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# USAID/Indonesia 2014-2018 Performance Management Plan

October 22, 2014

**USAID/Indonesia  
2014-2018 Performance  
Management Plan**

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# ACRONYMS

ADS	Automated Directives System
AM	Activity Manager
AOR/COR	Activity Officer Representative/ Contracting Officer Representative
BAPPENAS	Ministry of National Development Planning
BLK	Balai Latihan Kerja
CDCS	Country Development Cooperation Strategy
COP	Chief of Party
CSO	Civil Society Organization
DEC	Development Experience Clearinghouse
DHS	Demographic & Health Survey
DQA	Data Quality Assessment
DO	Development Objective
EMAS	Expanding Maternal and Neonatal Survival
EMIS	Education Management Information System
EmONC	Emergency Obstetric & Neonatal Care
FO	Front Office
FY	Fiscal Year
GDP	Gross Domestic Product
GOI	Government of Indonesia
HDI	Human Development Index
ICS	Integrated Country Strategy
IP	Implementing Partner
IQC	Indefinite Quantity Contract
IR	Intermediate Result
IUWASH	Indonesia Urban Water, Sanitation, & Hygiene
KEMLU	Ministry of Foreign Affairs
MCH	Maternal, Child Health
MDG	Millennium Development Goal
M&E	Monitoring & Evaluation
MMR	Maternal Mortality Ratio
MOEC	Ministry of National Education and Culture
MOF	Ministry of Finance
MOH	Ministry of Health
MSI	Management Systems International, Inc.
MSME	Micro, Small, and Medium Enterprises
MT	Metric Ton
NCT	National Coordination Team
NDPC	National Development Planning Commission
NEA	National Educational Assessment
NGO	Nongovernmental Organization
NMR	Newborn Mortality Rate
NTC	National Teaching Council
OCA	Organizational Capacity Assessment
OFAC	Office of Foreign Assets Control
PAD	Project Appraisal Document
PBG	Performance Based Grant

PKBM	Pusat Kegiatan Belajar Masyarakat
PFMRAF	Public Financial Management Risk Assessment Framework
PIRS	Performance Indicator Reference Sheet
PMIS	Performance Monitoring Information System
PMP	Performance Management Plan
PPD	Office of Program and Project Development
PPP	Public-Private Partnership
PPR	Performance Plan and Report
PRO	Program Office
RAMOS	Reproductive Age Mortality Survey
RF	Results Framework
RFP	Request for Proposal
RFQ	Request for Quotation
SADA	Savannah Accelerated Development Authority
SDP	Service Delivery Point
Setneg	State Secretariat
SI	Social Impact
SPIP	School Performance Implementation Plan
SRC	School Report Card
TAP	Transparency, Accountability, and Performance
USAID	United States Agency for International Development
USG	United States Government
ZOI	Zone of Influence

# I. USAID/INDONESIA'S PERFORMANCE MANAGEMENT SYSTEM

## Introduction

USAID/Indonesia has developed this comprehensive 2014-2018 Performance Management Plan (PMP) as a single, Mission-wide source of information aimed at assisting USAID/Indonesia manage for results in order to achieve its highest development goals. Performance management bridges and informs all components of the Program Cycle, from strategy design and project design to implementation, monitoring, and evaluation. Using a variety of tools to monitor, analyze, learn, and adjust programming, performance management contributes to the evidence base for USAID's management decisions, builds credibility of program reporting, and strengthens the knowledge base to achieve development results.

This PMP reflects USAID/Indonesia's Country Development Cooperation Strategy (CDCS), which was approved in October 2013 and covers the period FY 2014 through FY 2018. The CDCS will guide investments in new resources over the next five years. The overall goal for the Mission, as stated in the CDCS, is a stronger Indonesia advancing national and global development. Four development objectives (DOs) contribute to achievement towards this goal and reflect the key development hypotheses that will inform USAID/Indonesia's projects and activities over the 5-year CDCS period:

- DO 1: Democratic governance strengthened
- DO 2: Essential human services for the poorest and most vulnerable improved
- DO 3: Global development priorities of mutual interest advanced
- DO 4: Collaborative achievement in science, technology, and innovation increased

Consistent with Agency guidance, the PMP will enable the Mission to monitor and manage a core set of performance indicators that reflect appropriate targets, baselines, and data collection and analysis approaches. As a living document, the PMP will provide a basis for continuous assessment and learning about the progress achieved towards the Mission's intended results. This will facilitate constant awareness of progress on the Mission's Results Framework and help identify and address operational constraints throughout the implementation process. The PMP will also forge a consistent understanding on the status of performance management actions and will facilitate communication across all Mission teams, as well as with implementing partners (IPs), USAID/Washington, the Government of Indonesia (GOI), and other external stakeholders.

