for the PUNOs.

⁶ UN Joint SDG Fund

2.2. Reconstructed Results Chain of the ASP Joint Programme

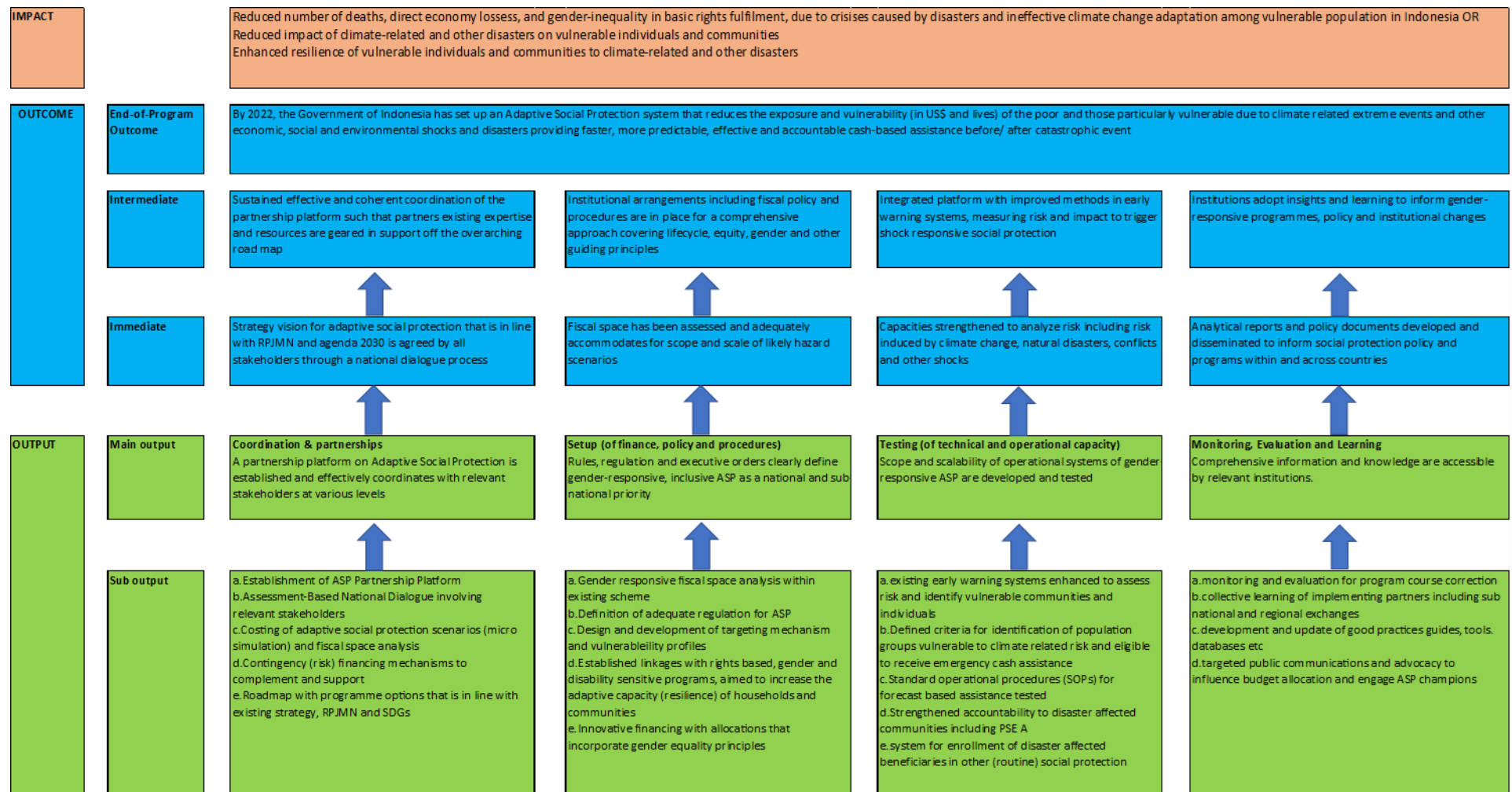


Figure 1: Reconstructed Results Chain of the ASP Joint Programme

3. Evaluation Purpose, Objectives and Scope

3.1. Purpose and Objectives of the Evaluation

Purpose of the evaluation

- The evaluation aimed to assess the overall contribution of the UN Joint SDG Fund for ASP in laying the foundation of ASP in the country, particularly in the context of policy development at both the national and subnational level, regulatory frameworks, coordination, capacity strengthening, expansion of risk information and system, social registry and learning & knowledge exchange.

The evaluation aims to provide programme staff of the Participating UN Organizations (PUNOs) and partners with evidence on the extent to which results can be demonstrated based on programme documentation.

Beneficiary of the evaluation

- Based on the above, the intended direct beneficiary of this evaluation is the UN Joint SDG programme management and the Participating UN Organisations (PUNOs), and potentially the Government of Indonesia's institutions. The ultimate beneficiaries this evaluation serves are the rights holders that any future (improved) Adaptive Social Protection scheme and policies in Indonesia expects to assist.

Objective of the evaluation

Specifically, the initial 6 objectives of the final evaluation were:

1. To assess the relevance, effectiveness, efficiency, coherence and sustainability of the joint programme from its inception to its completion, with a focus on its ability to respond to the needs of the most vulnerable households.
2. To examine the conceptual underpinnings, and test if the design of the programme and its underlying Theory of Change (ToC) are integrated.
3. To document and provide recommendations regarding lessons learned, good practices and innovations, to better inform the sustainability plan of the program.
4. To inform the achievements of the programme against the designated main transformative results, outcome and output indicators of the UN Joint SDG Fund ASP, as defined in its Overall Results Framework.
5. To assess evidence from programme experiences and approaches that have proven effective in meeting the needs of vulnerable households.
6. To review the implementation of the program, including governance and implementation arrangements, monitoring and reporting arrangements, in order to gather lessons learned that can help the continuation of the ASP project as well as other future programs.

During the inception phase, of these initial 6 objectives, objectives 3 and 5 were deemed not possible to meet due to the non-availability of the final ASP Road Map. As a result, the evaluation questions were reformulated and are presented in paragraph 4.2, below.

Scope of work

The summative evaluation was conducted using the modified Organization for Economic Co-operation and Development/Development Assistance Committee (OECD/DAC) evaluation criteria of relevance, effectiveness, efficiency and sustainability as well as equity, gender equality and human rights considerations. A number of evaluation questions have been developed and are presented in this report in paragraph 4.2. These evaluation questions are based on the (reviewed, modified and merged) evaluation questions as originally mentioned in the ToR of this evaluation.

Location, timeline and period of reference of the evaluation

The evaluation took place between February and May 2022 and was conducted fully online. The evaluation covers the period from January 2020 – December 2021.

Geographic scope

Geographically, the evaluation will focus on Jakarta and the five provinces where the programme worked: West Nusa Tenggara, East Nusa Tenggara, Yogyakarta, Central Sulawesi and West Sulawesi.

Rationale, users and intended use of the evaluation

The assignment's rationale was to conduct the evaluation as stipulated by the UN Joint SDG Fund.

The evaluation will be public, as per UNICEF guidelines, but it is expected that the interested audience will be mostly internal: The UN Joint SDG Fund, PUNOs and other UN agencies, as the purpose is to measure contribution, with the aim to improve future programme design and implementation. Hence, the evaluation is mostly an internal learning instrument.

4. Approach and Methodology

4.1. Design and Approaches

In line with the objectives of the evaluation, a learning-oriented and participatory design of the evaluation methodology and analysis was used, in which the evaluators worked in close collaboration with UNICEF and other PUNOs (selected) partner staff members involved in the programme over the last two years.

The evaluation adhered to the definition of the UNEG Norms and Standards for Evaluation⁷, of which the first paragraph of the definition of evaluation reads:

1. An evaluation is an assessment, conducted as systematically and impartially as possible, of an activity, project, program, strategy, policy, topic, theme, sector, operational area or institutional performance. It analyses the level of achievement of both expected and unexpected results by examining the results chain, processes, contextual factors and causality using appropriate criteria such as relevance, effectiveness, efficiency, impact and sustainability.

An evaluation should provide credible, useful evidence-based information that enables the timely incorporation of its findings, recommendations and lessons into the decision-making processes of organizations and stakeholders.

The evaluation used a contribution analysis rather than attribution analysis (which would require a counterfactual- i.e., control groups and control areas).

Type of evaluation

The evaluation is mostly a summative evaluation, learning from the past programme.

The evaluation was conducted using the modified Organization for Economic Co-operation and Development/Development Assistance Committee (OECD/DAC) evaluation criteria⁸. Specifically, relevance, coherence, effectiveness, efficiency, impact, and sustainability as well as equity, gender equality and human rights considerations. A number of evaluation questions have been developed and are presented in this report in paragraph 4.2. These evaluation questions were reviewed, modified and merged from those originally mentioned in the ToR of this evaluation (Annex 4).

Impact: What difference does the intervention make? The extent to which the intervention has generated or is expected to generate significant positive or negative, intended or unintended, higher-level effects.

⁷ <http://www.unevaluation.org/document/detail/1914>

⁸ <https://www.oecd.org/dac/evaluation/revision/evaluation-criteria-dec-2019.pdf>

Relevance: Is the intervention doing the right things? The extent to which the intervention objectives and design respond to beneficiaries', global, country, and partner/institution needs, policies, and priorities, and continue to do so if circumstances change.

Coherence: How well does the intervention fit? The compatibility of the intervention with other interventions in a country, sector or institution.

Effectiveness: Is the intervention achieving its objectives? The extent to which the intervention achieved, or is expected to achieve, its objectives, and its results, including any differential results across groups.

Efficiency: How well are resources being used? The extent to which the intervention delivers, or is likely to deliver, results in an economic and timely way.

Sustainability: Will the benefits last? The extent to which the net benefits of the intervention continue or are likely to continue.

As per the ToR and discussion with the Evaluation Team, impact and efficiency are hard to measure: impact because the programme only just finished and its outcome is mostly related to policy changes that have not yet been sufficiently implemented, and efficiency because of the same reason and the fact that investments in policies are hard to quantify in terms of efficiency. These considerations are reflected in the revised evaluation questions (below, 4.2).

Furthermore, the evaluation included cross-cutting evaluation criteria on human rights, gender equality and equity, where the latter two are defined as (UNICEF Regional Office for South Asia, Glossary 2017⁹, and UN.org website¹⁰):

Gender equality: The concept that women and men, girls and boys have equal conditions, treatment and opportunities for realizing their full potential, human rights and dignity, and for contributing to (and benefitting from) economic, social, cultural and political development.

Gender equity: The process of being fair to men and women, boys and girls, and importantly the equality of outcomes and results.

Equity: equity means that all children have an opportunity to survive, develop and reach their full potential without discrimination, bias or favouritism.

Human Rights: Human rights are rights inherent to all human beings, regardless of race, sex, nationality, ethnicity, language, religion, or any other status. Human rights include the right to life and liberty, freedom from slavery and torture, freedom of opinion and expression, the right to work and education, and many more. Everyone is entitled to these rights, without discrimination.

In line with the above and the objectives stipulated, MDF used three core methodological approaches which were used interchangeably, depending on the data and respondents available: the Theory of

⁹ <https://www.unicef.org/rosa/media/1761/file/Gender%20glossary%20of%20terms%20and%20concepts%20.pdf>

¹⁰ <https://www.un.org/en/global-issues/human-rights#:~:text=Human%20rights%20are%20rights%20inherent,and%20education%2C%20and%20many%20more.>

Change, Results-Based Management (the Results Chain) and Most Significant Change elements (during interviews and Focus Group Discussions).

Theory of Change analysis (objectives 1, 2, 6)

The ToC process hinges upon defining all necessary and sufficient conditions required to bring about a given long term outcome. ToC uses backwards mapping requiring planners to think in backwards steps from the long-term goal to the intermediate and then early-term changes that would be required to cause the desired change. For the summative part of this evaluation, reviewing the needs analysis (partly a ToC) of the programme, was considered a useful approach to carefully (re-)formulate and analyse the programme's intended and desired outcomes and assumptions. These were then reviewed on the basis of the various documents and the ASP policies of the government.

Key assumptions of the ToC:

- climate-induced disaster forecasting, coupled with pre-existing population vulnerability assessments accurately targets disaster-affected areas and vulnerable populations.
- payments triggered based on forecast deliver humanitarian assistance in a more timely and efficient manner.
- interlinkages with social protection schemes provide viable options for scale, both in terms of horizontal (more beneficiaries) and vertical expansion (increase frequency and size of payments).
- demonstration of used cases and learning is compelling evidence for policy-level change.
- leveraging existing partnerships, technology and (policy) infrastructure is viable.

Results-Based Management (objectives 1, 2, 4, 6)

Results-based management is complementary to the more in-depth (and less linear) ToC approach. In the context of this evaluation the most useful aspect of the Results-Based Management approach is the results chain of the program, which was reviewed after the review and validation of the needs analysis. This results chain will be used to check achievements of the programme.

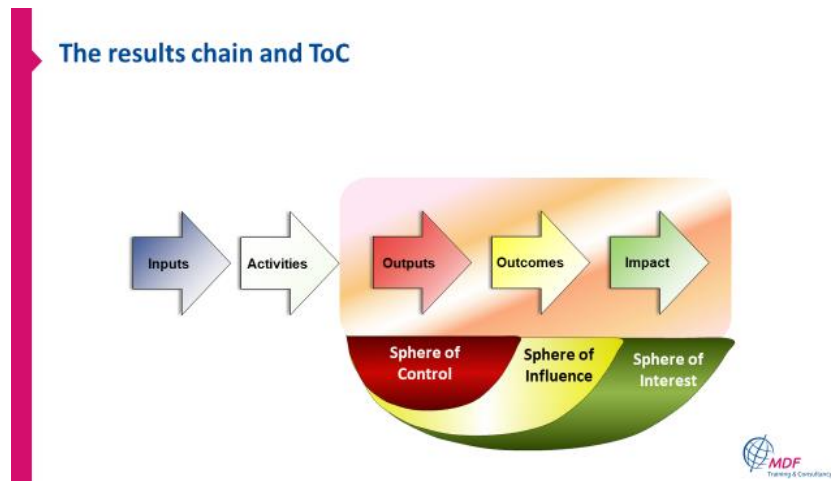


Figure 2: The Results Chain

Most Significant Change elements (objectives 1, 6)

The Most Significant Change (MSC) approach is one of the qualitative approaches for monitoring and evaluation of complex programs for which not always a clear-cut contribution analysis is possible due to the vast array of contributing factors and actors, such as in this ASP intervention. Furthermore, a key element of MSC is the search for unintended (and hence unplanned) elements of success (and failure), which normally will not be identified in the more traditional (plan-based) approaches such as contribution analysis. In this evaluation MDF used various MSC-focused open-ended questions during the data collection phase, with the aim to identify intended and unintended changes.

4.2. Evaluation Questions

The Evaluation Matrix stipulates the following 12 Evaluation Questions to be answered, and the matching OECD evaluation criteria (for the Evaluation Matrix, see Annex 1):

Relevance

- To what extent is the process of defining the ASP Roadmap (resulting from the Programme) relevant to the Government of Indonesia's (GoI's) capacities in reducing exposure and vulnerability of the poor and those particularly vulnerable due to climate-related extreme events and other economic, social and environmental shocks and disasters? Particularly for people with disabilities, women and girls, minorities and other disproportionately affected groups? To what extent did the Programme contribute to this?
- What are the major influencing factors affecting the ASPs development process over the last 2 years, to design an ASP that will relevantly meet those (above-mentioned) needs?

Coherence

- To what extent are the programme's intermediate outcomes and outputs in line with (the spirit of) the GoI's vision on ASP?
- To what extent is the programme design and the programme implementation in line with the Joint SDG Fund's objectives and policies?

Effectiveness

- How well was the programme designed in terms of clarity of outcomes, strategy, relevance and meeting needs of the most vulnerable?
- To what extent were the intended programme outputs and outcome(s) achieved? Why/ why not?
- To what extent have the implemented activities and outputs helped achieve the objectives set out in the 4 strategy areas?
- To what extent is adherence to human rights, equity and gender equality well-articulated and implemented in the programme?

Efficiency

- Was the organisational set-up, coordination and collaboration among UN agencies, and collaboration and contribution of the concerned ministries and others working well to help ensure quality outputs and accountability?
- How efficiently has the Joint Programme been managed, given the human and financial resources available?

Sustainability

- To what extent are the benefits of the joint programme, specifically for the poorer and vulnerable populations, likely to continue?

Impact

- What are the longer-term positive/ negative, intended/unintended (side-) effects of the programme?

4.3. Respondents (via Interviews, Surveys, Workshops)

A short survey was sent out to 52 respondents before the interviews. The survey results were planned to guide some of the interview topics.

The interviewees were selected on the basis of a few selection criteria, as mentioned below, and on their level of governance (national, regional, local) and involvement in the ASP programme.

The interviewees and survey respondents are mentioned in Annex 2. The following criteria for the selection of interviewees were applied.

Table 3: Interviewees and survey respondents

Respondents	Selection Criteria
PUNOs - individual interviews.	Staff involved in the programme and with knowledge on ASP
National Government - individual interviews.	Organisations and individuals involved in the programme and with knowledge of ASP (and GoI policies on ASP)
Provincial Governments - in FGD/ workshop.	Organisations and individuals involved in the programme and with knowledge of ASP (and GoI policies on ASP)
Local level governments – individual interviews	Organisations and individuals involved in the programme and with knowledge of ASP (and GoI policies on ASP), and extensive hands-on experience in implementation
Implementing partners - in FGD/ workshop.	Organisations and their individual staffs that worked in partnership with PUNOs for producing specific deliverables within the scope of this program.
2 NGOs - joint meeting- FGD.	Organisations and their individual staffs that worked in partnership with PUNOs for producing specific deliverables within the scope of this program.
External stakeholders - individual interviews.	Organisations and individuals <i>not</i> involved in the programme but with extensive knowledge of ASP and extensive hands-on experience in implementation

In terms of selecting interviewees, we aimed to uphold the principle of non-discrimination, whether based on sex, age, religion, race, ethnicity, economic status, caste, citizenship, sexual identity, ability/disability or urban/ rural locality. A high percentage of the interviewees were female, at 62% of the total. Please refer to paragraph 4.5 and Annex 2 to see the breakdown of the interviewees per the above-mentioned level of governance (national, regional, local) and involvement in the ASP programme.

4.4. Ethical Considerations

Ethically, MDF is an organisation which applies the do-no-harm (DNH) approach in our field level work. The DNH approach used to be applied to contexts in conflict situations but is now increasingly applied to other development contexts as well. The DNH framework is an approach that is highly compatible with community-based participatory processes and may in fact help strengthen local capacities. Do-No-Harm is a concept that encourages development workers to examine how their interventions might reduce conflict and inequalities. However, since no fieldwork was planned or implemented, the DNH approach was generally not required during this evaluation.

This evaluation was conducted in accordance with the UNICEF Procedure for Ethical Standards in Research, Evaluation, Data Collection and Analysis and the UNEG Norms and Standards, based on the following:

- **Integrity, independence and impartiality:**

The evaluators are independent, impartial and unbiased. There are no conflicts of interest related to this assignment.

- **Privacy, confidentiality and respects of rights:**

The evaluators conducted this assignment in a transparent way but respected the privacy of all involved. This means that although records were kept, these are kept confidential unless the respondent has given clear consent to the contrary. Respondents are at all times able to withdraw their consent.

- **Avoidance of harm and fair representation:**

As mentioned above, the DNH approach was applied, and no vulnerable groups were engaged.

- **Accuracy, completeness and reliability:**

All data was triangulated as much as possible with the help of multiple sources. If only one source existed and the data was mentioned in any of the reports, it is made clear for the reader. The evaluation matrix guided all phases, and deviations, if any, were documented and reported.

- **Reporting and acknowledgement:**

If during the assignment any ethical issues had arisen, these would have been documented and reported to the Evaluation Team. None, however, materialised.