## PMP Content, Format and Timing

This PMP content and format are based on current USAID guidance, including the PMP Toolkit, and were informed by working meetings with staff from each of the Mission's technical offices and the Program Office. The PMP includes content describing how USAID/Indonesia will approach monitoring, evaluation, and learning; and delves into the roles, timing, and management procedures needed to undertake these tasks. This PMP also includes a number of templates and tools for data collection, analysis, and planning; and exceeds USAID requirements in a number of key ways:

- **An integration approach for performance management:** USAID/Indonesia has developed a cross-sectoral CDCS which works to advance the Agency’s integrated approach. The PMP reflects this integration in a deliberate way through the indicators, management plan, and learning approaches. A separate section on USAID/Indonesia’s integration approach is included in this PMP to ensure integrated monitoring and learning across the CDCS.
- **Data collection plan:** The data collection plan outlined in this PMP identifies indicators which require additional primary data collection and identifies potential methodologies and resources to support that data collection.
- **An expanded template for Performance Indicator Reference Sheets (PIRS):** The Mission has utilized a PIRS template that includes additional information meant to inform Mission staff, implementing partners, auditors, and other donors and stakeholders. The template includes links to other results as well as other non-required fields to ensure applicability and utility for USAID/Indonesia’s performance management needs.
- **A Learning Plan:** This PMP includes a Learning Plan, aimed at supplementing the Mission’s work in Collaborative Learning and Adapting.
- **Inclusion of sub-IR level results:** In accordance with the ADS, the first iteration of a PMP typically includes only Goal, Development Objective, and Intermediate Result-level results. In order to link these to activity-level performance management, this PMP includes results statements at the sub-IR level as well. Indicators at the sub-IR level will be more fully explored and developed in conjunction with the PAD process.

## Monitoring and Analysis of Key Performance Data:

There are three main levels of monitoring and analysis for USAID/Indonesia, and specific roles and responsibilities related to each level. These include:

Monitoring/Analysis Level	Responsibility
A. Activity / Implementing Mechanism	AOR/COR/AM for that activity or activities
B. DO Results	DO team, managed by the DO team leader, for Intermediate Results and the Development Objective (with support from other DO teams, where cross-sectoral and integrated indicators and results exist)
C. CDCS	Entire Mission, managed by PRO

### A. Activity/Implementing Mechanism Level:

The Mission’s AORs/CORs/AMs are on the front lines of USAID’s performance monitoring, as they monitor activities at the implementation level throughout the Mission’s portfolio.

Specifically, AORs/CORs/AMs monitor the quality and timeliness of key outputs and outcomes, assess data quality, approve activity Monitoring and Evaluation (M&E) plans, and assist in technical monitoring. Taken together, the AORs/CORs/AMs role is to ensure and verify that:

- Activity level performance data (typically outputs, but potentially outcomes) is accurate – which means that the implementing partner’s periodic performance reporting is reviewed, comparing the actuals to the baseline and target, and reviewing the data against the activity’s PIRSs from the Activity-level M&E plan and/or reviewing the data against the Mission’s PIRS included in the DO M&E plans and the Mission-wide PMP. When the AOR/COR/AM is confident that the data being reported by the implementing partner is accurate and represents the best data available, that information will be added to the USAID/Indonesia PMIS;
- Reported data meets minimum data quality standards – the AOR/COR/AM will ensure that any reported data by the implementing partner has been the subject of a data quality assessment before the performance data is being reported in the Performance Plan and Report (ADS 203.11.2) or has been reviewed for data quality prior to reporting to any external audience (ADS 578.3.1);
- Data collection methods are appropriate (and match the PIRS requirements);
- Baselines and targets are consistent with M&E plans and PIRSs;
- Determine whether the actuals reported by the partner meet, do not meet, or exceed the target. If a performance indicator’s actuals do not meet or exceed the target, the AOR/COR/AM will identify the reasons that the targets were not met, and determine whether the targets are appropriate and relevant, whether implementation changes have affected performance, and/or whether the indicator itself needs to be revised.
- Baselines, targets, and actuals are entered into the PMIS, as guided by the PMPOC; and
- The implementing partner is reporting performance data to USAID in accordance with the award mechanism and/or activity/implementing mechanism M&E plan.