As no vulnerable populations, including children, were included in the fieldwork, and as no sensitive questions nor data were reviewed, there was no ethical clearance needed for this evaluation.

4.5. Data Collection Methods and Tools, Triangulation and Summary of Steps (including Methodological Changes)

The evaluation used mixed methods of desk studies, key informant interviews (KIIs) and focus group discussions (FGDs), and a survey, based on the approaches as described above.

Desk study

199 documents were consulted (some in part) (see Annex 3), consisting of:

- UN Joint SDG Fund programme documents.
- Finance-related documents.
- Government of Indonesia ASP policy-related documents.
- UN Joint SDG Fund related documents.

The documents were collected based on discussions between the evaluation management team and the consultants and were (partially) read chronologically (from proposal to the final evaluation reports) in order to better understand the programme, and then used as reference materials as and when needed to answer each of the evaluation questions.

Key informant interviews and focus group discussions

28 interviewees were interviewed: PUNOs staff, implementing partners, government agencies and other externals (see Annex 2):

- 8 interviewees were PUNOs staff (3 male, 5 female).
- 1 interviewee was from the Joint UN SDG Fund head office (1 male)
- 5 interviewees were national level government agencies (3 male, 2 female).
- 8 interviewees were provincial and local level governments (7 male, 1 female).
- 6 interviewees were other UN and non-UN external interviewees, such as implementing partners or ASP specialists (3 male, 3 female).

The interviews followed a strict protocol, including consent, note-taking and storage of the interviews (see Annex 5).

Surveys / online questionnaires

We sent out 1 survey (see Annex 6), with the following questions:

- Overall, how satisfied are you, on a scale of 1 (not at all satisfied) to 10 (extremely satisfied) with the *results* achieved by the Joint SDG Fund Programme: Adaptive Social Protection for All in Indonesia, which was implemented in 2020 and 2021?
- What were you particularly happy/ unhappy with?
- What would you recommend to have been done differently?

This result of this survey was intended to help guide the key informant interviews.

Triangulation of data

Triangulation of data was done manually, specifically in relation to each finding per evaluation question, comparing each set of interview notes with survey findings and document findings before formulating the finding. To this end, survey results, interview notes, and desk study notes were all aggregated, and then sorted per evaluation question in separate folders (per evaluation question) for ease of triangulation.

Equity, gender and human rights considerations

During the desk-study, all interviews and the surveys, we explicitly researched and asked about equity, human rights and gender considerations (see Annex 5).

Summary of steps (including methodological changes)

The following methods and tools were used during the various phases:

1a- Inception phase: intake meeting

The evaluation started with an intake in which the evaluators and the client came to an increased mutual understanding of the process, outputs, the organisations (stakeholders) and individuals involved, reflection and feedback process and moments, timings, locations and much more. This intake set the minimum parameters for a successful assignment, increased understanding between the individuals involved and built trust.

This meeting took place on 7 February 2022.

1b- Inception phase: desk study, kick-off meeting, Inception Report

During this phase a desk study was conducted to assess the relevant programme (ProDoc) and other documents, as made available by the ASP programme. The desk study used an evidence-based approach. This desk study was the first desk study to be done by the consultants to guide the Theory of Change (ToC) and Results-Chain (RC) review and gain a better understanding of the object and objectives of the programme and the evaluation, and the rights holders and duty bearers involved. This desk study was conducted between 8 to 18 February.

During the inception phase the evaluators reviewed not only the ToC and RC of the programme, but also identified government and other partners that could have maximised the impact of the ASP Joint Programme. After this, the 12 evaluation questions and the evaluation matrix were finalised, methodologies finetuned, stakeholders for interviews/ FGDs selected (and through what methodology) and relevant materials for the evaluation requested. This all is captured in an Inception Report, which main findings were discussed with the Evaluation Team during a meeting on 18 February.

Next, the main findings of the inception report were presented during a kick-off meeting to which all relevant stakeholders were invited. This kick-off meeting took place on 19 February.

The final approved inception report was submitted on 7 March, 2022.

2- Evaluation phase

During the evaluation phase the evaluation focused on answering the specific evaluation questions as agreed upon during the inception phase and mentioned above. The survey was sent out first, on 8 March, to assist in identifying areas of interest, or areas where data is lacking. 53 stakeholders received the survey, but unfortunately a limited number of replies necessitated sending out the survey once again on 15 March. The survey was closed with a response rate of 11 respondents (20%).

The focus during the evaluation phase was on data collection with the above-mentioned approaches and methodologies from the identified stakeholders, using an evidence-based approach. Triangulation of the findings was an integral part of the evaluation phase, matching findings from interviews with documents, and if needed hold new interviews. This evaluation phase took place between 8 March and 5 April, when the Evaluation Team's feedback on the Preliminary Findings report (10 pages, submitted on 27 March) was sent to the consultants. The feedback on the Preliminary Findings report was not substantial: 6 comments were received.

3- Analyse findings, sense making and reporting

The findings were analysed mostly referencing the (reconstructed) Theory of Change (see section 2.2) and using Results-Based Management methods (mostly using the formulated Outcomes and Outputs to question, analyse and verify if certain results were achieved. Most Significant Change-type of questions and approaches (mostly enquiring about unexpected and unplanned effects of the intervention) were used not only during the interviews (and survey), but also during the analysis of the findings.

The evaluation engaged in a process of sense making with selected (programme management) stakeholders in order to process the findings, analyse these and transform these into a clear report, with credible, reliable and useful evidence and recommendations. This phase ran from 05 April to 21 April 2022, when a presentation of the main findings was held.

The sense making process consisted not only of analysing all interviews and desk study notes and findings, but also of reaching out again to selected stakeholders (4 PUNOs, BAPPENAS, MoSA and MoV) with additional questions aiming to understand some of the results of the ASP programme (mostly related to outcomes).

The draft final evaluation report was submitted on 18 April 2022, together with a PowerPoint Presentation for the presentation on 21 April 2022.

4- Presentation of results and final reporting

Lastly, a presentation of the main findings was presented to the PUNOs and partners on 21 April 2022, discussed and feedback received. A number of comments on the draft final evaluation report were received by the evaluators on Friday 22 April 2022. It was agreed these comments would be reviewed and where possible integrated into the final evaluation report. The final evaluation report was submitted on 5 May 2022.

4.6. The Evaluation Process; Limitations and Constraints

Changes to the evaluation purpose, objectives and focus

The original TOR of the evaluation required the assignment to assess overall contribution of the UN Joint SDG Fund for ASP in laying the foundation of ASP in the country particularly in the context of policy development both at national and subnational level, regulatory frameworks, coordination, capacity strengthening, expansion of risk information and system, social registry and learning & knowledge exchange.

However, during the inception phase it became clear that the final ASP Roadmap, representing the overarching ASP system, was still in a draft stage and not yet shared by BAPPENAS to other government bodies, UN or other stakeholders and the implementing partners (except some people within UNICEF, who were not allowed to share the ASP Roadmap as yet).

This posed a problem for the evaluators because the end result (the end-of-programme outcome) of this ASP Joint Programme, according to the ProDoc (“this Joint Programme will support the Government of Indonesia which aims to transform existing social protection schemes into an Adaptive Social Protection system” – ProDoc page 1, and the ToC in Annex 3) is a final ASP policy/ system (most likely the ASP Roadmap) and hence, logically, the object of the evaluation. Because the intended object of the evaluation (the ASP Roadmap) was not known (yet) by the respondents, the evaluators opted to change the object of the evaluation from an ASP system/ the ASP Roadmap to the actual process and strategy, and hence intermediate outcomes and outputs, of the ASP Joint Programme, instead of the final end-of-programme outcome. Hence, the evaluation focused on the cooperation and collaboration modalities, the relevance and effectiveness of the activities and intermediate outcomes and outputs, rather than on the final result of the programme (as that was at the time unknown).

The inception phase went rather smoothly, albeit with a slight delay. Productive exchanges between the Evaluation Team and the consultant ensured a high-quality Inception Report.

In the Inception Report, a few risks to this evaluation were foreseen, and mitigation measures identified. Unfortunately, some of the predicted risks indeed occurred and some of the mitigation measures proved to be inadequate and were adapted. The risks that were mentioned in the Inception Report and occurred, as well as the mitigation strategies used, were:

Availability and willingness of resource persons, interviewees/ respondents

All stakeholders were very accommodating and willing to engage in (sometimes multiple) interviews with the consultants. However, their busy schedules caused some of the interviews to be delayed and as a result all interviews were spread out over many weeks, increasing the evaluation period.

The response to the survey was not good: only 20% of the respondents replied, even after a reminder email. The survey results were therefore not considered representative and were left out from this evaluation report.

The first two mitigation strategies planned (using UNICEF assistance in identifying involved organisations and individuals and sending UNICEF introduction letters) were clearly not 100% successful (as busy schedules are busy schedules), and hence we resorted to the third: “understand and accept that methodologies and approaches [might] need to be adjusted...”. In this case we requested the Evaluation Team to accept there would be slight delays, and we accepted the 20% response rate to the survey.

Availability of documents, including in-depth reviews and evaluation documents

The consultants had difficulties in identifying to what extent the results of the ASP programme were indeed being used, in terms of outcomes, by the relevant stakeholders (mainly the national level government agencies). It was clear from the inception phase that the ASP Road Map itself was not available to be assessed as the potential example of use of the ASP programme’s outputs (=outcomes). The evaluators acknowledge that policy influencing programmes are sometimes more difficult to measure in terms of outcomes (defined as: use by, benefit for, or change in behaviour of the target group) than non-policy influencing programmes. However, the evaluators did expect to see some documents related to the lower-level outcomes (called immediate and intermediate outcomes in our reconstructed Results Chain).

The lack of documents, or other evidence, related to the use of the ASP programme's deliverables by the main beneficiary (which is the Government of Indonesia) necessitated additional interviews and requests for information to be sent out (specifically during the analysis and sense making phase) from 7 different stakeholders (PUNOs, BAPPENAS, MoSA and MoV), as well as additional documents requested. As a result, and because of the availability of some respondents, the evaluation was slightly delayed.

Very short time frame

The mentioned risk of a very short timeframe was indeed proven true. As a result, and because of the above-mentioned issues, the evaluation was slightly delayed.

Methodological limitations and biases

There were no methodological limitations encountered. Language barriers and remote data collection hurdles were effectively overcome by the use of Indonesian speaking consultants and appropriate online tools. To the extent possible, the evaluation team tried to identify potential biases (e.g., from methodological and data approaches, team members, etc.) but none were established. No personal connections with ASP programme stakeholders were identified that could have interfered with the objectivity of the evaluators.

5. Evaluation Findings

5.1. Relevance

The evaluation has two evaluation questions on relevance:

1. To what extent is the process of defining the ASP Roadmap (resulting from the Programme) relevant to the Government of Indonesia's (GoI's) capacities in reducing exposure and vulnerability of the poor and those particularly vulnerable due to climate-related extreme events and other economic, social and environmental shocks and disasters? Particularly for people with disabilities, women and girls, minorities and other disproportionately affected groups? To what extent did the Programme contribute to this?
2. What are the major influencing factors affecting the ASPs development process over the last 2 years, to design an ASP that will relevantly meet those (above-mentioned) needs?

Government of Indonesia's vision and desired ASP policies

The Government of Indonesia (GoI) already had activities going to define and design an ASP Road Map policy prior to the UN ASP programme (based on the internationally recommended 4 'building blocks'). The GoI's main international partner on ASP was GIZ, which had produced a Concept Note on ASP (October 2020), which subsequently was also mostly adhered to by the ASP programme.

As ASP was (to a certain extent still is) new to all actors concerned, the GoI's vision and policies were still in the making when the UN Joint ASP programme started, and as such the programme could potentially significantly contribute to tackle the diverse needs of the GoI's institutions at different levels. The timing was right for the programme.

Where the GoI and the ASP programme's visions diverged was mainly on two things: the need for Universal Social Protection, considered politically controversial within the GoI, and the way Cash and Voucher Assistance (CVA) was operationalised. It was felt that the CVA Working Group (CVA WG) focused more on disaster mitigation rather than on Social Protection, and as such this (relevant) aspect of ASP as addressed by the ASP programme was considered as less matching with the GoI's vision and policies than other aspects of the programme. This is not to say that the GoI has objections to include CVA in an ASP system (Road Map or others) or Social Protection in general, just that at the moment some parts of the proposed CVA don't match (different terminologies, entirely new programs, 'ad hocism', and Guidelines that don't connect with the current GoI's CVAs). Furthermore, MoSA is a member of the CVA working group and as such supporting CVA. Principles of CVA are reportedly included in the ASP roadmap, but CVA as a stand-alone concept has not been accepted due to the reasons mentioned above.

Government of Indonesia's capacity needs and the needs of inclusion of vulnerable groups

A number of identified needs, also pertaining to the capacities of the GoI and the inclusion of vulnerable groups, were identified in the ProDoc, as mentioned in this evaluation report in paragraph 1.2, and the ASP programme did indeed address many of these. To summarise the most pressing categories of capacity needs of the GoI (based on paragraph 1.2):

- Integrated approach to ASP, including the coordination and management with different actors, and a risk assessment and a forecasting approach.
- Speed and coverage, both geographical as well as including vulnerable groups with different needs; equity (not only based on income).
- Data and information to be able to do the above.

The ASP programme responded to these with several activities/ projects which all can indeed be considered as contributing to the above needs. A few examples of these interventions:

- Facilitation of policy dialogue between four ministries and agencies (Centre for Data and Information, Ministry of Social Affairs, National Agency for Disaster Management, Ministry of Environment and Forestry and Agency for Meteorology and Climatology) to discuss the strengthening of linkages between Early Warning Systems (EWS) and risk information system to inform early response for social protection programmes.
- The ASP program, jointly with the Asian Disaster Preparedness Centre (ADPC), conducted a review and refinement of existing methodologies, indicators, and criteria to improve targeting of population groups vulnerable to climate-related hazards and eligible for support under ASP schemes. The review results are intended to inform early warning and risk information systems improvements in quantifying risk and estimating the impact of hazards on vulnerable populations to support anticipatory social protection actions.
- Updating of National Social Protection Registry (DTKS), including update the data of poor population in Indonesia and increase the coverage of social protection programme from 40% to 60% population (2020 Annual Report). A comprehensive piloting initiative of this DTKS update was done in Aceh and West Java with the close collaboration of UNDP, UNICEF, MoSA and BAPPENAS (Newsletter Joint SDG Fund, Nov 2021). This was also rolled out in NTT (East Nusa Tenggara) with the subnational government in collaboration with national government (MoSA). The DTKS was synchronized with local sectoral data to get a better picture of vulnerable population (Final Report, JPS GEMILANG, 2021) to trigger an effective disaster or crisis response.
- The ASP programme initiated a study of the existing methodology, indicators, frameworks and tools in Indonesia and formulated recommendations for refining the vulnerability indicators, criteria and thresholds, in order to identify vulnerable populations eligible for support under an ASP scheme. In addition, a feasibility analysis was conducted for the development of risk indices based on the refined vulnerability indicators.
- The programme initiated the very first training on ASP for the Government both at the national and subnational level, NGOs and United Nations organizations to build awareness and understanding on ASP. UNICEF and BAPPENAS together developed the Module for ASP as a reference document for ASP training. For the purpose of enriching the ASP Module, BAPPENAS shared the ASP Roadmap to donor partners on 17 January 2022 as a way to contribute to the enrichment of the ASP Module.

Some of the relevance claims of the deliverables in the final report are being disputed, however, such as the claim that “the programme through the leadership of UN OCHA [provided] two guidelines on ‘Cash and Voucher Assistance for Disaster-Affected People’”. According to the Cash Working Group (CVA WG), these Guidelines were already developed before the ASP programme, but the programme’s efforts certainly contributed to acceptance and traction with the government institutions to link it (better) to ASP.

However, even though the overall ASP programme's relevance was largely judged positively by the interviewees, the programme was criticised for a lack of coherence. Meaning: a lack of internal programme coherence of the various projects/ activities to achieve a certain overarching outcome. In other words: clarity on the extent to which the ASP programme's projects and activities contributed to a larger, integrated approach to ASP, including better coordination between national level institutions as well as between national and local level institutions. To what extent the ASP programme's projects and activities were relevantly contributing to defining an ASP system/ ASP Road Map could not be clearly measured because BAPPENAS decided to work only with GIZ for the roadmap. Except BAPPENAS, no other stakeholders of the programme had full knowledge of the RoadMap for them to be able to comment on the programme's relevance to it.

However, it was mentioned that in some instances the ASP Road Map was 'inspired' by the interventions of the ASP programme, as well as, in some instances learning that some parts should *not* be part of the ASP Road Map in a certain way, such as Cash Voucher Assistance (CVA).

Measuring outcome contributions is partly an issue with any policy influencing programme, but in this ASP programme certainly also because of the programme design and the monitoring and evaluation (M&E) of the programme: it appears to have focused more on the individual activities/ projects within the programme, rather than on the connection with, and measurement of the contribution of these to, the higher up, wider ASP policy setting and achievements at national and/ or local levels. A case in point is the lack of proper ASP programme outcome indicators, and that some stakeholders that conducted some of the studies mentioned that they did not receive any feedback on the quality and / or further use of the study, and hence couldn't assess the relevance and use (to higher up policies) during the interviews with the evaluators.

However, most stakeholders agree that the various elements of the programme did have the *potential* to contribute to improved policies, and better coordination and capacities at different governance levels. At the same time, however, involved stakeholders also specifically mentioned that by no means the operationalisation of ASP, and the capacities to implement this, is as yet sufficient, particularly at the local levels, and the relevance of the ASP would finally show at those levels.

When asked about inclusivity and human rights issues (LNOB focus), stakeholders agree that this was sufficiently addressed in the various activities/ projects of the ASP programme, including studies and pilots (29 major activities focused specifically on LNOB, see Annex 7). For example, the study on the public finance for children was conducted to strengthen the expenditure tracking mechanism at national and subnational levels and analyse the inclusion of children in social protection programme, so that no one is left behind. Jointly with MoV, the programme designed a monitoring and evaluation system for social protection programmes under Village Fund scheme, through which vulnerability criteria were expanded to include girls, women-headed households, elderly woman, and pregnant women. As a result, the gender of the family head has been used by MoV as the criterion for cash disbursement. Finally, in supporting the foundation of ASP at the subnational level, the ASP programme established linkages with rights-based, gender and disability sensitive programmes through the integration of ASP on the Preparedness Plan at subnational level and conducted several pilots. For example, among the 1.600 beneficiaries of the pilot receiving cash transfer in Palu, 49 of whom were people with disabilities. In Mataram, the pilot involved organization for disabled persons and beneficiaries include persons with disabilities who owned micro and ultra-micro enterprises.

Especially some of the field-testing activities/ projects, such as the development of subnational regulations for ASP in three provinces: West Nusa Tenggara, East Nusa Tenggara and Yogyakarta, and the piloting of innovative financing in two provinces: Central Sulawesi and West Nusa Tenggara, were mentioned a few times as very relevant. However, also for these goes that it is unclear to what extent the results were used to define, or included into, wider national ASP policies (such as the Road Map).

Major influencing factors affecting the ASP development process over the last 2 years

Although not necessarily threatening the achievements of the ASP programme, Covid-19, as an unexpected global public health emergency, was a factor influencing the implementation. At the national level, interviews with ministries suggest that lack of leadership support towards the programme was because priority was given to respond to Covid-19. Refocusing of budgets, for example at the MoV was reported due to the same reason. At the sub-national level, institutional contractors had difficulty selecting beneficiaries of the pilots because of imposed lockdowns and restrictions due to Covid-19.

5.2. Coherence

The coherence criterion also consisted of two evaluation questions. One focusing on the coherence of the programme with the government of Indonesia's vision on ASP, and the other on the coherence with the Joint SDG Fund's objectives:

1. To what extent are the programme's intermediate outcomes and outputs in line with (the spirit of) the GoI's vision on ASP?
2. To what extent is the programme design and the programme implementation in line with the UN Joint SDG Fund's objectives and policies?

Coherence with the government of Indonesia's vision on ASP

The social protection schemes in Indonesia have been extensively researched and a roadmap has been outlined in 'The Future of the Social Protection System in Indonesia: Social Protection for All' (2018) by the National Team for the Acceleration of Poverty Reduction (Tim Nasional Percepatan Penanggulangan Kemiskinan or TNP2K), which adopts a lifecycle approach and strengthens this through the 'guiding principles for Adaptive Social Protection' (section 1.2) that underpin the LNOB objectives. The National Long-Term Development Plan (RPJMN 2015 - 2019) shows the government's commitment to expanding the national social protection system and integrates disaster risk management and disaster financing into the social protection system, for 15 million households with 3.7 billion USD of government, biannual financing. The plan states that social protection and social insurance mechanisms must be in place by 2019 to fulfil people's basic rights and ensure access to services. The following elements of the RPJMN are important to mention:

- Decision to provide 0.73 percent of GDP as the fiscal space in the government budget for ASP.
- Integrating social assistance toward a comprehensive social protection programme. Apart from the increasingly frequent occurrence of natural disasters and climate change in some places, adaptive social protection has not yet fully developed. The current system has not been able to respond to the needs of residents who are victims of disasters.
- By 2019, 30% of central and regional agencies adopt adaptive social protection systems (currently 0).

The Ministry of Social Affairs' Regulation No. 1/2018 outlines the levels of role and coordination among national and subnational government agencies. The ASP programme took this regulation, as well as

Indonesia's National Disaster Response Framework (NDRF), into consideration in the design and implementation of the programme, for example in 2020 as the programme initiated policy dialogue between four ministries and agencies (Centre for Data and Information, Ministry of Social Affairs, National Agency for Disaster Management, Ministry of Environment and Forestry and Agency for Meteorology and Climatology) to discuss the strengthening of linkages between EWS and risk information system.

Similarly, in terms of Indonesia's national SDG targets, the 'Roadmap of SDGs Indonesia towards 2030', social protection (SDG 1) is listed as one of the prioritized goals by 2030.

As ASP was a new concept for the Gol, an ASP Concept Note was developed by GIZ in October 2020. This Concept Note to a large extent formed the basis of operationalising the above-mentioned vision and policy intentions of the Gol. The ASP programme, in turn, largely followed the Concept Note in the design of the programme. As a result, the ASP programme's activities/ projects are considered as well-aligned with the Gol's ASP vision and ongoing efforts. Issues of disagreement/ non-alignment mostly related to the concept of Universal Social protection, considered politically controversial within the Gol, and the way Cash and Voucher Assistance (CVA) was operationalised. UNICEF's (existing) concept of shock-responsive social protection systems programme guidance was used during the implementation of the ASP programme¹¹.

The ASP programme's implementation also aimed to align with local policies. For instance, for the piloting in Mataram, West Nusa Tenggara, the ASP programme has been coherent with the Governor of NTB Provincial Regulation No. 29 of 2021 concerning Poverty Alleviation, with the Mataram City Regional Regulation No. 2 of 2014 concerning Corporate Social Responsibility, and Mataram City Regulation No.70 of 2016 concerning Guidelines for the Implementation of the Mataram City Regional Regulation No. 2 of 2014. Both policies are references in the "Innovative Financing as Instruments for Social Protection and Economic Recovery Post Covid-19 in Mataram City", a study produced by the ASP programme, actively involving several stakeholders (the Regional Development Planning Board (Bappeda) of Mataram, the Social Service Agency (Dinsos) of Mataram, the Office of Cooperatives and SMEs of Mataram (Dinas UMKM), Baznas, the Head of Subdistricts (Camat), as well as the Heads of Villages (Kepala desa)). The involvement of local government in the study was done also to ensure that the piloting and the design were in line with the local governments' vision on ASP.

Respondents stressed the importance of the ASP programme's regional and local governance capacity building interventions as an important match with the Gol's vision of a stronger decentralised operational management of ASP, as well as there being a clear need for that type of capacity building, citing that the successful implementation of ASP stands or falls with the capacities at the local levels.

Coherence with the UN Joint SDG Fund

The coherence of the ASP programme with the UN Joint SDG Fund's objectives and policies was assessed mainly by reviewing the programme with the "Joint SDG Fund: Operational Guidance" (2019) document, as we were informed that the overarching "UNDG Guidance note on Joint Programmes" (2014) document was to be considered outdated.

¹¹ <https://www.unicef.org/documents/programme-guidance-strengthening-shock-responsive-social-protection-systems>

The main purpose of the UN Joint SDG Fund is to catalyse acceleration of the progress on the Sustainable Development Goals (SDGs) and the 2030 Agenda for Sustainable Development. The functions of the Joint SDG Fund are to (i) Identify and activate SDG “accelerators”; (ii) Reinforce the SDG financing architecture and ecosystem; and (iii) Catalyse strategic programming and investments. Its core mandate is to invest in solutions that produce transformative results that catalyse change across systems, sectors, and industries. The UN Joint SDG Fund aims to be an effective contribution to UN reform, by means of the Joint Programmes (JPs).

The UN Joint Programme issued a call for proposals in 2019, with the following criteria for the initial Concept Notes:

- Reflect the integrated nature of the SDGs.
- Based on an inter-agency approach (two or more UN entities involved, maximum 4), that develop and implement the Joint Programme under the leadership of the RC.
- Results are part of the UNDAF and aligned with national SDG priorities.
- The proposal is based on country level consultations, and endorsed by the government; and
- Based on the standard template for Concept Notes, which includes:
 - A Theory of Change demonstrating contribution to SDG acceleration
 - Results-oriented partnerships
 - “Quick wins” and substantive outcome-level results, and initial risk assessment and mitigation measures.

After the Concept Note is approved a full proposal will be developed, with the following criteria: “Results of JPs need to be measurable (based on robust SDG data), catalytic (producing ‘chain reactions’ in development and financial terms), and sustainable (ensuring the preconditions for continued change). Results frameworks of JPs should include indicators from the Joint SDG Fund Results Framework”.

Proposal and reporting formats, and reporting frequencies, are also stipulated in the Operational Guidance.

A mid-term review¹² of the UN Joint SDG Fund (LNOB) programme identified suggested strategies that each of the Joint Programmes should ideally adhere to, matching with the Fund’s Theory of Change:

- **Policy development.** Including activities such as inventorying and mapping national social protection mechanisms and conducting vulnerability risk assessments. Also establishing cross-sectoral governance structures, drafting of policies, regulations and strategies, and coordination and capacity development are considered important.
- **Capacity development** strategies should contribute to developing individual capacities for policy design and for analysis of the financial mechanisms and fiscal space and establish or strengthen organisational capacities by installing or improving systems and platforms that enable the management of social protection programmes, through inventories, registries, statistical analysis, or payments.
- **Financing development strategies** should aim to provide social protection reforms/ improvements with the fiscal space required for their implementation and sustainability. At the output level, fiscal space analyses and identification of financial mechanisms should broaden

¹² Portfolio of Joint Programmes on Integrated Social Protection and Leaving No One Behind Portfolio - Mid-Term Review (2021)

national social protection. Identification and development of the financial mechanisms is enabled by individual capacity development. At the outcome level, policies should contribute to establish the financial instruments for LNOB.

- **Partnership and advocacy** strategies should aim to support the strengthening of partnerships and coordination mechanisms, including between UN agencies and government bodies, the provision of support to advocacy and communication, and learning and knowledge management.
- **Global management and facilitation.** This strategy is more an overall Fund strategy to facilitate global coordination mechanisms between UN agencies and partnerships with resource partners and other stakeholders, and the provision of support to advocacy, communication, and learning and knowledge management. Collectively, the JPs should contribute to this strategy.

Taking the above into account, the reconstructed ToC of the Fund looks as follows (Figure 3):

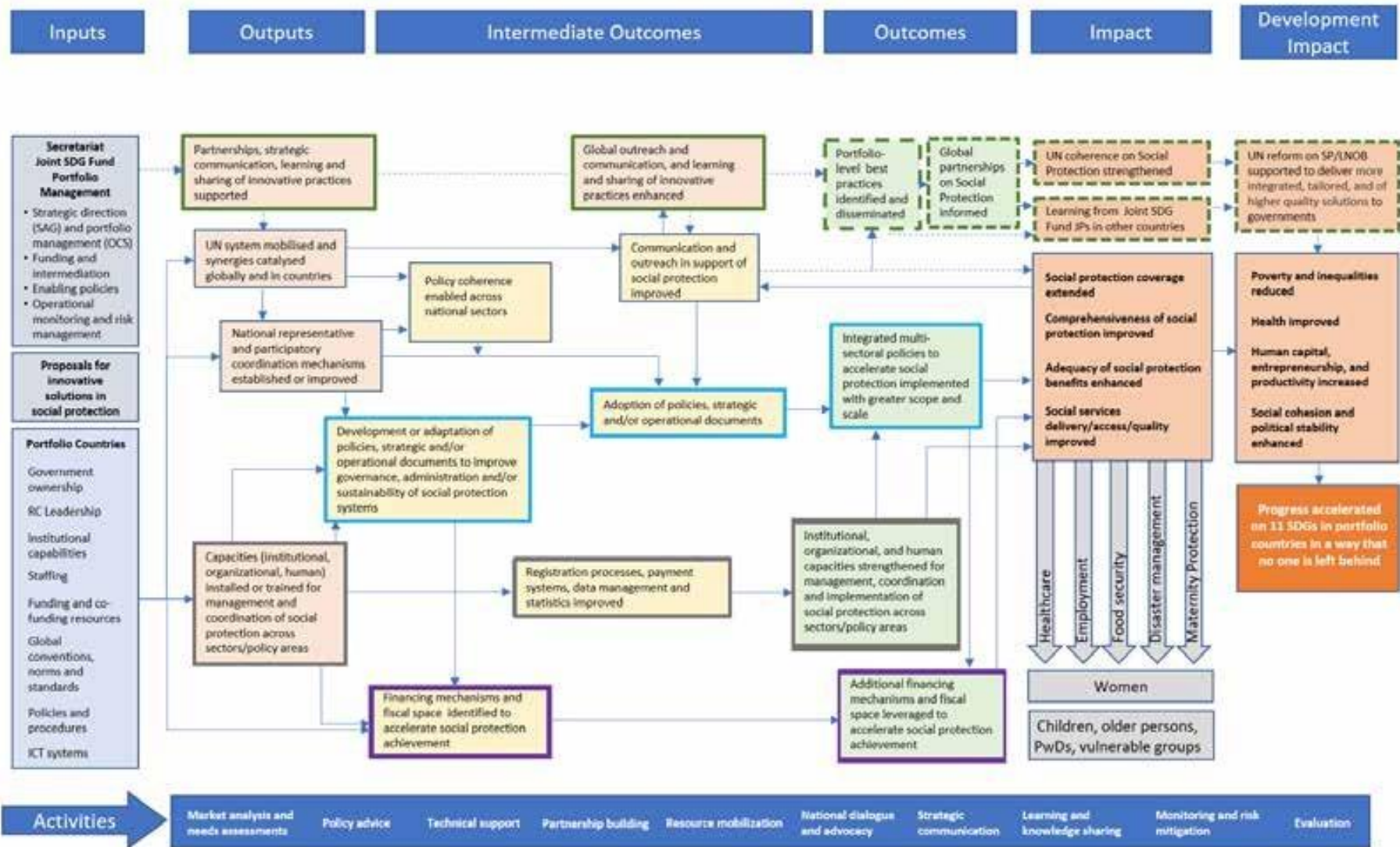


Figure 3: Reconstructed ToC of the Joint UN SDG Fund

The ASP programme contributed to two outcomes of the 2016 – 2020 United Nations Partnership for Development Framework (UNPDF), namely outcome number 2 which is Equitable Access to Social Services and Social Protection and outcome number 4 which is Improved Governance and Equitable Access to Justice for All.

Matching the above with the design and implementation of the ASP programme, the finding of both the consultants as well as the SDG Fund representatives and PUNOs, by means of the interviews and desk studies, is that the ASP programme’s design and implementation is in line with the UN Joint SDG Fund’s objectives and policies. However, consultants noted that the focus of reporting was too much on the alignment with the UN Joint SDG Fund objectives and indicators (a specified format), and hence lacked specificity to measure outcome achievements at the ASP programme level (outcome as defined: use by/ benefit for/ or change in behaviour of the target groups).

5.3. Effectiveness

The UN Joint SDG Fund for ASP (January 2020 – December 2021) addressed four output areas: 1- Partnership and Coordination, 2-Policy and Procedures, 3-Technical and Operational Capacity, and 4-Monitor, Evaluate and Learn. This paragraph provides an overview of the main work of the programme as compared to the planned activities and results (see the reconstructed results-chain in paragraph 2.2).

The effectiveness criterion has four evaluation questions:

1. How well was the programme designed in terms of clarity of outcomes, strategy, relevance and meeting needs of the most vulnerable?
2. To what extent were the intended programme outputs and outcome(s) achieved? Why/ why not?
3. To what extent have the implemented activities and outputs helped achieve the objectives set out in the 4 strategy areas?
4. To what extent is adherence to human rights, equity and gender equality well-articulated and implemented in the programme?

The programme design

The evaluators had difficulties identifying and fully understanding the programme’s intervention logic/ intervention strategy, as some of the terminologies used are unclear and sometimes mixed up: the Annex 3 ToC looks more like the intervention logic than a (broader) ToC, and the Annex 2.2 Joint Programme Results Framework does not actually contain results but rather indicators of the overall UN Joint SDG Fund, which do not necessarily match the outputs and outcomes of the ASP programme.

The programme design is visualised in a Theory of Change (ToC) presented as Annex 3 in the ProDoc. The ToC maps out expected results at different levels (outputs and outcomes) clustered into 4 different output areas with specific but inter-related objectives. While the ProDoc elaborates the programme design in detail, some issues with the ToC were identified: The ProDoc mentions: “The programme is ‘transformational’ in that it will *inform* policy-level change. Within the period of 2020-2021, the SDG Fund will support the Government of Indonesia to launch a comprehensive operation of cash in an emergency response. The SDG Fund will *demonstrate* a system of forecast-based

assistance to people at-risk of or immediately affected by disaster and ensure that beneficiaries have access to other social assistance schemes that serve to reduce their vulnerability. *Through rigorous documentation, the SDG Fund will provide a specific example of impact so that an adjusted programme response may be adopted and linked to other social protection schemes*” (italics by the evaluators).

It appears the above focuses on achieving policy-level change, but whether its ambitions, and hence responsibilities (=Outcome), extent to the ‘inform’ part or to the ‘example of [programme] impact, or even further to the aimed for result of ‘By 2022, the Government of Indonesia has setup and Adaptive Social Protection system that reduces the exposure and vulnerability...etc.’, was not clear, especially since the first sentence of the Overall Strategy started by saying: ‘by 2022, the Government of Indonesia will have laid the foundations and demonstrated compelling building block case examples of an Adaptive Social Protection system.’ These statements and the subsequent ToC in Annex 3 (which looks more like a programme intervention logic), and the Joint Programme Results Framework in Annex 2.2 do not easily match.

Furthermore, there are no indicators against which the achievement of outputs and outcomes could be objectively measured. Also, the two higher level results in the ToC, called impact, were more formulated as outcomes rather than impact.

In consultation with the Evaluation Team, for the purpose of the evaluation, the evaluators reformulated the ToC by making the lower-level results under output areas 1, 2, and 3 ‘immediate outcomes’ and the higher-level results ‘intermediate outcomes. The objective of output area 4 was turned into an intermediate outcome to improve the (likely aimed for) logic of change under this area. The highest-level ToC result, impact, is hence not included in the reconstructed ToC.

The outputs in the ToC were not always the same as the outputs included in the programme activity planning. Adjustments to the outputs were made by the ASP programme, to respond to emerging needs or requests from the Gol. For example, outputs on CVA under output area 1 were added to the ASP programme in response to a request by MoSA. Under output area 2, the output of ‘Gender responsive fiscal space analysis within existing scheme’ was expanded to include costing of ASP and a contingency risk financing mechanism. These were planned to be achieved through the Micro-simulation & fiscal space analysis INDOMOOD. “Established linkages with rights based, gender and disability sensitive programmes, aimed to increase the adaptive capacity (resilience) of households and communities”, an output under output area 2, was deleted from the programme planning because it was considered a cross-cutting principle rather than a standalone output.

After an initial slow start, PUNOs were well-aware of the programme’s overall design and their respective (technical) roles in the ASP programme. Similarly, PUNOs were clear with the outputs under their purview, but a clear understanding and vision of the higher results to which all outputs should contribute was mostly perceived as missing. In fact, the ASP programme objectives in the ToC were perceived as too ambitious to attain within the 2-year timeframe and given the limitations and restrictions due to the Covid-19 pandemic.

Achievement of outputs and contribution to outcomes

The findings presented under this section focus on assessing the contribution of outputs to the higher-level results.

Output area 1. Partnership and coordination

The objective of output area 1 is: **A partnership platform on Adaptive Social Protection is established and effectively coordinates with relevant stakeholders at various levels.** The achievement of this objective is expected to contribute to: **A strategy/ vision for adaptive social protection that is in line with the RPJMN and agenda 2030, is agreed to by all stakeholders through a national dialogue process** (immediate outcome), and eventually to: **Sustained effective and coherent coordination of the partnership platform such that partners existing expertise and resources are geared in support of the overarching road map** (intermediate outcome).

Several mechanisms to promote inter-sectoral and inter-ministerial coordination with the key actors and stakeholders of ASP were established and a platform for coordination among PUNOs set up. Coordination has been implemented in various forms such as meetings, workshops, and dialogues resulting in an increased awareness and understanding among ministries and agencies of ASP, and their respective roles in the implementation of it. Regular coordination meetings facilitated by the programme had enabled government and other ASP actors to share knowledge and start building linkages between, and integration of, different information systems and programmes. A shared and common understanding of ASP between different actors started to be established, although differences of opinions on some aspects still existed because ASP was quite a new concept in Indonesia. The coordination intended to break down silos across ministries and agencies involved in ASP and to connect other ASP actors and key stakeholders such as NGOs, international development agencies and relevant others. Regular coordination meetings facilitated by the programme with the Ministry of National Development Planning (BAPPENAS), the Ministry of Finance (MoF), MoSA, and the Ministry of Villages, Development of Disadvantaged Regions and Transmigration (MoV) were conducted. The internal ASP workshop for MoSA and MoV, which was particularly important for MoSA as the lead ministry for ASP in the country, was highly appreciated by the participants (middle-level managers within the Directorate of Social Protection and Security). Following the arrest of the then minister of MoSA, the ASP programme decided to work with the working level of MoSA, rather than the higher policy levels, despite its low(er) influence in decision making. Not engaging the decision makers of MoSA had a consequence on the programme's ability to gain support from the ministry. For example, acceptance of e-SIMBA as a formal means to implement ASP in MoSA had not happened due to absence of leadership support. Interviews with MoSA suggest that despite joint (informal) effort by the programme and its focal point within MoSA, bringing ASP to the attention of decision makers proved to be challenging. Besides the change in leadership and the different focus of the new minister, mention was made that the cancellation of a higher-level ASP workshop, planned for MoSA DGs dealing with ASP (but outside of the social protection and security directorate), was one of the factors that higher-ups within MoSA were not very much aware and/or committed to ASP. Other mentioned factors were the absence of a Presidential Regulation on ASP and the need to respond to the emerging Covid-19 pandemic.