#### B. DO level results statements:

The key monitoring and analysis value added by the DO team is to assess achievement across the relevant DO level results statement(s) using activity level output and outcome data, as well as DO M&E plan data collected outside of the activity/implementing mechanism M&E plan. Because certain data is often reported by multiple implementing partners, the DO team will also review aggregated data or other data that requires calculation in order to determine the extent to which targets have been met. The DO team will collect additional performance data, including data for context indicators, and information on critical assumptions and risks. The DO team is responsible for managing the analysis of all performance data at the IR and DO levels, and for understanding the breadth of data limitations for all relevant performance data. Taken together, the DO team’s role is to assess:

- Whether each of the DO-level results statements (IRs and the DO) is making progress. All of the indicators that measure a single result statement should be assessed together to determine whether they are meeting, exceeding, or not meeting their targets. Based on the analysis of each of the result’s indicators, the DO team should make a judgment on whether that result statement is being achieved.

- Whether the results framework of each IR should be re-examined, to determine whether the IR will be achieved by the end of the CDCS. Each result statement, including the IR, should be assessed for whether as a group they are supporting the achievement at the IR-level. Similarly, any relevant context indicators at this level will be analyzed to determine whether or not assumptions are holding true.
- As individual results are assessed to be under performing, the DO team should determine whether the targets have been appropriately set, whether context data can help explain performance at the results level, or even whether the indicators might be the wrong ones to measure the results. If the DO team determines that the data is “good enough”, they may need to determine whether any activity-level or development hypothesis changes need to be taken.

### C. CDCS Results Framework (Across the DOs and Goal) Level:

The PRO will be monitoring and analyzing performance of the CDCS goal – the highest level of achievement of the Mission’s strategy. This responsibility includes monitoring the performance data of the high-level critical assumptions, risks, and context indicators. The PRO will also help integrate individual DO-level monitoring and analysis across the Mission to identify commonalities among the DOs, cross-cutting issues, assess the relative weights of DO-specific assumptions and risks, and assess the contributions of individual DO results to the achievement of the CDCS Goal.

## Reviewing and Reporting Results

The main opportunities for reviewing performance data Mission-wide are the annual portfolio reviews, preparation for the Performance Plan and Reports (PPRs), conducting data quality assessments, and as part of the AOR/COR/AM’s critical role and responsibilities. Through these opportunities, Mission staff will review evidence of what works and does not work, assess progress on project implementation and the achievement of CDCS results, and ultimately use that information in decision making.

Furthermore, to the extent possible performance data will be overlaid with GIS and location-specific data to analyze and report on performance. The incorporation of location-specific information will be used to better understand contextual and geographic factors which influence the achievement or non-achievement of results.

Performance results against standard and custom indicators are reported in the first quarter of the fiscal year as part of the Mission’s annual PPR. DO teams will encourage IPs to schedule their surveys and other data collection efforts to assess activity and project outcomes during the last quarter of the year (to the extent this complements program implementation schedules) so that key performance data can also be reported to USAID as part of its annual reporting. DO teams will work with the Program Office and third parties to implement these important data collection efforts on the appropriate schedule.

## Updating and Modifying the PMP

The PMP will be reviewed, updated and modified annually to ensure its continued use and applicability as a system. The performance indicators will be further refined during the project design process and new indicators added as relevant during the CDCS implementation period. As new performance indicators become available, the PMP will be updated accordingly. Over the life of the CDCS, some existing indicators may need to be dropped if they have failed to be

useful in measuring results. Ideally, the PMP will be updated after the annual portfolio review, or during the second quarter of each fiscal year. As mentioned above, old PMP versions will be labeled and archived to ensure they are not lost in the modification process.

Modifying the PMP also entails reviewing the indicator reference sheets and updating them as necessary. During the first quarter of each fiscal year, the Mission will designate those PMP indicators it plans to use in the PPR. As a result, any changes or modifications to these indicators reported to Washington or included in the Mission-wide PMP must be cleared by the PMPOC. Substantive changes to the PMP will be approved by the Mission Director; while routine changes will be approved by the PMPOC in collaboration with the DO teams. The Mission will also update indicator reference data, evaluation plans, and the task schedule as part of its Mission Portfolio Review and PPR processes, or as needed to reflect changes in the CDCS or in project LogFrames. As part of the updating process, USAID/ Indonesia will revisit the learning plan as well as illustrative questions contained in the evaluation plan to ensure they are relevant for the coming year and add any additional planned evaluations. The PMPOC will ensure that the latest version of the PMP is stored in a common location.