Regular coordination between the programme and BAPPENAS resulted in discussions to jointly monitor the ASP programme implementation. Similarly, coordination with GIZ and the World Bank, as the actors behind the ASP roadmap, were conducted through several thematic meetings on topics such as vulnerability indicators, Hazard Vulnerability Assessment (HVA) and fiscal space for ASP, and with the World Bank related to the updating of DTKS and MoSA risk information. In relation to DTKS, the programme had ensured the inclusion of vulnerable population groups in socio-economic registration systems, especially children living in institutional care, out-of-school children and people with disabilities. Unfortunately, despite close coordination with BAPPENAS, the ASP programme was

unable to provide direct inputs and support to the ASP roadmap, because BAPPENAS had decided to work bilaterally with GIZ and will only engage other development agencies when the roadmap is concluded. As indicated in the ASP programme report, BAPPENAS' decision to not engage other development partners had a major impact on the formulation of the ASP programme's activities to develop ASP. While direct input and support to the development of the ASP Road Map (as was in the initial AP programme plan) could not be done, interviews with BAPPENAS do suggest that some elements of the ASP Road Map had been 'inspired' by the various studies related to ASP conducted by the ASP programme, such as the use of Village Fund for COVID-19 Response as a model for cash assistance in emergencies. Further evidence of the ASP programme contributing to the ASP Road Map could not be confirmed.

Further support was provided by the ASP programme to contribute to the alignment and integration of the programmes and systems of different ministries and agencies into one ASP: MoSA, BNPB, Ministry of Environment and Forestry, and BMKG had started working on the strengthening of a joint/integrated EWS & risk information system, WFP supported MoSA to strengthen the MoSA Disaster Mitigation Information System's (e-SIMBA) interoperability and connectivity with other risk information systems of other ministries and agencies. The ASP programme facilitated the establishment of a technical team to ensure interoperability of these different systems with MoSA in the lead, but by the end of the ASP programme such a team had not been set up. Non-achievement of this output has hindered the process of achieving the interoperability of three Early Warning System (EWS) and risk information systems – those of BNPB, BMKG and KLHK. The interoperability between these systems is considered vital for ASP, especially because one of the identified problems an ASP system wants to solve is getting the right information from different agencies and ministries.

While coordination between the ASP programme with ministries and agencies improved over the course of the 2 years implementation, inter-ministerial coordination did not occur as expected. Most of the coordination with ministries and agencies was conducted bilaterally (between the PUNOs and the GoI agencies), and interviews with ministries indicate the need for more and higher-level intensive inter-ministerial coordination, rather than at the technical and DG levels. In general, however, coordinating meetings facilitated by the ASP programme were perceived as effective, with clear objectives and well-structured.

In order to increase awareness on ASP among different ministries and agencies, and hence contribute to a shared vision for ASP, the ASP programme also held ASP training workshops. However, the assessment of this evaluation is not that these amount to a 'national dialogue process', as most of these inter-ministerial activities were more trainings or 'socialisation workshops' than evidence of a national dialogue. At the moment different views on ASP still persist among the GoI's agencies, for example on the inclusion of Cash Voucher Assistance (CVA), supported by MoSA, and the view of BAPPENAS that the existing social protection programmes and the ASP road map have been aligned with the principles of CVA and that including CVA as a separate concept into ASP is unnecessary. That there are different views still on ASP itself is not really considered problematic, though, as long as the future ASP Road Map/ ASP system will be comprehensive enough and accepted by all (which is still uncertain).

Coordination did not only take place at the national but also at the subnational levels. Through local consultants/ NGOs, the ASP programme coordinated with provincial and district/city governments, for example in relation to the pilot projects implemented in Central Sulawesi, Yogyakarta and West

Nusa Tenggara. District/city offices of social affairs were engaged by the ASP programme usually during identification and selection of beneficiaries and implementation of the projects. Other offices, such as local planning agencies, were usually invited to the projects' kick off meetings although they were not always available. However, findings from interviews indicate that coordination with subnational government could have been increased, as district/city office of social affairs felt they were not sufficiently engaged during project implementation and monitoring and not updated on the (use of the) final project results. District and provincial planning agencies mentioned they wished they had been involved more, or at least updated on the (use of the) results, as coordination agencies. Without exception, all of those interviewed at the regional and local levels indicated they wished they had been informed better of the project results and lessons learned, as these might be useful for their social protection programming at the local levels.

The (bilateral) coordination of the ASP programme with GoI ministries and agencies resulted in increased understanding of ASP, the respective roles of ministries and agencies, and the identification of synergies and gaps between the visions, policies and systems. Multilateral meetings, between PUNOs and multiple GoI ministries and agencies to align visions and coordinate on ASP in a 'platform' (hence beyond the occasional training), is perceived by most respondents as insufficient.

Coordination with other ASP actors, outside the GoI, also happened as demonstrated by the participation of the ASP programme in meetings and workshops with development actors such as GIZ, the World Bank, and NGOs.

Coordination among PUNOs at the technical levels to achieve outputs was deemed good, although in delivering the work they often represented their own agencies rather than the ASP programme. Factors which are deemed to have contributed to the effectiveness of result area 1 include, in general, the support and high expertise of the PUNOs, intensive and regular (mostly bilateral) coordination meetings and communication (formal and informal) of the ASP programme with the relevant focal points in the ministries, capacity building activities for ministries and agencies on ASP, and the (attempted) establishment and participation in different coordination platforms. Factors identified as hampering the achievements include clarity on the ASP programme's design, a lack of leadership support at some ministries, the absence of higher-level regulation on ASP (although it is acknowledged that that is exactly what the AP programme aimed to contribute to), the short duration of the ASP programme, and a lack of inter-sectoral and inter-office coordination and follow-up at the sub-national levels.

In summary, the objective of output area 1 can be considered achieved as indicated by the [establishment of a common partnership platform](#), although coordination with relevant stakeholders at various levels could have been improved. The contribution to a "[common vision for adaptive social protection that is in line with the RPJMN and agenda 2030](#)" (immediate outcome) cannot objectively be measured due to a lack of indicators and a lack of data (particularly the ASP Road Map and other policies), but responses from interviewees indicate that the ASP programme did contribute to an alignment of visions on ASP. Some ASP concepts that were introduced by the ASP programme, however, were not agreed to by all stakeholders (Universal Social protection and CVA modalities). [Coordination among partners](#) has been initiated and has enabled partners to share existing expertise and resources but it is not measurable if and to what extent it has [supported the overarching road map](#) (intermediate outcome), but responses from interviewees are not indicating a significant contribution.

Output area 2. Setup of (finance) policy and procedures

The objective of output area 2 is Rules, regulation and executive orders clearly define gender-responsive, inclusive ASP as a national and subnational priority. Achievement of this objective is expected to contribute to: Fiscal space has been assessed and adequately accommodates for scope and scale of likely hazard scenarios (immediate outcome) and eventually to: Institutional arrangements including fiscal policy and procedures are in place for a comprehensive approach covering lifecycle, equity, gender and other guiding principles (intermediate outcome).

Under this output area, the extent to which existing social protection programmes have benefitted vulnerable groups such as children, women and girls, and those traditionally excluded in existing programmes has been analysed through several studies. Other studies focused on identifying and exploring alternative financing sources for social protection. The inclusion of children specifically, and a lifecycle approach in general, were important elements of activities undertaken by the ASP programme under this output area. Awareness of social protection throughout the lifecycle has been addressed among the 4 ministries (MoSA, Ministry of Women and Child Protection, Ministry of Health, and Ministry of Education and Culture) with whom the MoF had been coordinating different activities/projects. One of these activities was a study by the University of Indonesia and the UNDP on budget analysis of social protection programmes for children in Indonesia, aimed at raising the awareness of the relevant ministries of the importance of including children into their budgets. The results of the study have been disseminated and a workshop was conducted on how to include children's needs in the budgeting. Since no regulations on child inclusive budgeting is in place, it is unclear if any ministry has started to adjust their budgeting process accordingly. The study will continue this year at the national and provincial levels. Three other ministries (the decision on which ministries is not yet confirmed) and 4 provinces where UNICEF office is located, will be included in a follow-up study.

Identification of funding for social protection programmes have been identified through various studies. In terms of exploring financing sources, studies on the use of the Dana Desa (Village Fund) for COVID-19 Response as a model for cash assistance in emergencies and on Innovative Financing for Social Protection at National and Subnational Level were conducted. The use of the village fund for cash assistance during emergencies has the potential to be included in future ASP policies, but the coordination to ensure effective transfer of money from the fund is challenging (risk of misappropriation). Similarly, how much of the fund can be used for emergency responses needs regulations as villages also have other priorities.

The study on, and piloting of, innovative financing for social protection programmes in two target provinces has identified other financing sources: the private sector (Corporate Social Responsibility (CSR) programmes), philanthropy and religion-based organisations were engaged to explore their potential contribution to strengthen the government's social protection. However, the companies whose CSR decisions are made at their headquarters did not make firm long-term commitments. The implementation of these (innovative financing) pilots is noteworthy for its scale and LNOB approaches: they involved many different stakeholders from district/city and provincial levels, representing governments, NGOs, disability groups, and villages, to ensure the needs of different groups were accommodated. 3200 beneficiaries from the two pilots were selected from vulnerable groups affected by Covid-19, including persons with disabilities, the elderly, poor households, the unemployed, and micro, small and medium enterprises (MSMEs). The selection of the beneficiaries

was not only based on DTKS and non-DTKS data but also, in the case of the pilot in Mataram, based on the input from the city office of social affairs to ensure that all the subdistricts were covered. Stimulant funding was distributed along with training on entrepreneurship to help the beneficiaries with starting or continuing business. However, even though the implemented trainings were viewed as important to help MSMEs better manage their finances and to be economically stronger, interview findings also suggest that many of the beneficiaries had no business aspiration nor experience, and thus used the stimulant funding for other purposes. The short duration of the ASP programme was reported as the main reason why the verification of data of the beneficiaries (and hence identification of beneficiaries) and implementation of the training was challenging.

With regards to costing of ASP, contingency risk financing mechanism, and responsive fiscal space analysis, UNICEF in partnership with Southern African Social Policy Research Insights (SASPRI) tested the cost and distributional impacts of different scenarios. The analysis of fiscal space for ASP through the microsimulation of tax revenue using a tool called INDOMOD was also reported as effective and appreciated by the Ministry of Finance (MoF) and viewed as useful for policy formulation. In fact, using this tool, data analysis can be undertaken faster, and the application can be adapted to suit different purposes. However, the usefulness of the application can be jeopardised by poor quality and timelines of data, which often is the case with government data supplied by different agencies. Hands-on training on the use of INDOMOOD with more, and more accurate, data was reported to be required for it to be relevant to the needs of different users who were using different data analysis methods which often were not in-sync with each other. MoF was engaged throughout the training and was closely consulted during the concept formulation, development of the training module and needs assessment. SASPRI continued providing support beyond the training, respondents mentioned that support from SASPRI is still needed to modify the tool to better address the needs of its users. The leadership at MoF expressed its satisfaction with the training and the support for the use of the application. This is deemed important to also gain support from other relevant ministries.

The results of study on financing for children, combined with a household survey, will reportedly be analysed using INDOMOOD in the future. The survey, the first round completed, analysed the impact of Covid-19 on households, including children. As with the study on financing for children, obtaining quality data was challenging for the survey (overlap of data and data delay).

To support the upcoming ASP system, the ASP programme assisted MoSA in developing academic texts on ASP. However, interviews with MoSA suggest that reviews of documents for harmonisation were conducted but not followed up because the ASP Road Map was not officially shared yet. There was concern that if developed, the draft regulation would not be fully in line with the Road Map. For the Ministry of Villages (MoV), the ASP programme has supported the development of two guidelines and modules, namely Guidelines on the Facilitation of Climate Responsive Village and Guidelines on the Facilitation of Disaster Responsive Villages, in September 2021. Both guidelines were tested in North Lombok at the provincial and village levels, including trainings on how to operationalise the guidelines at the village levels. Overall, the guidelines, which were developed jointly with other ministries, were easily understood and accepted by the stakeholders. Input from 20 provinces and 60.000 villages were sought to improve the guidelines. However, interviews with the MoV indicates that this will be challenging given the sheer number of islands and communes to cover, and the potential lack of support from village leaders to communicate the guidelines to their members. As such, it is unclear what the future of these Guidelines will be.

In summary, under output area 2, fiscal space has been assessed and accommodates for scope and scale of likely hazard scenarios. Innovative financing for ASP has been explored, and guidelines developed for the MoV, all of which serve as foundation for policy development by the GoI at the national and subnational levels.

In terms of innovation, the ASP programme has introduced innovative approaches to social protection programming such as the Piloting 100% Socio-Economic Registration, involving expansion of the vulnerability criteria to include girls, women-headed households, elderly women and pregnant women, improvement of e-SIMBA for EWS interoperability, linking CVA to ASP, and strengthening the existing locally led social protection programme.

Departing from the existing SP programme, UNICEF facilitated subnational regulation to expand existing locally led social protection.

Despite these efforts, no formal policies and regulations were discussed with the ASP programme, let alone developed with the help/ contribution/ influence of outputs achieved under output area 2. Hence, the attainment of/ relevant contribution to the intermediate outcome of policy and procedures are in place for a comprehensive approach covering lifecycle, equity, gender and other guiding principles could not be confirmed. Again, the absence of a presidential decree/ regulation on ASP and uncertainty about the contents of the ASP Road Map, to which alignment should be made, were mentioned as major hindering factors.

In summary, [contribution to gender-responsive ASP policies](#) have been made through various studies and pilots, but no [actual policies, regulations or executive orders](#) have been developed/issued yet. An [assessment of fiscal space](#) has mainly been conducted by the MoF, [accommodating for scope and scale of likely hazard scenarios](#) (immediate outcome). However, no [institutional arrangements are in place for a comprehensive approach covering lifecycle, equity, gender and other guiding principles](#), and as such it is not measurable if and to what extent the ASP programme has contributed to this intermediate outcome, but responses from interviewees are not indicating a significant contribution.

[Output area 3. Testing of technical and operational capacity](#)

The objective of output area 3 is [Scope and scalability of operational systems of a gender-responsive ASP are developed and tested](#). Achievement of this objective is expected to contribute to: [Capacities strengthened to analyse risk including risk induced by climate change, natural disasters, conflicts and other shocks](#) (immediate outcome) and eventually to: [Integrated platform with improved methods in early warning systems, measuring risk and impact to trigger shock responsive social protection](#) (intermediate outcome).

Under this output area, the ASP programme worked to link different early warning and risk information system platforms, operated by different agencies, to a social protection system to trigger preventive actions. Integration of these platforms is key to ensure effective emergency response following a natural hazard, which otherwise would rely on assistance provided in-kind, with a limited scale of cash-based transfers. To enhance the existing warning systems, WFP improved its VAMPIRE's early warning and risk monitoring tool, particularly in the context of flooding, identifying hazards, exposed locations and potential impacts of disasters. Discussions with BMKG were held to improve the GoI's capacity to assess risks and identify vulnerable communities and individuals across the country.

One output related to this area concerns the expansion of e-SIMBA, a data and information management system that was initiated to match various data on the implementation of social protection activities at MoSA. This output aimed at promoting system interoperability and connection between three Early Warning and Risk Information Systems operated by the National Agency for Disaster Management (BNPB), National Meteorology, Climatology and Geophysical Agency (BMKG) and Ministry of Environment and Forestry (KLHK) to be integrated with the e-SIMBA. In order to trigger anticipatory social protection actions. As indicated in the e-SIMBA expansion report, the platform is now increasingly focused and directed towards active response to disaster events as well as providing insightful information for strategic decision making at MoSA. Findings from interviews suggest that regular meetings contributed to the alignment of the platform to the vision and policies of MoSA, but also that e-SIMBA is still not fully ready to be used. Hampering factors were not only the lack of leadership support at MoSA, but also the difficulty in getting different data sets from government agencies. Additionally, while the platform can identify data on geographical locations, targeting the right groups is a challenge especially because district level data is not always aligned with that at the subdistrict and village levels.

Another ASP programme activity, conducted jointly by WFP and the Asian Disaster Preparedness Centre (ADPC), was a review and refinement of existing methodologies, indicators, and criteria to improve targeting of specific groups vulnerable to climate-related hazards and eligible for support under ASP schemes, matching LNOB objectives of the UN Joint SDG Fund and the GoI's policies. The study was intended to fill the gap in existing (GoI) data which is collected by different agencies and available on disjoint platforms. This data was also considered not sufficient for disaster management purposes. The study recommended to collect more indicators and data. Unfortunately, it is unclear what happened with the results of the study to link risk assessment and early warning systems. It appears not to have been communicated yet to the relevant ministries and agencies. The vulnerability and hazard indicators and thresholds, suggested in the review, will still need to be discussed by WFP in planned consultations and technical meetings with the GoI, and may potentially still be revised and strengthened. The idea is to integrate the final results into existing EW and RI platforms, including e-SIMBA of MoSA and WFP (PRISM), for evidence-based analysis and an improved identification of locations and beneficiaries of the ASP. This has yet to happen.

One output not implemented yet under this output area is the development of an ASP Standard Operation Procedure(s) (SOP) for MoSA. Interviews with respondents suggest that as per guidance from BAPPENAS and a request by MoSA, the ASP programme instead conducted studies on MoSA's social protection programmes Sembako Adaptif and PKH Adaptif. The lessons learned from these two programs will be used to better inform future ASP policies of MoSA and the development of an ASP SOP.

Active engagement of the relevant ministries is considered instrumental in the success of the activities conducted under output area 3. A lack of support from MoSA's leadership to e-SIMBA and an absence of a technical-working group which could connect ministries and agencies operating different data platforms, have been mentioned as two factors hampering results. The PUNOs indicated they will follow up on the produced outputs in coordination with the relevant ministries, beyond the ASP programme.

In summary, [operational systems of a gender-responsive ASP have been developed and tested](#) and government [capacities to analyse risks, including risks induced by climate change, natural disasters,](#)

conflicts and other shocks, can indeed considered to have been addressed (immediate outcome). Initial work to establish an **integrated platform with improved methods in early warning systems, measuring risk and impact to trigger shock responsive social protection** (intermediate outcome) has started but to achieve the full integration of the platform, further support from the PUNOs and relevant ministries is required. As such, this intermediate outcome can not yet be considered achieved.

Pillar 4. Monitoring, Evaluation and Learning

The objective of output area 4, per the reconstructed ToC is: **Comprehensive information and knowledge related to the programme implementation is accessible by relevant institutions.**

Achievement of this objective is expected to contribute to: **Analytical reports and policy documents developed and disseminated to inform social protection policy and programmes within and across countries** (immediate outcome), and eventually to: **Institutions adopt insights and learning to inform gender-responsive programmes, policy and institutional changes** (intermediate outcome).

The ASP programme has shared the experience of ASP implementation in Indonesia at national, regional, and international forums, through conferences, webinars, and other public events. In addition to sharing lessons learned from the ASP programme in Indonesia, the learning and sharing events implemented by the ASP programme were also aimed at discussing new concepts such as CVA, promoting inter-ministerial coordination, awareness raising of ASP to the wider public, and gathering feedback for programme improvement.

Over the two years of the ASP programme implementation, the ASP programme has published numerous news articles, social media posts, videos and other information materials accessible to relevant institutions and wider public. Internally, as indicated in the ASP programme's reports, corrective actions to the ASP programme have been made.

In summary, knowledge (products) produced during the ASP programme have been well-documented in different formats and shared with relevant institutions (output) through multiple channels.

Analytical reports, for example on CVA and Covid-19 response, have also been **developed and disseminated to a wider audience** than only ASP programme stakeholders, both **nationally and internationally, but no policy documents have been developed to be shared** (immediate outcome).

As with the earlier mentioned outcomes, due to the lack of data (Road Map, policies, or in the programme documents), no information was available about the extent to which **learnings and insights from the ASP programme have been adopted** (intermediate outcome), either partial or in full. However, responses from interviewees are not indicating a significant contribution.

5.4. Efficiency

The evaluation has two evaluation questions on efficiency:

1. Was the organisational set-up, coordination and collaboration among UN agencies, and collaboration and contribution of the concerned ministries and others working well to help ensure quality outputs and accountability?
2. How efficiently has the Joint Programme been managed, given the human and financial resources available?