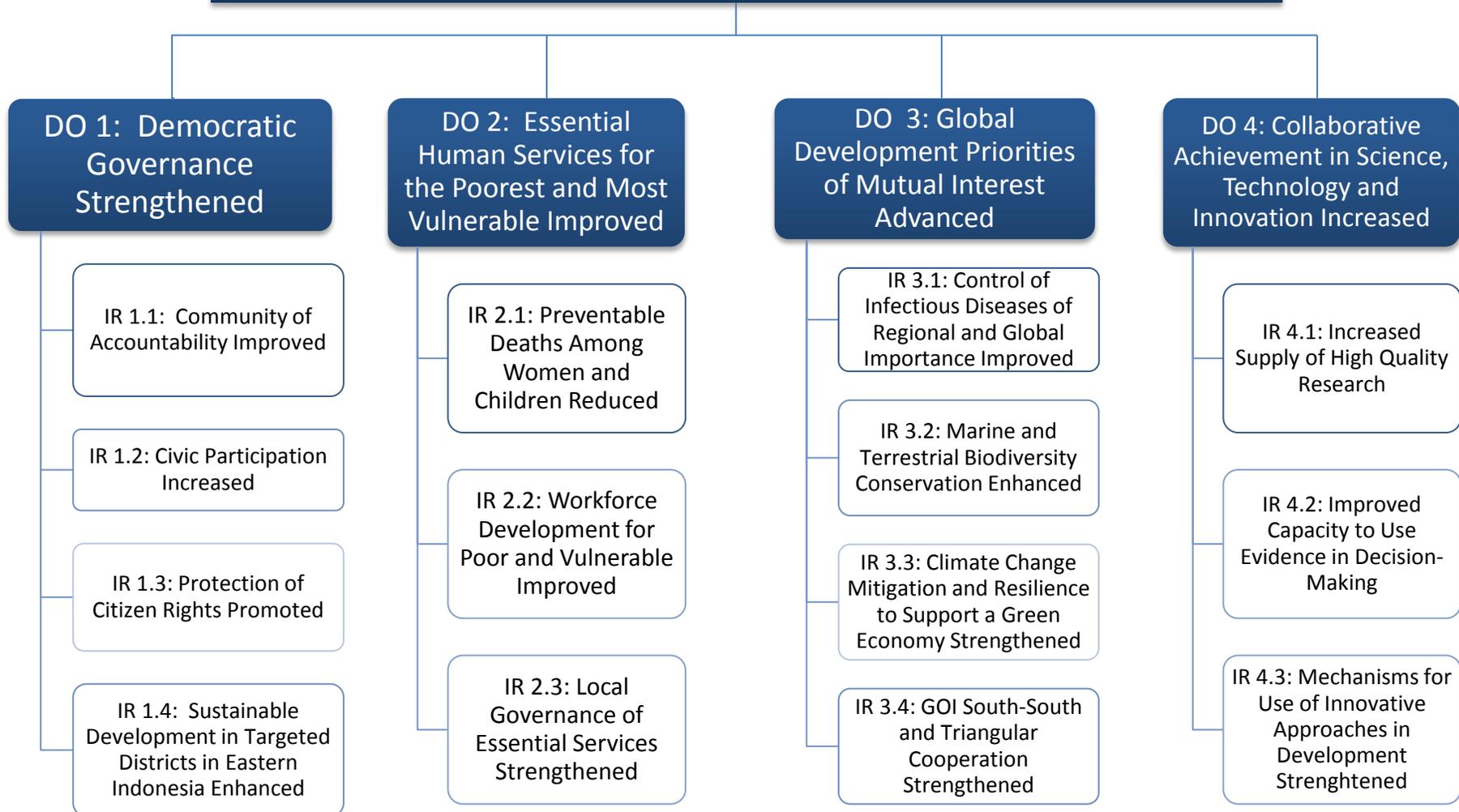
Performance indicator data reported to the Mission as well as data collected directly by the Mission will be updated in the PMP regularly, as it becomes available (typically quarterly, semi-annually, or annually). Activity Managers, other DO team members, and the PRO all have responsibilities for updating the PMIS with relevant performance indicator data. The Mission's PMPOC oversees and guides the performance indicator data and information entered into the PMIS. Annex V includes more details on tasks and responsibilities for updating the PMP.

## **II. CDCS RESULTS FRAMEWORK**

USAID/Indonesia's CDCS Mission-level results framework reflects the Mission's overall development hypothesis and guiding strategy. This framework outlines how projects and activities will ultimately lead to the achievement of the Mission's DOs and Goal of *A Stronger Indonesia Advancing National and Global Development*, serving as the foundation for the Mission's performance management system. The framework functions as an integral tool to effective performance management in focusing activity planning; facilitating communication regarding program intent and content; helping to spot emerging issues; and providing a framework for designing learning and evaluation activities.

The below results framework depicts USAID/Indonesia's Goal, Development Objectives, and Intermediate Results. The sub-Intermediate Results are included in the table following that graphic.

# USAID/Indonesia Goal: A Stronger Indonesia Advancing National and Global Development



## USAID/Indonesia CDCS Integration Approach

USAID's ADS supports a cross-sectoral (or integrated) approach to strategic planning, stating that "... all DOs and IRs should be designed to be mutually reinforcing, where possible"<sup>1</sup>. USAID/Indonesia's CDCS supports integration both through housing activities under various DOs and IRs which support each other, as well as through the application of cross-cutting approaches and objectives such as gender equality and the leveraging of partnerships.

There are several ways the USAID/Indonesia's CDCS emphasis on integration is supported through the PMP process.

- Integrated Results Statements: These results statements include not only DO-level results, especially DO 2 and DO 3, but also IR statements, and even sub-IR and sub-sub-IR statements. These deliberately integrated results statements demonstrate USAID/Indonesia's cross-sectoral CDCS and an understanding of the interrelated impact of the Mission's development activities.
- Cross-cutting approaches and indicators: A number of themes, including the use of partnerships and capacity building to achieve sustainable results, are present throughout the CDCS and PMP. The F Standard Indicators include a series of cross-cutting indicators that measure performance related to Capacity Building, Gender, and Public/Private Partnerships. USAID/Washington has also added a series of required indicators to track USAID Forward objectives including Public Private Partnerships and amount of funds programmed through local systems. Together, these indicators will provide measures of integration across the CDCS.
- Links between Results Statements: These results statements are linked because a result under one DO is necessary to achieve a result under another DO, or a result within a DO supports another result within the same DO. For example, the capacity building of CSOs and NGOs, which is a result measured under DO 1 IR 1.2, has an impact which also helps other DOs achieve their results (building the capacity of CSOs and NGOs to advance child survival and health outcomes under DO 2, or biodiversity outcomes under DO 3).
- Links to other USG: Because the Mission's CDCS forms the foundation for the US Government's Integrated Country Strategy (ICS), the CDCS and this PMP reflects integration of USAID's objectives and results into the US Government's overall goals. This PMP identifies further ways by which the Mission will continue to work with other USG stakeholders in the review and analysis of the Mission's performance data, particularly at the IR, DO, and Goal levels.
- Common indicators: These indicators are shared across DOs using the same definitions, data collection methodologies, and/or disaggregation (e.g., number of people trained, disaggregated by sex, age). Common indicators for this Mission are primarily at the sub-IR and sub-sub-IR levels (not currently included in this initial PMP), and help the Mission aggregate and analyze cross-cutting data and impact across the entire CDCS portfolio.
- Measures of integration: USAID/Indonesia intends to conduct an evaluation of our implementation of the CDCS itself. This evaluation will include an examination of the

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<sup>1</sup> ADS 201.3.3.3

integration approach of the CDCS by including an evaluation question aimed at measuring the extent to which the Mission was successful in coordinating and complementing one another. Similarly, DO4 includes a PMP indicator which gauges the extent to which science, technology, and innovation are incorporated within other DO activities.