The organisational set-up, coordination and collaboration among UN agencies

One of the objectives of the UN Joint SDG Fund, as mentioned above, is to make effective contribution to UN reform, by means of the Joint Programmes (JPs). These JPs are supposed to ensure the PUNOs work together to get a more coherent, cross-sectoral cooperation and support to the government (and to support the SDGs), under the leadership of the UN Resident Coordinator, assisted by the Resident Coordinator's Office (RCO).

The ASP programme was deliberately designed with leveraging the complementarities of the mandates and technical expertise of four different UN agencies (UNICEF, UNDP, WFP and UN OCHA) in mind. Roles and responsibilities among the PUNOs were established based on their expertise and resources and taking into consideration their existing network and time availability. Each PUNO was assigned specific outputs to avoid duplication of work. For instance, under Output 3 on the 'synergies between risk assessment and early warning systems to trigger shock-responsive social protection,' UNICEF led the advocacy with BAPPENAS on 100% social registration and with MoSA on the expansion of its risk and disaster mitigation information platform through promoting systems interoperability. Meanwhile, WFP provided technical support through system development, research on vulnerability indicators with potentially integrating them into the system to serve for evidence generation on the potential disaster risks and forecasting the exposure to and impact of climate hazards on the most vulnerable communities for anticipatory actions and response.

Reportedly, the ASP programme started a bit slow, partly due to Covid limitations, partly due to staff turnover, but certainly also due to a slow set-up of management operations. This caused inaction and unclarity of ASP programme objectives at the various PUNOs (and other stakeholders), at the start of the ASP programme. Once this was solved through setting up a PMU, by August 2020 (8 months after the start), and after clarifying the programme objectives and ToC with the help of a consultant, the ASP programme really took off. Different PUNOs (but also government partners) often referred to this 8-month delay, and to the fact that once the PMU had been established, increased efficiency and effectiveness in the programme management really accelerated implementation.

The ASP programme was implemented jointly by UNDP, WFP, OCHA and UNICEF, with the latter as the lead agency, with overall oversight from the RCO (the RCO has no programmatic role/mandate). While the Resident Coordinator is signing the ProDoc, thus accountable for the results achieved, there were no funds allocated to the RCO to monitor the implementation of the JP. Nevertheless, in the ProDoc the RCO (not RC) was foreseen to "lead [the] coordination of the UN partners with this 'partnership platform'", to "...report the implementation of this initiative at BAPPENAS and UNFDC", and "...[lead an] interagency Pokja (Working Group)" (ProDoc, page 32). Both the ProDoc (page 34) as well as the UN Joint SDG Guidelines (page 19) place the responsibility for overall monitoring with the RC ("the Resident Coordinator will be required to monitor the implementation of the joint programme"). This dual management set-up (of UNICEF as the lead, but the RC overall in charge) did cause some confusion at times. The PMU did not clearly stipulate each PUNOs management role, tasks and responsibilities, and the UN Joint SDG Guidelines do not provide a clear description of the different tasks and responsibilities either (of the Lead vs RCO). Subsequently, reportedly the RC took its main role to be of coordinator, ensuring partnerships and preventing siloed work, ensuring reports have been on time and with good quality and generally do M&E quality assurance.

The above might well be the cause of the below feedback given by the various (PUNO and non-PUNO) respondents to the evaluators, regarding the organisational set-up, coordination and

collaboration among UN agencies. The feedback below is a summary of all comments related to this evaluation question, with a number indicating how many respondents mentioned this comment:

- After the PMU was set up, the ASP programme's management and implementation really improved (all).
- The technical cooperation and coordination at the 'lower' (WG) levels, both between PUNOs as well as with the government agencies, was good (enough). However, higher up the (PUNO) chain, it appears interest, commitment and time spent was significantly less. The number of meetings for Deputies and Heads of Agencies, stipulated in the ProDoc, was not met (only 4 meetings were held by the Deputies, and none by the Heads). Overall, strong involvement, coordination and lead from the Deputies and Heads was perceived missing (8).
- Even among PUNOs there was not always a similar understanding of what ASP itself meant and looked like, and (hence) what the ASP programme aimed to achieve (8).
- The above resulted in the feedback that some agencies still were perceived to work in siloes, sometimes even launching, and reporting on, main activities as their own, and not as the UN Joint Fund (4).
- PUNO (and some government and other) respondents did report that they were satisfied with the complementarity of strengths of the different PUNOs.
- However, a crucial question in terms of management and coordination remains lingering: what is the way forward? How did we ensure, and potentially can still ensure, that what the ASP Programme did will be included in the GoI's policies (sustainability issues as well)?

The above-mentioned coordination issues and the limited involvement of the Deputies and Heads of Agencies became even more pronounced when the ASP programme faced commitment issues at MoSA and needed to advocate for ASP towards the ministerial level. It was noted that the RC did support in sending letters to the minister.

Given the intended roles of the individual UN agencies vs. RC in the UN Joint SDG Fund's JPs (UNICEF leading and coordinating, but the RC in charge of monitoring), this raises questions as to who should have stepped up more to improve inter-UN coordination and be the 'one UN voice' towards the GoI and among the PUNOs in this JP.

The collaboration of the PUNOs with the concerned ministries and others

In terms of coordination of the ASP programme with the concerned ministries and other agencies, a similar pattern emerges as mentioned above: at the beginning many national level agencies, including the lead coordination agency BAPPENAS, were unaware of the programme's objectives and sometimes even of its activities. This improved after the set-up of the PMU and more structured coordination meetings (monthly meeting between the ASP programme and BAPPENAS). At this national level, however, specifically with BAPPENAS, it took longer for the coordination and management to be up to speed. However, BAPPENAS had already set up an inter-ministerial and inter-agency ASP technical working group (WG) at the national GoI level before the ASP programme's start, but since the ASP programme was not part of this WG, the need for intensive coordination with BAPPENAS was paramount. Reportedly only halfway 2021 BAPPENAS had the complete picture of what the ASP programme was supposed to do and achieve. Part of the reason for this was that the ASP programme did not consistently 'speak with one voice' and individual PUNOs bypassed BAPPENAS to work directly with the relevant ministries. As a result, rather than representing the ASP programme, PUNOs were sometimes perceived to have worked as individual agencies, focusing only

on the specific output(s) under their purview, and the ASP programme was perceived by Gol institutions as a collection of different objectives by different PUNOs, rather than a programme with a unified objective to be collectively achieved through different PUNOs.

Furthermore, leadership changes at the highest level within MoSA, and later a different level of commitment towards ASP at these highest levels within MoSA, was mentioned by most respondents as one of biggest hurdles to effective and efficient cooperation with the Gol's institutions and agencies. A planned WG lead by MoSA, focusing on the interoperability of risk information, was discontinued, which hampered effective coordination on this specific topic.

Overall, as the ASP concept was new to the Gol and its ministries and agencies, oftentimes the ASP programme and its individual implementors faced confusion and delays at the Gol side (just as they happened at the PUNOs side, see above) while trying to implement the activities/ projects. Most PUNOs and other respondents, however, indicated that these issues could/ should be expected when trying to (contribute to) implementing a new policy concept.

All in all, it appears that there were broadly two types of ASP programme collaboration meetings, of which the most prevalent one is bilateral meetings between individual PUNOs with Gol agencies. These meetings were assessed (by the respondents) as efficient: meetings were mostly short and well-prepared with a clear agenda. The second, least prevalent one is inter-ministerial meetings (or rather: activities). However, these inter-ministerial meetings were more related to workshops and trainings (a workshop on ASP modules, a workshop on village-based social protection, an ASP training etc.), rather than inter-ministerial coordination and planning meetings (or if coordination and planning was considered a step too far, even just sharing what had been done by the ASP programme could have been a topic).

Efficiency in management of the ASP programme (human and financial resources)

Overall, the implementation of the ASP programme is considered efficient if judged by the UN Joint SDG Fund's most dominant efficiency parameters (as mentioned in the Operational Guidance (2019) as well as the Mid-Term Review (2021)): time frame and disbursement of funds.

The evaluators did not plan to look at resource use versus programme achievements (cost-effectiveness). This was a deliberate choice, as it has proven be difficult to establish the outcomes achieved of the ASP programme (see above, paragraph 5.3, Effectiveness), and hence to establish cost-effectiveness.

What can be said about use of resources is that the PUNOs mostly used their own premises and staff for the management and implementation of the ASP programme.

5.5. Sustainability

The sustainability evaluation criterion has one evaluation question:

1. To what extent are the benefits of the joint programme, specifically for the poorer and vulnerable populations, likely to continue?

Overall, the evidence described above shows the efforts of the ASP programme to address inclusion of vulnerable populations into ASP. This section of the evaluation report will highlight institutional,

resource and network issues that have been considered to carry forward future activities of ASP development in Indonesia.

Sustainability at the national level

At the national level, there is mixed evidence among the ministries and agencies involved in the ASP programme regarding sustainability. The ASP leading ministries, such as MoSA (on livelihood programmes, shock responsive social protection), MoEF (climate mitigation), MoV (disaster responsive village), etc., will continue the implementation of ASP. The ASP programme has provided MoSA and the MoV with an increased understanding of ASP and a closer relationship with other GOI agencies and donor organisations on ASP, as well as with some civil society organisations. But a planned ASP programme workshop, aimed to provide clarity and understanding to the MoSA leadership (directors, DGs, and the minister), on ASP, and to facilitate strategic decisions considered necessary for the initiation of ASP at the national level, never took place. Also, even though ASP is already in MoSA's RPJMN, top management support has not yet proven to be very strong. As a result, also within MoSA there still is confusion on its vision of ASP, and there is no comprehensive mechanism which outlines the different roles and tasks/ responsibilities of relevant bodies on ASP and how they will coordinate the SP efforts in crisis situations.

However, as with impact, the presidential regulation that is about to be launched is regarded by most respondents as the defining factor regarding sustainability of ASP.

The Ministry of Finance has the ability and willingness to continue the activities of their involvement in the ASP programme. Among other activities, the MoF was mostly involved in the testing of INDOMOD, assisted by SASPRI. Based on documents and interviews, the MoF has built its capacity to use INDOMOD and has the support from the leadership to continue the initiative. They aspire to have SASPRI provide them with hands-on training to use INDOMOD effectively on their own.

The MoV has been equipped with several Guidelines, which, if used, would indeed aid the sustainability of the outputs of the ASP programme. To which extent they will be used, however, is unclear.

Interviews with ADPC suggests that the study by ADPC and WFP (a review and refinement of existing methodologies, indicators, and criteria to improve targeting of specific vulnerable groups) has the potential to be integrated in the government data indicators for social protection with some adjustment taking into consideration the government perspectives. This would significantly aid the sustainability of SP for poorer and vulnerable populations.

Furthermore, although an indicative future workplan is mentioned in the ASP programme's Annual Report 2021, it is still unclear which PUNOs will continue to provide funding for follow-up initiatives. WFP already indicated it will continue working with MoSA to finalise the expansion of e-SIMBA, including training. If (other) PUNOs decide to simply phase out, then the ministries, including MoSA, need to have a plan on how to provide resources for programme continuation/sustainability. As yet, there is no evidence of this.

Sustainability at the subnational level

Subnational governments engaged in studies and pilots also worked on sustainability of ASP programme results: they did mention leadership support and additional possible sources of financing - both from their own and from the national government, as well as from local stakeholder networks. Some of the subnational levels (Palu and Mataram) re-established a CSR forum in their cities, aimed

to provide resources/ assistance related to ASP. However, this support is merely a possible funding source, not a sustainable commitment. A potential strategy being discussed to make the CSR commitment more 'promising'/ sustainable is a collaboration between local civil society organisations and local government bodies to influence private sector partners to allocate resources.

In term of providing fiscal space for local resource towards ASP, the evidence is still scant on whether subnational governments are able and ready to provide sufficient budgets.

The prospect of scaling up the programme towards other regions in Indonesia remains unclear.

Enabling factors

Based on a study by LEPM UI, although addressed explicitly (and hence limitedly) to the COVID-19 emergency response, the institutions that are ready and open to support the government to provide innovative financing mechanisms of adaptive social protection are numerous. This includes national and subnational government agencies, private sector actors, SOEs (state-owned enterprise), charitable institutions, and even some limited initiatives from community members themselves. Although not yet formalised as the network of actors that will sustain or continue the ASP programme results, this potential support can be followed up by the government given the strong commitment of government agencies to engage as many stakeholders as possible. Whether the ASP Road Map includes this (potential long-term) partnership as shown during the COVID-19 emergency response, and extends it to other ASP issues, is unclear.

The usefulness of collaborating with other actors was mentioned in interviews with both national and subnational governments, and by PUNOs themselves when talking about working together with their implementing partners that included research institutions and NGOs. Most respondents from ministries and subnational governments also claimed that working in partnership with NGOs, UN agencies and donors has given them a better understanding of social protection mechanisms, especially on ASP.

There was, unexpectedly, a relatively narrow involvement of the media and limited engagement of education institutions (mostly as contractors of research and studies) in the ASP programme to create wider awareness on ASP. 'Communication for development' was not really covered in this ASP programme but could lead (in future) to a more 'enabling environment' for ASP activities.

5.6. Impact

The evaluation formulated one evaluation question on impact:

1. What are the longer-term positive/ negative, intended/unintended (side-) effects of the programme?

Impact had been defined as: The extent to which the intervention has generated or is expected to generate significant positive or negative, intended or unintended, higher-level effects.

Hence, for impact to be assessed, higher-level effects need to have occurred (or not), and that is currently difficult to say for this ASP programme. As per the ToR and the discussion with the Evaluation Team, impact is hard to measure because the programme only just finished, and its outcomes are mostly related to (effectuated) policy changes that have not yet been implemented (or at least evidence of that is not available).

Hence, the evaluation resorted to asking respondents on what they thought the potential future positive (or negative) impact of the ASP programme would be. The findings are summarised below in three major categories:

- The general agreement is that most of the projects and activities implemented at different levels have the potential to improve the resilience of vulnerable populations which are most prone to disaster.
- All respondents mentioned that they were quite confident of a positive future impact of the programme's overall results, mainly mentioning the holistic view on ASP that the programme advocated, the fact that an ASP Road Map has been produced, and that a presidential regulation is on the way. All mentioned that the presidential decree is the single most crucial aspect of impact and sustainability.
- A last set of comments (if not to say 'expectations for the future') stated that the (future) focus on improving the capacity of district/city level governments, also as a result of the programme, and an increased awareness of the private sector, religion-based organisations, and other organisations involved in pilot projects, is expected to result in more concerted and coordinated support to continue empowering vulnerable populations at the lowest levels. This increased awareness of the importance of multi-stakeholder collaboration can be considered an unplanned effect.
- To emphasise the above point: many respondents suggested future (UN and other) programmes to focus on the actual implementation capacity of (lower level) government agencies and other organisations.
- Some respondents mentioned the importance of finalising and finetuning the e-Simba and DTKS systems, in order to generate a positive impact in future.

6. Conclusions, Lessons Learned and Recommendations

This chapter presents the conclusions, lessons learned and recommendations of the evaluation, based on the findings as presented in chapter 5. For readability and conciseness, the conclusions will be presented in paragraph 6.1 per evaluation criterion and are numbered. This way, the conclusions are easily matched/ traceable to the findings in chapter 5. Similarly, the conclusions are easily matched with the recommendations in paragraph 6.3.

6.1. Conclusions

Conclusions on relevance

1. The timing of the UN Joint ASP programme was right, and the ASP programme responded to the most pressing categories of capacity needs of the GoI with several activities/ projects, which are considered relevant (i.e., expansion of government social protection programmes amid COVID-19). Where the GoI and the ASP programme's visions diverged was mainly on two things: the need for Universal Social Protection, considered politically controversial within the GoI, and the way Cash and Voucher Assistance (CVA) was operationalised.
2. However, even though the overall ASP programme's projects and activities were largely assessed as relevant (and the outputs mostly achieved), the programme itself was criticised for a lack of coherence. Meaning: internal programme coherence of the various projects/ activities to achieve a certain overarching outcome. In other words: clarity on the extent to which the ASP programme's projects and activities contributed to a larger, integrated approach to ASP. One of the potential reasons for this is that the ASP programme appears to have focused more on the individual activities/ projects within the programme, rather than on the connection, and measurement of the contribution of these to the higher up, wider ASP policy setting and achievements at national and/ or local levels, which is currently still under development.
3. As a result, to what extent the ASP programme's outputs (by means of its projects and activities) were relevantly contributing to defining a national ASP system/ the ASP Road Map, or indeed to wider policies (the intermediate outcome levels of the ASP programme), is hard to measure, but the feedback on direct measurable contributions to the ASP Road Map itself is not all positive. However, parts of the ASP Road Map were reported to have been 'inspired by the programme'.
4. When asked about inclusivity and human rights issues (LNOB focus-including gender), stakeholders agree that this was sufficiently addressed in the various activities/ projects of the ASP programme (29 major activities focused specifically on LNOB, see Annex 7, including type of vulnerable groups).

5. Stakeholders specifically mentioned that the operationalisation of ASP, and the capacities to implement this, is as by no means yet sufficient, particularly at the local levels. The final ASP's relevance (for the vulnerable groups) would be measured at these levels.

Conclusions on coherence

6. The ASP programme's activities/ projects are considered as well-aligned with the Gol's ASP vision and ongoing efforts. Issues of disagreement/ non-alignment mostly related to the concept of Universal Social protection, considered politically controversial within the Gol, and the way Cash and Voucher Assistance (CVA) was operationalised.
7. The ASP programme's implementation also aimed to align with local policies, and the involvement of local governments tried to ensure that the piloting and the design were in line with the local governments' vision on ASP.
8. The ASP programme's design and implementation is in line with the UN Joint SDG Fund's objectives and policies. However, the focus of reporting lacked specificity to measure outcome achievements at the (national) ASP programme level.

Conclusions on effectiveness

9. After an initial slow start, PUNOs were well aware of the ASP programme's overall design and their respective roles in the ASP programme. Similarly, PUNOs were clear with the outputs under their purview, but a clear understanding and vision of the higher results to which all outputs should contribute was mostly perceived as missing. Furthermore, there are no indicators against which the achievement of outputs and outcomes can be objectively measured.
10. The ASP programme's (mostly bilateral) coordination with the Gol ministries and agencies resulted in an increased understanding of ASP and the respective roles of ministries and agencies, and the identification of synergies and gaps between the visions, policies and systems. Multilateral meetings, between PUNOs and multiple Gol ministries and agencies to align visions and coordinate on ASP in a 'platform' (hence beyond the occasional training), is perceived by most respondents as insufficient. Similarly, coordination with subnational governments could have been improved, as district/city office of social affairs felt they were not sufficiently engaged during project implementation and monitoring and not updated on the (use of the) final project results.
11. The coordination and cooperation between the ASP programme and ministries/ agencies took mostly, and most effectively, place at the technical (WG and DG) levels. Gaining buy-in and support for ASP from the higher-level leadership of the involved ministries proved to be challenging. This was caused by several system factors such as a lack of awareness of ASP, the absence of higher-level regulations (i.e., presidential decree), an ASP roadmap, etc., but certainly also because of a lack of personal commitment and support at the ministerial level. This has impacted on the ASP programme in a number of ways, but most notably at the outcome levels. Consequently, it is unclear if and how the deliverables of the ASP programme will be followed up.
12. Overall, in terms of effectiveness of the ASP programme, the outputs of the four output areas can be considered to have been (mostly) achieved. The contribution of these outputs to the planned outcomes, particularly the intermediate outcomes, is as yet limited due to various factors such as the short timeframe to measure policy changes, the absence of a

presidential regulation on social protection, a lack of leadership support at the national level, and the Covid-19 pandemic.