<b>Gender</b>
GNDR-4: Proportion of target population reporting increased agreement with the concept that males and females should have equal access to social, economic, and political opportunities
GNDR-6: Number of people reached by a USG funded intervention providing GBV services (e.g., health, legal, psycho-social counseling, shelters, hotlines, other)
GNDR-7: Percentage of target population that views Gender-Based Violence (GBV) as less acceptable after participating in or being exposed to USG programming
<b>Capacity Building</b>
CBLD-1: Number of awards made directly to local organizations
CBLD-2: Percentage of operating unit program funds obligated through partner country systems (disaggregation of USAID Forward Local Solutions indicator)
CBLD-3: Percentage of operating unit program funds obligated to local organizations (disaggregation of USAID Forward Local Solutions indicator)
CBLD-4: Percent of mission awards with organizational capacity development objectives or activities that require reporting on capacity development metrics on a regular basis
<b>Public-Private Partnerships</b>
PPP-5: Number of new USG-supported public-private partnerships (PPPs) formed
USAID Forward: Value of USG resources obligated to Public-Private Partnerships in which there is a minimum of 1-to-1 leverage of private sector resources

### III. PMP INDICATORS

#### Indicator Development and Selection Criteria

Through a series of facilitated Development Objective and Intermediate Results team meetings over a five-week period, the Mission identified a list of PMP indicators associated with each CDCS result and assumption. These indicators are intended to track performance and to determine programmatic effectiveness over the life of the strategy. The Mission worked to ensure that each indicator met the five USAID quality standards of validity, integrity, precision, reliability, and timeliness as described in ADS 203.3.11.1.

The Mission has utilized a mix of both context and performance indicators as well as standard and custom indicators to measure progress toward CDCS results.

- Performance Indicators:** The Mission has included a number of performance indicators, measuring particular characteristics or dimensions of each results statement. These indicators serve as the basis for observing progress and measuring actual results compared to expectations.

- **Context Indicators:** The Mission has also included context indicators, measuring conditions or assumptions relevant to the performance of projects and programs. By measuring factors that are beyond the Mission's management control, the Mission can determine whether the country's context changes to the extent that a project or strategy must be adapted in order to be successful.

See Annex I for a full list of PMP indicators.

As the Mission moves forward with PAD approval process, as well as with implementation of its strategy, the indicators will be refined to better align with Mission management needs.

## **Performance Indicator Reference Sheets (PIRS)**

Following indicator selection, the Mission focused on completing a detailed Performance Indicator Reference Sheet (PIRS) for each indicator. PIRSs are intended to be useful as stand-alone resources for the Mission, IPs, stakeholders, and potential auditors. See Annex II for the full library of PIRS for PMP indicators.

## **USAID/Indonesia Mission-wide PMP Data Collection Plan**

The CDCS PMP includes indicators which will be collected from Primary and Secondary sources.

### **Primary Data Collection**

Primary data is collected directly by USAID/Indonesia or independent entities contracted specifically for this purpose. Primary data collection methodologies can include surveys, polls, focus groups, trials, or interviews. The Mission will engage data collection experts with relevant experience with the proposed methodologies to collect primary indicator data.

### **Secondary Data Collection**

Secondary data is collected by implementing partners and external stakeholders. Most output-level secondary data will be provided by implementing partners.

### **Tertiary Data Collection**

Tertiary data sources are collected by other entities and are typically not under USAID control. Tertiary sources include data from government ministries, research institutions, financial institutions, and international donors. USAID does not necessarily know the quality of this data or have control over this information.

Some Primary and Secondary data will require development of new data collection tools. USAID/Indonesia will collaborate with data collection experts, implementing partners, and external partners to help develop and finalize these tools. The AOR/COR/AM will ensure that if multiple implementing partners are collecting, analyzing, and reporting on the same indicators, that each partner uses the same data collection tools. These requirements will be included in the awards, including requirements for the type of expertise needed to help develop these data collection tools.

## **Baselines and Targets**

Because a majority of the Mission's performance indicators are relying on new or to be developed data collection methods, and/or require establishing baselines after project mechanisms are awarded, most of the initial performance indicators are missing baselines. Where the data already exists (for example, many of the tertiary source data is available on identified websites), baselines have been set and the rationale for targets has been included. As the remaining data collection efforts are finalized and implementation begins, the Mission will update the PMP, including the PMIS and/or relevant PIRs.

## Data Quality Assessment

High quality data is the cornerstone of evidence-based decision-making. USAID/Indonesia will use consistent data quality assessment (DQA) procedures to verify and validate the measured values of the actual performance data. These assessments are essential to understand data quality strengths and weaknesses based upon ensuring that standard and consistent uses of definitions, data collection methods, and calculation techniques are used by USAID/Indonesia and all of its partners. As required, DQAs will be conducted for all externally reported indicators within three years before submission to USAID/Washington.