Conclusions on efficiency

13. The ASP programme started a bit slow, partly due to Covid restrictions, partly due to staff turnover, but certainly also due to a slow set-up of management operations. This caused inaction and unclarity of ASP programme objectives at the various PUNOs (and other stakeholders). This was largely solved when a PMU was set up in August 2020 (8 months after the start of the programme).
14. The ASP programme was implemented jointly by UNDP, WFP, OCHA and UNICEF, with the latter as the lead agency. Overall responsibility and oversight lie with the RC, with support of RCO. The PMU did not clearly stipulate each PUNOs role, tasks and responsibilities, and the UN Joint SDG Guidelines do not provide a clear description of the different tasks and responsibilities of the Lead vs RCO either. As a result, this dual management set-up did cause some confusion at times.
15. The technical cooperation and coordination at the 'lower' (WG) levels, both between PUNOs as well as with the government agencies, was good. However, higher up the (PUNO) chain, it appears interest, commitment and time spent was insufficient, particularly at Deputy and Heads of Agency level. Given the intended roles of the individual UN agencies vs. RC in the UN Joint SDG Fund's JPs (UNICEF leading and coordinating, but the RC in charge of monitoring), this raises questions as to who should have stepped up more to improve inter-UN coordination and be the 'one UN voice' towards the Gol and among the PUNOs in this JP. This was often also referred to when mentioning one of the biggest hurdles of the ASP programme: leadership changes at the highest level within MoSA, and later a different level of commitment towards ASP at these highest levels within MoSA. Overall, it appears there still is room for the PUNOs to improve on appearing as 'One UN'.
16. Even though some respondents reported 'siloed' working methods of some PUNOs, at the same time the complementarity of the PUNOs expertise and strengths was hailed.

Conclusions on sustainability

17. A lack of knowledge of the formulated ASP Road Map/ wider ASP system until today is a challenge for the assessment of the sustainability of the results of the ASP programme. At the national level, there is mixed evidence among the ministries and agencies involved in the ASP programme on the ownership and 'use' of the achieved ASP programme outputs (which would be the outcomes), and hence sustainability. The most promising evidence on sustainability is the presidential regulation that is about to be launched soon.
18. One of the biggest issues in terms of sustainability is the commitment within the Ministry of Social Affairs, which is/ will be one of the lead ministries on ASP in Indonesia. Even though ASP is already in MoSA's RPJMN, top management support has not yet proven to be very strong. As a result, also within MoSA, there still is confusion on its vision of ASP, and there is no comprehensive mechanism which outlines the different roles and tasks/ responsibilities of relevant bodies on ASP and how they will coordinate the SP efforts in crisis situations.
19. At subnational levels, local governments, civil society organisations and other stakeholders appear to be motivated to take on ASP initiatives but need follow-up support to build capacities on ASP. There was limited involvement of the media and education institutions

to create wider awareness and buy-in on ASP (in society). This could have contributed to a more 'enabling environment' for ASP activities ('communication for development').

20. It is still unclear which PUNOs will continue to provide funding for follow-up initiatives. WFP already indicated it will continue working with MoSA to finalise the expansion of e-SIMBA, including training. If (other) PUNOs decide to simply phase out, then the ministries, including MoSA, need to have a plan on how to provide resources for programme continuation/sustainability. As yet, there is no evidence of this.
21. MoF has also expressed interest to continue exploring the use of INDOMOOD making the best of it to conduct fiscal space analysis for ASP.

Conclusions on impact

22. 'Real' impact was not possible to measure, as the ASP programme just ended and higher-level (policy) results were (as yet) unknown/ hard to establish due to the unavailability of national level policy documents.
23. However, all respondents mentioned that they were quite confident of a positive future impact of the ASP programme's overall results, mainly mentioning the holistic view on ASP that the programme advocated, the fact that an ASP Road Map has been produced, and that a presidential regulation is on the way.

6.2. Lessons Learned

A few higher-level lessons can be drawn from the above conclusions.

1. The PUNOs as well as the GoI's ministries and agencies really applaud the joint UN approach and would like to see more of it;
2. The ASP programme appears to be a good effort to implement a 'One UN'-focused joint programme. At the same time, the ASP programme appears (still) to be more a collection of individual 'projects' implemented by different agencies, rather than an actual integrated programme. Setting up a (cross-agency) PMU really helped to (partly) mitigate this;
3. It appears that the collaboration between GoI ministries and agencies on the one hand and the PUNOs on the other, should (also) be more multilateral, more cross-agency, for a joint vision and goal to be strengthened. This could (partly) mitigate any absence of higher-level regulations; and
4. The ASP programme was a policy-influencing and -strengthening programme, which was affected by the usual policy-programme problems: difficulties in programme design, unclear programme results measurements, GoI programme ownership, and a lack of focus on the 'enabling environment'.

6.3. Recommendations

The above-mentioned findings and conclusions were discussed in a multi-stakeholder validation workshop. Furthermore, the recommendations that followed from these findings and conclusions were discussed, and all involved ASP programme stakeholders (PUNOs and GoI alike) were given ample time to reflect and provide comments on the findings, conclusions, and the recommendations (in total, three rounds of feedback were conducted).

The findings, conclusions and above-mentioned rounds of reflections and comments lead to the following final recommendations for future (similar) Joint Programmes:

Recommendations	Urgency and target group (TG)
<p>1. Even though the UN Joint SDG Fund ‘prescribes’ a fixed format for the individual JPs’ Concept Notes and proposals, future JPs should define better:</p> <ul style="list-style-type: none"> d) The aimed for <i>outcomes</i> at the (national) programme level, and how the different outputs (and output areas) are planned to contribute to these outcomes. In other words: a stronger results orientation, instead of a project/ activity focus. e) <i>Programme specific indicators</i> at both the output and outcome levels, and the reporting on these. The SDG Fund’s Guidance and reporting format does not exclude the possibility of these programme specific indicators. f) An M&E system which generates data that could have assisted with the above-mentioned results-oriented management. <p>Furthermore, set up a dedicated PMU early on, among others to ensure the above.</p>	<p>-Urgency: N.A -TG: UN Joint SDG Fund, RCO, JP Leads</p>
<p>2. Provide clearer descriptions of the tasks and responsibilities of the Lead agency vs. RC(O) and ensure a stronger involvement of RC(O) in the <i>external</i> coordination and advocacy (the ‘One UN’ voice).</p>	<p>-Urgency: N.A -TG: UN Joint SDG Fund, RCO, JP Leads</p>
<p>3. While the bilateral technical meetings between PUNOs and Gol institutions would in a future programme need to continue, more attention should be paid to organising/facilitating <i>multilateral</i> meetings, <i>aligning visions and discussing different views on ASP</i>, and <i>gaining buy in from the higher-level leadership</i> (also see recommendation nr. 2). Similarly, the good engagement of local/ subnational governments during the planning/ inception phase of activities should be expanded to better involve these local government institutions during project implementation and inform them better of the results and follow-up.</p>	<p>-Urgency: N.A -TG: RCO, JP Leads</p>
<p>4. A stronger outcome orientation, not only in the planning (see recommendation nr. 1) but specifically with regards to the <i>management</i> of the ASP programme is required to improve the relevance and potential impact of the programme (including to gain buy in from the higher-level leadership at the Gol institutions). This means:</p> <ul style="list-style-type: none"> d) Define better the aimed for outcomes and indicators (see recommendation 1). e) Ensure (better) the understanding of the PUNOs involved of the <i>outcomes</i> to be achieved, and their commitment to 	<p>-Urgency: N.A -TG: UN Joint SDG Fund, RCO, JP Leads</p>

<p>achieving these, through regular meetings and (internal) reporting on the outcomes (rather than on the formulated activities/ projects only).</p> <p>f) Ensure the RC manages and steers (more) on the outcome levels and takes the responsibility for achieving and reporting on these (see also recommendation 2).</p>	
<p>5. Follow-up SP projects and activities should increasingly focus on capacity building of the subnational levels, local governments, civil society organisations and other local level stakeholders, to ensure increased capacities to <i>implement</i> ASP (in line with future national ASP policies).</p>	<p>-Urgency: N.A -TG: RCO, JP Leads</p>
<p>6. Future JPs should improve the involvement of the media and education institutions to create wider awareness on ASP, and as such contribute to a more 'enabling environment' for ASP activities ('communication for development').</p>	<p>-Urgency: N.A -TG: UN Joint SDG Fund, RCO, JP Leads</p>

Annexes

Annex 1 Evaluation Matrix

Abbreviations used for approaches: **ToC**: Theory of Change. **RC**: Results-Based Management (the Results Chain). **MSC**: Most Significant Change.

Abbreviations used for data collection methods: **INT**: Interviews. **DS**: Desk Study. **FGD**: Focus Group Discussions. **SV**: Survey.

Category	Evaluation Question	Approaches	Guiding questions	Data collection methods and sources
Relevance	1-To what extent is the process of defining the ASP Roadmap (resulting from the Programme) relevant to the Gol's capacities in reducing exposure and vulnerability of the poor and those particularly vulnerable due to climate-related extreme events and other economic, social and environmental shocks and disasters? Particularly for people with disabilities, women and girls, minorities and other disproportionately affected groups? To what extent did the Programme contribute to this?	<ul style="list-style-type: none"> • ToC • RC • MSC 	<p>Relevance:</p> <ul style="list-style-type: none"> • How did the programme of assisting the Gol in defining an ASP Roadmap come about? Who defined the needs, and how were these needs 'field tested'? • What has been done to test the future ASP's relevance in the field and what were the results? • Was equity, gender equality and human rights beneficiaries and aspects clearly taken into account in the design and testing process of the future ASP? How? • To what extent were the mentioned issues (in paragraph 2.1) taken into account in the design and testing? • What do external parties say about the potential relevance of the (as yet unknown) ASP, particularly in positive and negative intended and unintended consequences (specifically for the poor and vulnerable populations)? 	<ul style="list-style-type: none"> • DS • INT/FGDs • SV <p>Sources:</p> <ul style="list-style-type: none"> -Program and Gol policy documents (see Annex 3) -Interviewees (see paragraph 4.3 and Annex 2)
	2- What are the major influencing factors affecting the ASPs development process over the last 2 years, to design an ASP that will relevantly meet those (above-mentioned) needs?	<ul style="list-style-type: none"> • MSC • ToC 	<ul style="list-style-type: none"> • What (still) hampers meeting the needs, especially of the more vulnerable populations? • How important are these for the success of the future ASP and how urgent should these be addressed? How? 	<ul style="list-style-type: none"> • INT <p>Sources:</p> <ul style="list-style-type: none"> -Interviewees (see paragraph 4.3 and Annex 2)
Coherence	3-To what extent are the programme's intermediate outcomes and outputs in line with (the spirit of) the Gol's vision on ASP?	<ul style="list-style-type: none"> • ToC • RC 	<ul style="list-style-type: none"> • Were all policies and regulations reviewed and taken into account in the programme's activities and outputs? At all levels? • To what extent did the programme use and complement existing Gol policies, at the national and local level, to maximize impact? 	<ul style="list-style-type: none"> • DS • INT <p>Sources:</p> <ul style="list-style-type: none"> -Program and Gol policy documents (see Annex 3) -Interviewees (see paragraph 4.3 and Annex 2)
	4-To what extent is the programme design and the programme	<ul style="list-style-type: none"> • RC 	<ul style="list-style-type: none"> • Did the design and the final implementation match the spirit and formulated objectives of the SDG Fund? 	<ul style="list-style-type: none"> • DS • INT

	implementation in line with the Joint SDG Fund's objectives and policies?		<ul style="list-style-type: none"> • Is the programme in terms of design and implementation in line with LNOB principles? 	<p>Sources:</p> <ul style="list-style-type: none"> -Program and Gol policy documents (see Annex 3) -Interviewees (see paragraph 4.3 and Annex 2)
Effectiveness	5-How well was the programme designed in terms of clarity of outcomes, strategy, relevance and meeting needs of the most vulnerable?	<ul style="list-style-type: none"> • ToC • RC 	<ul style="list-style-type: none"> • How was the programme designed? What needs identification processes and tools were used, and how inclusive (LNOB) was the process? • To what extent were all relevant parties consulted and was their feedback taken into account? • Does the ProDoc provide sufficiently clarity on results to be achieved, the strategy on how to achieve these, and with whom? 	<ul style="list-style-type: none"> • DS • INT • SV <p>Sources:</p> <ul style="list-style-type: none"> -Program and Gol policy documents (see Annex 3) -Interviewees (see paragraph 4.3 and Annex 2) -Survey results
	6-To what extent were the intended programme outputs and outcome(s) achieved? Why/ why not?	<ul style="list-style-type: none"> • ToC • RC 	<ul style="list-style-type: none"> • To what extent have the programme objectives been achieved? Were they achieved on time? • What have been the major factors influencing the achievement or non-achievement of the programme's objectives? How did Covid19 affect the implementation? 	<ul style="list-style-type: none"> • DS • INT • SV <p>Sources:</p> <ul style="list-style-type: none"> -Program and Gol policy documents (see Annex 3) -Interviewees (see paragraph 4.3 and Annex 2) -Survey results
	7-To what extent have the implemented activities and outputs helped achieve the objectives set out in the 4 strategy areas?	<ul style="list-style-type: none"> • ToC • RC • MSC 	<ul style="list-style-type: none"> • Were the activities and outputs of the programme consistent with the intended plan? To what extent did these activities include the poor and vulnerable populations? • To what extent is the contribution to achieving a higher level clear? 	<ul style="list-style-type: none"> • DS • INT • SV <p>Sources:</p>

				-Program and Gol policy documents (see Annex 3) -Interviewees (see paragraph 4.3 and Annex 2) -Survey results
	8-To what extent is adherence to human rights, equity and gender equality well-articulated and implemented in the programme?	<ul style="list-style-type: none"> • ToC • RC • MSC 	<ul style="list-style-type: none"> • Were HR, E and GE sufficiently incorporated into the programme's design and to how well were these issues addressed during implementation? 	<ul style="list-style-type: none"> • DS • INT • SV Sources: -Program and Gol policy documents (see Annex 3) -Interviewees (see paragraph 4.3 and Annex 2) -Survey results
Efficiency	9-Was the organisational set-up, coordination and collaboration among UN agencies, and collaboration and contribution of the concerned ministries and others working well to help ensure quality outputs and accountability?	<ul style="list-style-type: none"> • ToC • RC 	<ul style="list-style-type: none"> • How did the collaboration and cooperation go at all levels? What factors hampered or contributed to the collaboration/ cooperation? 	<ul style="list-style-type: none"> • DS • INT • SV Sources: -Program and Gol policy documents (see Annex 3) -Interviewees (see paragraph 4.3 and Annex 2) -Survey results
	10-How efficiently has the Joint Programme been managed, given the human and financial resources available?	<ul style="list-style-type: none"> • RC 	<ul style="list-style-type: none"> • What do the partners think about the efficiency of the management of the Joint Programme, given the human and financial resources available? • What have been the costs, including both funds and in-kind support? 	<ul style="list-style-type: none"> • DS • INT Sources: -Program and Gol policy

				documents (see Annex 3) -Interviewees (see paragraph 4.3 and Annex 2)
Sustainability	11- To what extent are the benefits of the joint programme, specifically for the poorer and vulnerable populations, likely to continue?	<ul style="list-style-type: none"> • ToC • RC • MSC 	<ul style="list-style-type: none"> • What have been the major factors that influenced the achievement or non-achievement of sustainability of the joint programme, and to what extent will they continue to influence to benefits of the joint programme? 	<ul style="list-style-type: none"> • DS • INT • FGD Sources: -Program and Gol policy documents (see Annex 3) -Interviewees (see paragraph 4.3 and Annex 2)
Impact	12- What are the longer-term positive/negative, intended/unintended (side-) effects of the programme?	<ul style="list-style-type: none"> • ToC • RC • MSC 	<ul style="list-style-type: none"> • To what extent do these hamper the sustainability of the programme results, specifically for the poorer and vulnerable populations? • What should be done about these, if anything? 	<ul style="list-style-type: none"> • INT • FGD • SV Sources: -Program and Gol policy documents (see Annex 3) -Interviewees (see paragraph 4.3 and Annex 2) -Survey results

Annex 2 Interviewees and survey respondents

Interview respondents

Governments	UN Organisations, INGOs and CSOs
GOI National	PUNOs
BAPPENAS - Dhinar Kharisma	WFP - Saidamon BODAMAEV
Ministry of Village, Disadvantage Regions and Transmigration - Anastutik Wiryaningsih	UNICEF - Annisa Gita Srikandini
Ministry of Finance - Rina Karlina	UN OCHA - Titi Moektijasih + Victoria
Ministry of Social Affairs - Yadi Muchtar	UNDP - Saputra Liadi
Province and District City	UN RCO - Afke Bootman
Department of Social Affairs, Sleman District - Eko Suhargono	Secretariat of UN Joint SDG Fund for ASP - Nenad Rava
Social Affairs Province Central Sulawesi – Ridwan Mumu	Implementing Partners
Social Affairs Palu City - Ronny	SASPRI - Gemma Wright
Provincial Planning Office NTT - Noverius H Nggili	CEDS UNPAD - Adiatma Siregar
Provincial Planning Office Yogyakarta - Taufiq Arrahman	PKBI – Yospina Liku La'bi'
Provincial Planning Agency NTB - Suryadi	TRANSFORM - Markum
District Planning Palu - Arfan	ADPC - Dewi Anggraini
District Social Affairs Mataram - Leni Oktavia	RedR - Wiwit Prasetyono
Other	LPEM UI - Muhamad Sowwam
UN Resource Persons – Saut Sagala	Selected Experienced INGOs/CSOs
	WVI - Hestin Kezia
	CRS - Helmi Hamid

Survey recipients

GOI & Implementing Partners	PUNOs
Ministry of Social Affairs	Residence Coordinator Office (RCO)
Yadi Muchtar	Afke Bootsman
Dika Yudhistira	Diandra Pratami
	Erlangga Agustino Landiyanto
Ministry of Village, Disadvantage Regions and Transmigration	UNICEF
Ir. Eppy Lugiarti, MP	Robert Gass
Anastutik Wiryaningsih	Yoshimi Nishino
	Annisa Gita Srikandini
Ministry of Finance	Hayatun Nafysa
Johan Zulkarnain Khasim	Anna Lisa Robertson
Rina Karlina	Tatiana Ten
	Lina Sofiani
BAPPENAS	Suci Wulandari
Dhinar Kharisma	I Made Suwancita
	Aryanie Amellina
NGOs / CVA Working Group	James Kimani
WVI - Hestin Klaas	UNDP
	Marina Ten
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67.	UN Joint SDG Fund Stakeholders		

Annex 4 Original ToR

Title of the assignment: Joint Final Evaluation UN Joint Programme Adaptive Social Protection

1. Background and Justification

UNICEF, UNDP, WFP and UN OCHA with support from the Joint SDG Fund, are supporting the Government of Indonesia in laying the foundation of Adaptive Social Protection (ASP). As a concept, ASP intends to link the roles of social protection in responding and mitigating shocks and climate risk. ASP aims to integrate three communities of practices called Disaster Risk Reduction (DRR), Climate Change Adaptation (CCA) and Social Protection. In the context of national policy framework, ASP is one of Indonesia's national priorities as set out in the National Medium-term Development Plan 2020–2024 and is part of the country's strategy to reform social protection. Under the leadership of the Ministry of Planning (*Badan Perencanaan dan Pembangunan Nasional* (BAPPENAS), the Government began the work on the ASP by developing a Roadmap which will serve as a reference document for ASP's legal framework, policies, and programmes. It is expected the Roadmap including the Presidential Regulation on social protection reform will be launched early 2022.

The ASP Joint Programme has been at the heart of the development of ASP in the country. Through the ASP Joint Programme, the four UN agencies work in four important output named coordination & partnership, fiscal space & regulation for ASP, testing & setup Standard Operating Procedures (SOP), monitoring – evaluation & learning. At the national level, the program works with seven ministries/agencies, these are BAPPENAS, Ministry of Social Affairs (MoSA), Ministry of Villages, Disadvantaged Regions and Transmigration (MoV), and Ministry of Finance (MoF), Ministry of Environment and Forestry, National Agency for Disaster Management, National Agency for Meteorology, Climatology, and Geophysics (BMKG). At the sub-national level, the program works in five provinces: West Nusa Tenggara, East Nusa Tenggara, Yogyakarta, Central Sulawesi and West Sulawesi.

The two years programme (January 2020 – December 2021) has contributed to the improvement of cross-sectoral and inter-ministerial coordination for ASP between the UN and Government and development partners, inclusion of vulnerable population groups into the social registry, expansion of the risk information system for disaster management and establishing interoperability between three major Early Warning Systems (EWS) in the country, generating evidence to inform decisions on financing options for ASP, advocate the development and sustainability of locally-led social protection programmes at the sub-national level and provide recommendation for G-20. The implementation of the intervention is at the final stage. So, UN Joint Programme intends to document what works well and what not for learning and future evidence informed-programming.

After completion of a joint programme, a final, independent and gender-responsive¹ evaluation will be organized by the Resident Coordinator. The cost needs to be budgeted, and in case there are no remaining funds at the end of the joint programme, it will be the responsibility of PUNOs to pay for the final, independent evaluation from their own resources.

The programme will be subject to a joint final independent evaluation with established arrangements for managing the joint evaluation. The final evaluation will be managed jointly by the PUNOs as per established process for independent evaluations, including use of a joint evaluation steering group and dedicated evaluation managers not involved in the implementation of the joint programme. The evaluations will follow the United Nations Evaluation Group's (UNEG) Norms and Standards for Evaluation in the UN System, using the guidance on Joint Evaluation and relevant UNDG guidance on evaluations. The management and implementation of the joint evaluation will have due regard to the evaluation policies of the PUNOs to ensure the requirements of those policies are met; and with use

of appropriate guidance from PUNOs on joint evaluation. The evaluation process will be participative and will involve all relevant programme's stakeholders and partners. Evaluation results will be disseminated amongst governments, donors, academic institutions and stakeholders of civil society (including workers' and employers' organizations) and a joint management response will be produced upon completion of the evaluation process to be made publicly available on the evaluation platforms or similar of the PUNOs.

In doing so, UNICEF as the lead agency that administers final evaluation on behalf of the joint programme is seeking for institutions/organizations with strong technical expertise and experience on final evaluation to perform the 'Final Evaluation for UN Programme for ASP.' The evaluation is expected to be conducted from February 7th– March 31st, 2022. This process will inform the achievement of the program against the designated main transformative results, outcome and output indicators including to present findings and recommendations from this summative evaluation to assess the achievement of UN Joint programme for ASP, inform the replication and scale-up of UN Joint programme for ASP and to produce lesson learnt for future UN Joint Programme.

2. Purpose of the assignment

UN Joint SDG Fund for ASP commissioned the Final Evaluation for the program is an effort to promote accountability and enhance learning and documentation.

The purpose and objective of the final evaluation is manifold.

a. Purpose

The evaluation will assess overall contribution of UN Joint SDG Fund for ASP in laying the foundation of ASP in the country particularly in the context of policy development both at national and sub-national level, regulatory frameworks, coordination, capacity strengthening, expansion of risk information and system, social registry and learning & knowledge exchange. The initial evaluation will provide programme staff of the Participating UN Organizations (PUNOs) and partners with evidence on the extent to which results can be demonstrated based on programme documentation. The evaluation will provide assurance to stakeholders that the programme is robust, that objectives are adequately defined, that causal linkages are clarified, that its indicators are validated and that systems are in place to measure and verify results.

b. Objective

Specifically, the objectives of the final evaluation are as follows:

1. To assess the relevance, effectiveness, efficiency, coherence, and sustainability of the joint programme from its inception to its completion, with focus on its ability to respond to the needs of the most vulnerable households.
2. To examine the conceptual underpinnings and design of the program including its underlying Theory of Change (ToC) are integrated.
3. To document and provide recommendations regarding lessons learned, good practices and innovations to better inform the sustainability plan of the program.
4. To inform of the achievements of the program against the designated main transformative results, outcome and output indicators of the UN Joint SDG Fund ASP as defined in its Overall Results Framework
5. To assess evidence from programme experiences and approaches that have proven effective in meeting the needs of vulnerable households.
6. To review the implementation of the programme, including governance and implementation arrangements, monitoring and reporting arrangements, in order to gather lessons learned that can help the continuation of the ASP project as well as other future programmes.

3. Scope of Work:

The summative evaluation will provide an independent evaluation of the joint programme, and it will be forward-looking by reinforcing good practices, identifying areas for improvement, and providing conclusions and recommendations. It will be conducted to assess progress made and provide recommendation for the sustainability of the program. The final evaluation provide evaluation of the approach taken by UNICEF, UNDP, WFP and UN OCHA, whether the assumptions made in the ToC are appropriate, whether activities and interventions are indeed contributing to progress within the framework of the ToC, whether the proposed approach is scalable and to determine why or why not progress is occurring. Of course, where the final evaluation does yield evidence in relation to impact and outcomes, these will be reflected upon in the report.

The summative evaluation will be conducted using the modified Organization for Economic Co-operation and Development/Development Assistance Committee (OECD/DAC) evaluation criteria of relevance, effectiveness, efficiency and sustainability as well as equity, gender equality and human rights considerations. Key final results evaluation questions (and sub-questions) include the following:

Relevance of the contribution of the UN Joint SDG Fund in laying the foundation of ASP in 7 ministries and 5 sub-national governments with the anticipated national policy of ASP.

- Are the activities and outputs of UN Joint SDG Fund for ASP consistent with the national priorities on ASP and the attainment of its objectives?
- Do the interventions by the Joint Programme contribute to develop the foundation of ASP to prepare the anticipated policy of ASP?
- To what extent is ASP relevant to the most vulnerable households? Have services been fully adapted to meet the needs of different groups?
- Are the activities and outputs of the joint programme consistent with the intended plan?

Coherence: The final evaluation will evaluate the coherence of the programme with the SDGs acceleration and UN Country Team coherence in contribution to UN Reform and contribution and how it improves the situation of vulnerable groups.

- How feasible is the Joint Programme with respect to meeting the needs of vulnerable groups exposed to climate-related and other disasters, and what are the major influencing factors affecting the programme's capacity to meet those needs?
- To what extent have the programme objectives been achieved? Were they achieved on time?
- What have been the major factors influencing the achievement or non-achievement of the programme objectives in providing foundation of ASP as set in the joint programme document?
- To what extent is the responsibility for ensuring adherence to human rights, equity and gender equality objectives well-articulated and implemented in the programme?
- How did JP actions affect gender inequality and the situation of targeted people living with disabilities, and older people? Did the duty bearers' work: (1) improve the lives of women, girls, gender diverse people and targeted people living with disabilities, and older people? (2) maintain existing gender inequalities; and (3) worsen the circumstances for women, girls, gender diverse people and targeted people living with disabilities, and older people?

Effectiveness of the Joint Programme outputs in relation to the main question follow:

- To what extent have the activities implemented helped achieve the objectives set out in the joint programme in the areas of partnerships and coordination, policy and strategy, technical and operational capacity and learning?

Efficiency of the Joint Programme outputs – both qualitative and quantitative – in relation

to the inputs provided:

- How efficiently has the Joint Programme been managed, given the human and financial resources available? What have been the costs, including both funds and in-kind support?
- Are activities low in cost and affordable (yet, of adequate quality to improve the situation of vulnerable households) exposed to climate-related and other disasters?
- Is the current organisational set-up, coordination and collaboration among UN agencies, and collaboration and contribution of the concerned ministries and others working effectively to help ensure quality outputs and accountability? What more might be done to improve efficiency?
- Have the integrated social protection services been implemented in an effective and efficient way, both in terms of human and financial resources to other alternatives?

Sustainability of the benefits of the integrated social protection services provided:

- To what extent have the strategies adopted by the joint programme contributed to sustainability of results?
- To what extent is the joint programme supporting long-term buy-in and ownership by duty bearers and rights holders?
- What is the likelihood of the Joint Programme objectives to be sustained beyond the duration of the joint programme?
- What are the lessons learned about the ASP programme?
- To what extent are the benefits of the joint programme likely to continue?
- What have been the major factors that influenced the achievement or non-achievement of sustainability of the joint programme?

Impact to examine the changes on policy development of ASP which attributed to specific intervention of the Joint Programme based on cause and effect analysis.

- What are the initial results (intended and unintended) of the activities implemented/interventions?
- To what extent are these results likely to have a positive impact in the establishment of ASP in Indonesia?
- What are the biggest challenges to the SDG joint programme to achieving the desired results, and how can these challenges be overcome?
- How can future activities maximize the achievement of the objectives of the programme?

In specific, as persons with disabilities are among the most vulnerable and marginalized groups across countries and considering the critical role that social protection can play in supporting their inclusion, most joint programs had identified them as direct or indirect beneficiaries. In line with the Leaving No One Behind principle and the obligations stemming from the Convention on the rights of persons with disabilities, even programs that do not target directly persons with disabilities should ensure that persons with disabilities within targeted population can access the program without discrimination.

The evaluation will therefore assess to what extent:

- Joint programme design, implementation, and monitoring have been inclusive of persons with disabilities (accessibility, non-discrimination, participation of organizations of persons with disabilities, data disaggregation)
- Joint programme effectively contributed to the socio-economic inclusion of persons with disabilities by providing income security, coverage of health care, and disability-related costs² across the life cycle.

² [Joint statement on inclusive social protection system for full and effective participation and inclusion of persons with disabilities](#)

Some of the guiding questions on persons with disabilities

1. To what extent did the program target persons with disabilities?
 - i) Not specifically targeted
 - ii) One of the groups of direct beneficiaries targeted
 - iii) Main target group for the program
2. To what extent did the design and implementation of activities of the joint program supported includedisability-related accessibility and non-discrimination requirement?
 - a. No requirements
 - b. General reference
 - c. Specific requirements
3. To what extent have persons with disabilities, in particular children and women with disabilities, beenconsulted through their representative organizations?
 - a. Not invited
 - b. Invited
 - c. Specific outreach
4. To what extent did support to data collection and analysis, registries, and information system featuredisability?
 - a. No reference to disability
 - b. Disability included via Washington group short set or similar but no analysis
 - c. Disability included via Washington group short set or similar
 - i. Part of general analysis
 - ii. with specific analysis
5. To which extent did the program contribute to support inclusion of persons with disabilities via:
 - a. Ensuring basic income security
 - b. Coverage of health care costs, including rehabilitation and assistive devices
 - c. Coverage of disability-related costs, including community support services
 - d. Facilitate access to inclusive early childhood development, education, and work/livelihood

Methodology

Referring to the objectives of the final evaluation, this section indicates a possible design, approach, methods and processes for the final evaluation. Methodological rigor will be given significant consideration in the evaluation of proposals. Hence bidders are invited to interrogate the approach and methodology proffered in the ToR and improve on it or propose an approach they consider more appropriate. In their proposal, the bidder should refer to triangulation, sampling plan and methodological limitations and mitigation measures.

The final evaluation will employ both a theory-based, iterative (using a developmental approach) and a qualitative approach drawing on key background documents and the internal M&E system. The background documents include:

- A baseline and end line as indicated on the Program Document
- An annual and a final narrative consolidated report,
- A quarterly report,
- Quarterly updates on financial delivery (frequency to be determined); and
- Consolidated activity reports including study report, survey, consultancy report, Government guidelines
- A compilation of communication products i.e., monthly newsletter, Human Interest Story.

At a minimum, the final evaluation will draw on the following methods.

a) Desk Review

- Literature review and desk review of background documents and other relevant data, including review and analysis of secondary quantitative data.

b) Qualitative Study

- Key Informant Interviews (KIIs) with the following stakeholders: UNICEF, UNDP, WFP, UN OCHA, Resident Coordinator's Office (cover both the technical working group and Heads of Agencies) BAPPENAS, Ministry of Social Affairs (MoSA), Ministry of Villages, Disadvantaged Regions and Transmigration (MoV), and Ministry of Finance (MoF), Ministry of Environment and Forestry, National Agency for Disaster Management, National Agency for Meteorology, Climatology, and Geophysics (BMKG), Provincial Government of West Nusa Tenggara, Provincial Government of East Nusa Tenggara, Provincial Government of Yogyakarta, District of Sleman, Provincial Government of Central Sulawesi and Provincial Government of West Sulawesi. The evaluator also needs to interview the implementing partner of UN Joint SDG Fund such as University of Indonesia, University of Padjadjaran, RedR, Asian Disaster Preparedness Center (ADPC), Southern African Social Policy Research Institute.
- Focus Group Discussions (FGDs) with relevant stakeholders at the national and sub-national level.
- Case studies (in-depth interviews).

The list of proposed KIIs, FGDs and in-depth interviews to be conducted as part of the study should be shared with UNICEF, UNDP, WFP and OCHA for feedback and suggestions before their undertaking. Target respondents for conducting Key Informant Interviews and Focus Group Discussions should be done in consultation with UNICEF, UNDP, WFP and UN OCHA. Overall, the evaluation should inform and consult with these agencies at key stages of the assessment process (inception phase, qualitative study methodology and list of interviews and FGDs, draft report, final report, etc.)

Considering escalation on the ongoing pandemic of COVID-19 in Indonesia especially during the period of evaluation (February - March 2022) and as part of commitment to maintain precautionary measures, the process of KIIs, FGDs and in-depth interviews will be done virtually. Face to face interview will be undertaken upon agreement with PUNOs and when & where the situation permits.

4. Management Structure

Evaluation Committee will be established to govern the evaluation. The RC will lead the Steering Committee to supervise the evaluation including to provide strategic oversight and final clearance. To administer the evaluation, the Management Group will work to manage and guide the evaluation process. The member of the management group is the four UN agencies of JP ASP.



5. Ethical Considerations

The final evaluation will be consistent with the UNEG norms and standards, the [UNEG Ethical Guidelines](#) and [UNEG Code of Conduct](#) and the [UNICEF Procedure on Ethical Standards in Research, Evaluation and Data Collection and Analysis](#) and will ensure:

- **Respect for rights of individuals and institutions:** The evaluator will accord informants the opportunity to participate voluntarily while maintaining their anonymity, and to make an independent decision to participate without pressure or fear of penalty (informed consent/assent). Also, interviewers will assure respondents that information would be confidential, and that reports would be written such that responses/contributions would not be traced back to them. Interview notes and any recordings will be accessible to the team members only.

- **Respect for cultural identities and sensitivities:** Variances in ethnicities, culture, religious beliefs, gender, disability, age will be respected.

Professional responsibilities and obligations of evaluators: The evaluator will exercise independent judgement and operate in an impartial and unbiased manner. During data collection, any sensitive issues and concerns will be addressed through the appropriate mechanisms and referral pathways.

6. Timing/duration of contract:

February 7th – March 31st, 2022 (53 days)

7. Deliverable and payment schedule

Task	Deliverable	Deadline	Percentage Payment
<p>1. Inception</p> <ul style="list-style-type: none"> • Developing PowerPoint presentation to facilitate discussion during Kick Off meeting • Kick off meeting with Participated United Nations(PUNOs) and BAPPENAS • Developing inception report 	<p>Inception Report</p> <ul style="list-style-type: none"> • Develop presentation for the kick-off meeting which consists of background, research questions, methodology, research instruments, timeline • Present the design, instruments and plan to receive input and feedbacks from PUNOs and BAPPENAS • Develop inception report revised the workplan as per input from PUNOs and BAPPENAS <p>The Inception Report will be key in confirming a common understanding of what is to be evaluated, including additional insights. At this stage, evaluators will refine and confirm questions, confirm the scope, further improve on the methodology proposed in the ToR and their own proposal to improve its rigor, as well as develop and validate instruments. The report will include, among other elements:</p> <ul style="list-style-type: none"> ○ Purpose and scope, confirmation of objectives of the final evaluation; ○ Criteria and questions; ○ Methodology (i.e., sampling criteria), a description of data collection methods and data sources (incl. a rationale for their selection), draft data collection instruments, for example questionnaires, with a data collection toolkit as an annex, a matrix that identifies descriptive and normative questions and criteria for evaluating evidence, a data analysis plan, a discussion on how to enhance the reliability and validity of conclusions, the field visit approach, a description of the quality review process and a discussion on the limitations of the methodology; ○ Proposed structure of the final report; ○ Work plan and timeline, including a revised work and travel plan; ○ Resources requirements (i.e., detailed budget allocations, tied to activities, work plan) deliverables; ○ Annexes (i.e., organizing matrix for questions, data collection toolkit, data analysis framework); and 	<p>Week 1 - 2 (February 7th – 16th)</p>	<p>15%</p>

	<ul style="list-style-type: none"> ○ A summary of the (briefing note) for external communication purposes. The inception report will be 15- 20 pages in length (excluding annexes), or approximately 10,000 words, and will be presented at a formal meeting 		
2. Initial data collection and desk review; stakeholder analysis) <ul style="list-style-type: none"> ● Developing list of targeted respondents in consultation with PUNOs, RCO and BAPPENAS ● Conducting data collection through key informants interview, Focus Group Discussions (FGDs), in-depth interviews ● Conducting data analysis 	Data Set	Week 2 – 5) (February 16 th – March 9 th)	25%
3. Prepare Initial Findings	Initial Findings This report will present the initial findings from primary data collection, comprising the desk-based document review and analysis of the technical support project. The report developed prior to the first drafts of the final report should be 10 pages, or about 8,000 words in length (excluding annexes, if any), and should be accompanied by a PowerPoint presentation that can be used for validation of the initial findings and recommendations with key stakeholders.	Week 5 -6 (March 9 th – 16 th)	35%
4. Present final: <ul style="list-style-type: none"> ● Report to PUNO’s UN JointSDG Fund for ASP and BAPPENAS ● Develop a draft and final Report that will be revised until approved (including a complete first draft to be reviewed by PUNOs) 	Report <ul style="list-style-type: none"> ● Power Point and presentation on final evaluation report (the report will not exceed 45 pages, or 25,000 words, excluding the executive summary and annexes). The structure of the report will be agreed with PUNOs and other stakeholders at the beginning of the assignment. ● Brief 	Week 6 th – 8 th (March 21 st – 31 st)	25%

<ul style="list-style-type: none">• Develop PowerPoint presentation to be used to share findings• Develop a four-page final evaluation brief that is distinct from the executive summary in the evaluation report and it is intended for a broader and non-technical audience.			
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8. Qualifications Required

The bidder should present the following skills and qualifications:

1. At least five years of proven relevant experience in development especially in the area of social protection, disaster management, climate change adaptation, preferably within non-profit organizations, foundations, donor organizations and international organizations.
2. Demonstrated experience in the use of range of evaluation approaches and process for projects and programs.
3. Strong substantial knowledge and experience in monitoring and evaluation with 5 or 10 years of proven progressive experience on program monitoring and evaluation.
4. Demonstrated experience in analyzing and managing quantitative and qualitative data.
5. Familiarity with Indonesian government program and policy is strongly an asset.
6. Familiarity with the work and role of the United Nations is considered an added value.
7. Strong attention to consistency, detail, and quality.
8. Strong analytical, reporting, presentation and writing skills which demonstrate in the ability to write high quality, clear and concise report including to produce substantiated recommendations.

Key Staff Required

The contractor needs to have a core team consisting experienced professionals of key staffs. The curriculum vitae should be included in the proposal. The key staff required including:

1. Team Leader (1 person) with the following qualifications:

- 1.1. Education background should be a minimum of a master's degree in the related field.
- 1.2. Having experience in leading a project as a Team Leader particularly in project evaluation.
- 1.3. Relevant experience in project monitoring and evaluation, project management, project finance, technical reporting and writing for 3 -5 years.
- 1.4. Demonstrate experience and substantial knowledge on monitoring and evaluation which reflected through the CV and portfolio.

2. Senior Evaluator (1 person) with the following qualifications:

- 2.1. Education background should be a minimum of a master's degree in the related field.
- 2.2. Relevant experience in project monitoring and evaluation, project management, project finance, technical reporting and writing for 3 -5 years.
- 2.3. Having substantial knowledge on research analysis, qualitative and quantitative methodology.
- 2.4. Demonstrate experience and substantial knowledge on monitoring and evaluation which reflected through the CV and portfolio.