The Mission will use the DQA Worksheet (see Annex VI) to ensure that performance data reasonably meets these five standards of data quality:

1. *Validity*: data clearly and adequately represents the intended result;
2. *Reliability*: data reflects stable and consistent data collection processes and analysis methods over time;
3. *Integrity*: data collected has safeguards to minimize the risk of transcription error or data manipulation;
4. *Precision*: data has a sufficient level of detail to permit management decision-making (e.g., the margin of error is less than the anticipated change); and
5. *Timeliness*: data is available at a useful frequency, is current, and is timely enough to influence management decision-making.

CORs/AORs/AMs with guidance from the Program Office will work with the Contracts Office to ensure that all contract and grant awards include a section on data quality.

## IV. ACTIVITY OVERSIGHT

### Site Visits to Monitor Activities and Results:

USAID/Indonesia will schedule regular site visits to activity, beneficiary, and/or stakeholder locations. The purpose of these monitoring visits is chiefly to verify information provided to USAID/Indonesia by implementing partners and other development partners about the performance of the activities or about reported progress in implementation and impact of activities.

Site visits can assess whether performance reports received by the Mission accurately reflect what is happening at the activity level. USAID/Indonesia has created a Site Visit Report that will

be linked to activities, and will identify and mitigate risks, document compliance with USAID/Indonesia Mission Order requirements, and monitor the status of Mission-supported activities. (See the USAID/Indonesia Mission Order on Performance Monitoring for more information pertaining to the Site Visit Report and specific requirements for conducting site visits.) Such site visits will focus on:

- Comparing grantee/agency/contractor performance data reported in quarterly and annual (or other) required reporting to USAID, which encompass both IP (and other development partner) central office and field site records.
- Conducting meetings or interviews with grantees/agencies/contractors to gauge data's accuracy and reliability.
- Inspecting equipment or commodities purchased through IPs and other development partners for activities, as per ADS 324.5.4 on Arrival and Disposition of Commodities.

USAID AORs/CORs/AMs will monitor as many activities and beneficiaries as possible and practical. The Mission has carefully considered the number of expected activity awards and determined that these activities are well within the ability of USAID/Indonesia staff to monitor through the requirements (including site visits) as stated in the Mission Order on Performance Monitoring. There are three key approaches that will be used to monitor activities and sub-activities during each site visit and will be documented through the Site Visit Report attached to the Mission Order on Performance Monitoring.

## Evaluation

USAID/Indonesia is committed to using evaluation to enhance accountability and learning within the Mission. This is in line with USAID's ADS and evaluation policy, which work to build evaluation into project and activity designs, decrease bias, increase utilization, and enhance the level of rigor used in decision-making for both performance evaluations as well as impact evaluations. USAID/Indonesia's Mission Order on Evaluation, as well as a number of How-To Notes and Technical Notes include further guidance for staff regarding evaluation triggers, best practices, Statements of Work for Evaluation, and adoption of USAID guidance to the Mission's context. These tools should be used to plan, manage, and use evaluation throughout the life of the CDCS.

Each technical team is responsible for developing and regularly updating an evaluation plan for all required and optional evaluations of their portfolio. All large projects and innovative/pilot projects are required to undergo an evaluation, while others will be undertaken when a need for data is identified. The Program Office and technical offices will work together to determine an evaluation purpose, a limited number of evaluation questions, a dissemination and utilization plan, and establish a realistic budget to gather, analyze, and report on the desired information.

Annex III includes a draft evaluation plan along with identified questions for a number of activities and projects.

These questions, budgets, and timeframes will be reviewed and modified as the Mission moves further along the PAD process and identified additional evaluation needs. Evaluation plans will be reviewed, analyzed and developed at the DO and project levels, including consideration of links to monitoring data and the learning plan.

## V. LEARNING PLAN

USAID/Indonesia aims to incorporate principles of Collaboration, Learning and Adapting (CLA) throughout the CDCS Program Cycle, to collaborate and engage with a broad set of stakeholders, to learn from both evidence and experience and to adapt iteratively to unexpected results or changes in context. USAID/Indonesia will use CLA learning plan to:

- Maximize development results by helping USAID staff play an increasingly strong influencing role with other development actors in Indonesia, and by helping USAID and its implementing partners learn more quickly and make iterative, timely course corrections.
- Reinforce the strategic direction of Mission programs by including learning in all parts of the Program Cycle, and adapting the programs as evidence and context shifts indicate.
- Helps the Mission, implementing partners, and others to identify and focus on priorities to maintain and strengthen the strategic direction and impact of the Mission's entire program.
- Help build local capacity and facilitate Indonesia's own development agenda, and help USAID transform its relationship with Indonesia from one based on a traditional donor-recipient role to one based on a mature partnership.