3. Junior Evaluator (1 person) with the following qualifications:

- 3.1. Education background should be a minimum of bachelor's degree in the related field.
- 3.2. Relevant experience in project monitoring and evaluation, project management, project finance, technical reporting and writing, for 2 -3 years.
- 3.3. Having substantial knowledge on research analysis, qualitative and quantitative methodology.
- 3.4. Demonstrate experience and substantial knowledge on monitoring and evaluation which reflected through the CV and portfolio.

9. Evaluation Criteria:

CATEGORY	MAX POINT	MIN PASSING POINT
<p>1. ORGANIZATIONAL CAPACITY</p> <p>1.1 Detail of relevant experience and list of clients in the last five years, including contact details (name, email address, and phone numbers that can be used as reference)</p> <p>1.2 Financial Statement and Balance Sheet (audited preferably) for the last 3 years.</p>	20	15
<p>2. QUALITY OF THE TECHNICAL PROPOSAL</p> <p>2.1 Proposed methodology and approach with reference to objectives in TOR</p> <p>2.2 Implementation timeline: identify key tasks and timeline, focal person for each activity/deliverable should be identified.</p> <p>2.3 Anticipated project risks and mitigation measures as well as quality assurance</p>	40	30
<p>3. KEY PERSONNEL</p> <p>3.1 Names and full CVs of the institution personnel that will be directly involved in the consultancy, including (but not limited to) the designated Team Leader/ Project Manager. The list should include at least one senior staff with good experience on work related with district/province on malaria activities proven by activity reports or progress report.</p> <p>3.2 Adequate and appropriate staff combination in relation to the respective tasks and deliverables (see TOR); and relevant prior experiences of similar scope and complexity.</p>	20	15
<p>TOTAL TECHNICAL PROPOSAL</p> <p>*The bidder has to meet this minimum passing point for the Technical Evaluation in order to be considered further for the Financial Evaluation</p>	80	60
<p>PRICE/FINANCIAL PROPOSAL</p> <p>Financial proposals should be all-inclusive, including costs for fees, travel, sub- contracts and other necessary expenses.</p>	20	10
TOTAL MARKS	100	

Note:

- 1. The technical evaluation criteria above can be changed to appropriately reflect requirement.**
- 2. The total weight/score of technical component should be in a range of 50 % - 80%, and the total weight/score of financial criteria in a range of 20% - 50%.**
- 3. Sum of technical and commercial must always equal 100 %**

Annex 5 Interview guidelines, formats and questions

Interview guidelines per stakeholder type

Stakeholder interviews were a major set of data generated by this evaluation. They served as a means to draw evidence from informants but were also important for consultation and to generate buy-in for the evaluation process.

All interviews were conducted on confidential terms, to facilitate candid responses. Reports did include direct quotation or attribution without prior consent. The majority of interviews were carried out on an individual basis, but some group interviews (and FGDs) were held where the quality of responses was unlikely to be compromised, for instance with representatives of some organisations. Most took place using telephone or e-conferencing facilities, as mentioned in the inception report.

We employed an interview targeting strategy that is being developed based on the stakeholder analysis and criteria as presented in the inception report and documented transparently the names of people consulted, their principal organisational affiliation and gender in our notes. We strived for an equal number of male and female respondents, but this heavily depended on availability. A stocktake of respondents at regular intervals during the evaluation process helped identify any gaps and the interview targeting strategy was adjusted accordingly (adding new and repeat interviewees).

The consultants adopted a protocol and standard format for writing up and sharing interview notes (in confidence). The basic standard template is illustrated below. The format was designed to strike a balance between standardisation and flexibility (given that the interviews were semi-structured). Interviewers used the Evaluation Questions and Guiding Questions as guideline questions, and in advance of the interview itself, referred to the Evaluation Matrix and selected from the detailed issues and questions the ones that seemed most pertinent to the interviewee (bearing in mind that in-depth responses to more than a few such questions are beyond the scope of most interviews, so that prioritisation is extremely important). At the end of every interview, respondents' suggestions on contacts to interview and documentation for follow-up, were noted.

Below the steps of the interviews/ FGDs:

Stakeholders	Steps
1- All interviewees	<ul style="list-style-type: none">• Introduction to the interviewers and the respondent(s)• Explaining the purpose, scope and steps of the interview• Explaining confidentiality and rights• Explain the focus of this interview by explaining the objective, the related evaluation question and start with the (selected) guiding question• The semi-structured interview will then proceed• Closure: the interview will be closed by thanking the respondent(s) and giving him/her/them a chance for asking questions, make comments, etc.
2- Internal PUNOs	<ul style="list-style-type: none">• As above, 1, plus:• Stress the confidentiality of their assessments and organisational ability
3- National, provincial and local level government	<ul style="list-style-type: none">• As above 1 + 2, plus:• Ensure availability of GoI policies during the interview
4- Selected experienced INGOs/CSOs	<ul style="list-style-type: none">• As 1 + 2, plus:

	<ul style="list-style-type: none"> • Have an understanding of the interviewee’s experience/ work done, and vision on ASP
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Confidentiality and rights text (informed consent), provided at the beginning of each interview:

“This one-hour interview is voluntary and confidential. That means that anything you say will be strictly between the us and you, and you will never be quoted in any report. We will, however, take notes in this format [show the notes format], and that will then be stored on our protected server, to which no one has access besides the consultants. You also have the right, at any time, to ask us to delete the notes from our server, and if requested we will do so immediately. Is this OK with you?” Then follow up with an introduction to the evaluation topic.

Below the format for interview notes:

Date:		Location:	
Name of respondent(s):		Gender:	
Organisation:		Section/ Dept:	
Email:		Function:	
Evaluation consultants:		•	
		•	
Comments on introduction		•	
Comments on confidentiality and rights		•	
Comments on Interv Q:		•	
Comments on Interv Q:		•	
Etc.		•	
Data/ documents recommended		•	
Contacts/other respondents recommended		•	
Closure comments by respondent(s)		•	

Annex 6 Data collection tools

Survey data collection:

The survey was sent out using SurveyMonkey, and consisted of 3 questions:

- Overall, how satisfied are you, on a scale of 1 (not at all satisfied) to 10 (extremely satisfied) with the *results* achieved by the Joint SDG Fund Programme: Adaptive Social Protection for All in Indonesia, which was implemented in 2020 and 2021? [scoring possibility + comment box]
- What were you particularly happy/ unhappy with? [comment box]
- What would you recommend to have done differently? [comment box]

Interview and FGD data collection format:

Date:		Location: Teams
Name of respondent(s):		Gender:
Suggested focus for each evaluation criterion		Section/ Dept:
Organisation:		Function:
Email:		
Evaluation team members	BH, IMU	
Comments on introduction method	OK	
Comments on confidentiality and rights		
<ul style="list-style-type: none"> Your involvement in general on 4 major activities correct? Show on screen 		
1-To what extent is the process of defining the ASP Roadmap (resulting from the Programme) relevant to the Gol's capacities in reducing exposure and vulnerability of the poor and those particularly vulnerable due to climate-related extreme events and other economic, social and environmental shocks and disasters? Particularly for people with disabilities, women and girls, minorities and other disproportionately affected groups? To what extent did the Programme contribute to this?	(with focus on how the ASP programme has helped Gol's capacities especially in building relevant partnership and policies, with emphasis on the ASP roadmap).	•
2- What are the major influencing factors affecting the ASPs development process over the last 2 years, to design an ASP that will relevantly meet those (above-mentioned) needs?	(with focus on PUNO's direct contribution and through both partnership initiatives developed and monitoring and evaluation efforts).	•
3-To what extent are the programme's intermediate outcomes and outputs in line with (the spirit of) the Gol's vision on ASP?	(with focus on how PUNOs have ensured the linkage of GOL's vision on ASP and the programme's intermediate outcomes were well-identified since the beginning,	•

	strengthened, and modified as needed — as informed by the result of the monitoring and evaluation initiatives).	
5-How well was the programme designed in terms of clarity of outcomes, strategy, relevance and meeting needs of the most vulnerable? <u>Did you know what you were expected to do?</u>	(with focus on how the programme has been designed in advance to meet the needs of the most vulnerable target groups, how the design has been implemented in collaboration with all stakeholders, the progress of the intended results, and has addressed all relevant cross cutting issues).	•
9-Was the organisational set-up, coordination and collaboration among UN agencies, and collaboration and contribution of the concerned ministries and others working well to help ensure quality outputs and accountability?	(with focus on how the inputs of the programme have been utilized to meet the intended results, how partnership and collaboration have helped the activities, and how risks have been addressed).	•
10-How efficiently has the Joint Programme been managed, given the human and financial resources available?		•
Sustainability issue, also MoSA		•
What could we do better?		•
Closure comments by respondent(s)	•	•

Annex 7 List of major LNOB activities and vulnerable groups

	LNOB Activities	Geographical Area	Types of Activities and Remarks	Vulnerable groups
Output Area 1	Partnership Platform for ASP Coordination (UNICEF/OCHA): 1)PUNOs, relevant ministries and agencies; 2)PUNOs	National	Collaboration – Inclusive and gender responsive social protection response was advocated intensively in this platform.	Vulnerable groups in general, with emphasis on children and women from marginalized groups. The use of the platform led to two coordinated actions that address vulnerable groups: <ul style="list-style-type: none"> – Through the collaboration of PUNOs in updating and improving DTKS, vulnerable groups addressed include homeless people, unregistered people, bottom 40%, marginalized children and women. Climate-affected village population is also mentioned in general term, not specific. – Policy dialogue on improvement on EWS and risk information to trigger activation of ASP in disasters onset.
	Policy dialogue among center for data and information, MoSA, BNPB, MoEF, and BMKG (on strengthening EWS and risk information system).	National	Collaboration – a part of activation of the coordination platform.	Vulnerable groups in general. An emphasis is made on village communities' group in disaster-prone area, especially those who are forced to cope with climate change impact.
	CVA Working Group that involves civil society organizations, Gol, and the UN.	National	Collaboration and inter-agencies coordination in strategic and tactical level. – The collaboration was both strategic (for long-term goal and impact-oriented) and tactical in the sense of using the working group to address immediate needs to activate the CVA mechanism in ASP context. This was based on the CVA	People/household with economic vulnerability, including those who are already poor before disaster onset and those who are poor afterward (losing their property, livelihood, etc).

			guidelines book that seemed to be implemented a few times during the program.	A mention of gender-responsive principle in the guidelines implies that the CVA working group also work toward marginalized women group.
	A multi-agency coordination mechanism setup to coordinate the activities of both the Joint SDG Fund and the COVID-19 MPTF on Social Protection.	National	Collaboration and synchronization of activities in various levels, from Representative/Ministerial to the technical level, and ensures that separate Joint SDG Fund activities are part of the wider framework to address vulnerabilities.	COVID-19 affected communities (especially those who experienced shocking economic impact) with emphasis on women and children.
	Regular bilateral meetings with development partners (World Bank, ADB, GIZ); to assist MoSA in alignment.	National	Networking with strategic partners that also focused on inclusion of vulnerable populations.	Children and women, poor households, unregistered people.
	MoSA Stakeholder Analysis for ASP (UNICEF)	National	Technical assistance	All vulnerable groups
	Interministerial session on 8 th of September 2020 to address policy initiatives that will ensure no one is left behind due to the pandemic and that the social protection system will be more responsive to future shocks.	National	Coordination, collaboration and policy review.	All vulnerable groups
	Related to point 1 above: Donor Meeting of the Joint SDG Fund and COVID-19 MPTF.	National	Progress meeting. The purpose of this meeting was to <u>share the progress</u> of implementation of the Joint Programmes (JPs) to donor representatives in Jakarta. The meeting also served the purpose of <u>receiving input from the donor governments</u> of both programmes. 37 participants from	Female victims of domestic violence and all vulnerable groups.

			<p>RCO, UN Agencies, ADB, World Bank, and 7 embassies' delegations joined the meeting.</p> <p>At least two participants shared their thoughts (most probably as inputs for PUNOs) on vulnerable groups: <i>“Ambassador of Spain, H.E. José María Matres Manso underlined the need to address vulnerable groups especially related to the domestic violence, while Ambassador of Ireland, H.E. Olivia Leslie, raised the importance to leave no one behind on social protection.”</i></p>	
Output Area 2	Enhance existing warning systems (WFP, BMKG, BNPB)	National	Technical Assistance.	People living in disaster-prone area with focus on children, and people affected by climate change, no clear mention on the sub-groups.
	Study on the identification of vulnerability indicators, thresholds, and triggers: <i>“Methodology, Criteria and Thresholds for Identification of Population Groups Vulnerable to Climate-Related Risks and Eligible for Support Under Adaptive Social Protection (ADP) Schemes (WFP)”</i>	National	Technical Assistance. The study utilized dataset from 514 districts in Indonesia compiled by WFP as well other sources official data published by BPS.	Undernourished children, elder population, under 5 years old children, people living under poverty line, person with disability, female head household, and girls.
	Study on the Use of Village Fund for COVID-19 Response as a Model for Cash Assistance in Emergencies	Not clear	Policy research/review. Beside providing the model for cash assistance in emergency situation, the study also aims to support the Ministry of Villages, Development of Disadvantaged Regions, and Transmigration in designing a monitoring and evaluation system for social	People with disability, elders, household living in chronic poverty, female head household, under 5 years old children, and ethnic/religious minority, children head household, village communities members without land ownership.

			protection programmes under village fund scheme during COVID-19 pandemic. This means that this can also go to output area 3.	
Budget Analysis for Child-Focused Social Protection Programmes in Indonesia, 2021 (LPEM FEB UI).	<ul style="list-style-type: none"> • East Java • South Sulawesi • West Nusa Tenggara • East Nusa Tenggara 		Policy research/review. This includes supporting the Ministry of Social Affairs (MoSA) in building an expenditure tracking mechanism to its sub-national offices by targeting two major national social protection programmes in Indonesia: conditional cash transfer (PKH) and Smart Indonesia Programme (PIP) which directly target children.	The inclusion of vulnerable populations beyond children in general includes girls, women-headed households, elderly woman, and pregnant women.
Stockpiling of Issues on the Revision of Disaster Management Law No 24 Year 2007	National		Policy review, technical assistance. Recommendations include: definition of vulnerability, inclusion of disability population in database coverage, etc.	People with disability, elders, household living in chronic poverty, female head household, under 5 years old children, and ethnic/religious minority, children head household, indigenous people, religious minority group
MoSA with support from UNICEF reviewed and adapted the existing National Standards of Care for Children in Social Welfare Institutions.	National		Technical assistance. This adaptation ensures the well-being of children in institutions when the option to return to a safe family environment is not possible or for children that require temporary shelter when their homes pose a risk of violence or COVID-19 exposure. The guidelines are also intended for provincial and district social affairs offices and service providers for use in the residential care facilities.	Children affected by the impact Covid19 in economic and social aspects.

	A study on social & economic impacts of covid-19 on households, including single-headed households.	34 provinces in Indonesia.	Direct implementation.	Poor households, single-headed households, people whose livelihood are impacted by Covid-19.
	Trainings and workshop on ASP for national and sub-national governments.	<ul style="list-style-type: none"> • East Nusa Tenggara • West Nusa Tenggara • Yogyakarta • Central Sulawesi • West Sulawesi National 	Capacity Building.	All vulnerable groups including children, women and disaster-affected population in general.
	Development of a master plan to expand existing information and communication systems for ASP (which is based on the e-SIMBA).	National	Technical Assistance.	Internally displaced people with emphasis on elders, children, and disabilities groups.
	Development of CVA guidelines for stakeholders in emergency situations.	National	Technical Assistance.	<p>People/household with economic vulnerability, including those who are already poor before disaster onset and those who are poor afterward (losing their property, livelihood, etc).</p> <p>A mention of gender-responsive principle in the guideline implies that the CVA working group also work toward marginalized women group.</p>
Output Area 3	Study on the Use of Village Fund for COVID-19 Response as a	Unclear	Policy research/review. This can go both in output area 2 and 3. The use of village fund here is not really clear whether it is part of the programme or not.	In general: people whose livelihood are affected by Covid19. Specific mentions: people with disability, elders, household living in chronic poverty, female

Model for Cash Assistance in Emergencies			head household, under 5 years old children, and ethnic/religious minority, children head household, village communities' members without land ownership.
Fiscal space analysis for ASP: Micro-simulation of ASP (UNICEF).	Jakarta	Simulation of Indomood application.	All vulnerable groups with emphasis on children and women.
Piloting Unified Database for Social Protection (<i>Data Terpadu Kesejahteraan Sosial</i> /DTKS) improvement and update.	<ul style="list-style-type: none"> • East Java • South Sulawesi • West Nusa Tenggara • East Nusa Tenggara • Yogyakarta 	Technical Assistance. The UN advocated the inclusion of homeless people and/or people with no formal registration into the database, gender data production and analysis relevant to food security and vulnerability to inform the targeting and policymaking for COVID-19 response and recovery	Undernourished children, elder population, unemployed people, under 5 years old children, people living under poverty line, person with disability, unemployed groups, female head household, and girls.
Strengthening the methodology for drought and floods to assess the risks and vulnerability and improved geographic targeting of ASP beneficiaries.	East Nusa Tenggara (East Flores).	Technical assistance.	Disaster and climate change affected population, with emphasis on drought and floods, identified mostly based on living area situation and seasonal vulnerability.
Study on and Piloting of Innovative Financing for Social Protection at National and Sub-national Level, Focusing on SDG Fund Target Provinces.	<ul style="list-style-type: none"> • Central Sulawesi • West Nusa Tenggara 	Direct implementation.	All vulnerable population.
Piloting Socio-Economic Registration	<ul style="list-style-type: none"> • Aceh • West Java • East Nusa Tenggara 	Direct implementation	All vulnerable population.

		<ul style="list-style-type: none"> • West Sulawesi • West Nusa Tenggara 		
Output Area 4	Conducted side event 4: Shock-Responsive Social Protection: Lessons from the Joint SDG Fund for an Integrated Approach to COVID-19	National	<p>Learning session, part of a global conference on turning covid19 as an opportunity.</p> <p>An excerpt from the related Youtube video (record of session) description about this session:</p> <p><i>“Given that the most vulnerable that are particularly affected by COVID-19 pandemic, the Fund’s investment into integrated social protection is more critical than ever. “</i></p>	Unemployed adult group and those who fell to poverty during Covid19.
	Publication of the review of the programme in UN WFP Indonesia: The Third Edition of COVID-19 Economic and Food Security Implications for Indonesia.	National	<p>Dissemination of lessons learned and recommendations: the publication was produced by Vulnerability Analysis and Mapping (VAM) Unit - Indonesia Country Office.</p> <p>Among the recommendations, there is at least one that explicitly mentions vulnerability:</p> <p><i>“Rising unemployment continues to exert pressure on the quality and quantity of household food consumption. Targeted social protection safety nets remain critical to address the needs of those unemployed and reduce the risk of food insecurity among vulnerable groups. This includes those who fell into poverty as a result of COVID-19 but have not yet been captured in the national social registry for inclusion in social protection schemes. “</i></p>	Unemployed adult group and those who fell to poverty during Covid19.

Maintenance of VAMPIRE by WFP as a monitoring platform for vulnerability analysis.	National	Technical Assistance	Disaster and climate change affected population. Identified mostly based on living area situation and seasonal vulnerability.
Study on the Use of Village Fund for COVID-19 Response as a Model for Cash Assistance in Emergencies.	Not clear	Policy research/review. Beside providing the model for cash assistance in emergency situation (which put this activity also in output area 2), the study also aims to support the Ministry of Villages, Development of Disadvantaged Regions, and Transmigration in designing a monitoring and evaluation system for social protection programmes under village fund scheme during COVID-19 pandemic.	In general: people whose livelihood are affected by Covid19. Specific mentions: people with disability, elders, household living in chronic poverty, female head household, under 5 years old children, and ethnic/religious minority, children head household, village communities' members without land ownership.
Development of PRISM (the Platform for Real-time Impact and Situation Monitoring).	National	Technical Assistance. PRISM seems to be used simultaneously with VAMPIRE.	Disaster and climate change affected population. Identified mostly based on living area situation and seasonal vulnerability