The PMP document and Learning Plan are a starting point for USAID's renewed emphasis on learning as an integral part of the program cycle. The Mission recognizes the utility of purposeful learning to coordinate efforts, make course corrections, and ultimately ensure effective development programming.

### Analyzing Performance Data

Performance monitoring data should help USAID/Indonesia understand progress toward intended results, assess the logic of development hypotheses, and test assumptions. In order to leverage learning across the Mission, many teams will be analyzing data not only via disaggregation, but also analyzing indicators with respect to their relationships with one another at the sub-IR, IR, and DO levels. Future mechanisms might include provisions for data analysis at the activity level to assist AOR/CORs in reviewing progress toward results and assessing the need for course corrections. The Mission will also analyze performance management data and context indicators at the CDCS results framework level, including relevant GIS data, in conjunction with portfolio reviews.

### Reviewing Results

USAID/Indonesia will go beyond regular monitoring of the PMP to conduct regularly scheduled learning events. These will include.

- Pre-portfolio reviews: DO teams will bring together implementing partners and other stakeholders in September, October, or November of each year to discuss what has been working, what hasn't been working, what have been the constraints to achieving results, what have been the catalysts to achieving results. These events, also called 'Big Picture Reflections' will be focused on performance data, with implementers as the main source of discussion rather than USAID staff, and could be organized around critical assumptions (such as elections) or relevant themes (which could be sector-specific or more broadly defined).

- Annual portfolio review: Annual portfolio reviews will be scheduled in late October or early November, in time for the PPR reporting. As with the pre-portfolio reviews, the focus will be on DO performance and learning and adapting. Each DO team will organize IR-level and/or DO-level reviews prior to the Mission-wide review. The focus of these events is to learn learning what works, what doesn't work, analyze achievements (or the lack thereof) and examine the evidence of the Mission's development hypothesis. PPRs and corresponding narratives will flow from these reviews.
- Activity-level annual reports: The AOR/COR/AM, together with the implementing partner, will identify broad themes for the Annual Report, including but not limited to the outline for the report, how to handle critical assumptions, identifying analytical parameters at the DO level, as well as the award's objective.

Beyond the above events, the Mission will engage in learning via other events with a variety of external stakeholders. These will include:

- At award: Meetings with awardees at the activity or project design stage would include discussion surrounding performance management tasks, such as:
  - data quality assessments,
  - performance monitoring requirements,
  - analysis expectations,
  - site visits,
  - environmental mitigation requirements,
  - reporting formats,
  - GIS requirements, and
  - learning and evaluation expectations.

By having these sessions early in the award, the awardee/contractor can establish systems from the start that focus on and set the foundation for learning.

- Evaluations, assessments, special studies: Even if the Mission has not identified a reason to evaluate the project or activity, IPs will be encouraged, as relevant, to include research or analytical activities in their award. Similarly, awards and other mechanisms will include an emphasis on presenting evaluation findings and conclusions to relevant teams as well as with broader stakeholders.

## Communicating and Sharing Learning

Communicating findings and sharing learning is crucial to ensure data is used as widely as possible. As such, USAID/Indonesia commits to sharing performance information internally and externally where feasible. Implementing partners may be requested to present findings from internal evaluations or assessments to a Mission-wide audience rather than just their COR or DO teams. Other evaluations and assessments should include team briefings and brown bags to a broad audience. Technical offices should be collaborating with one another, the Program Office, and with implementers throughout the life cycle of monitoring and evaluation activities to identify learning gaps, understand findings, and apply recommendations. Evaluation statements of work will articulate USAID/Indonesia's intentions for using the findings and include a plan for dissemination of results. The dissemination plan should include internal as well as external audiences (such as GOI counterparts, research institutions, USAID/W technical bureaus, USAID/Indonesia staff, and other donors) ; thinking through the knowledge products and/or events that would be most likely to reach these audiences.

Technical conferences, workshops, and publication of academic articles will also be used as platforms highlighting USAID's achievements, sharing best practices and lessons learned, and

giving both USAID and the implementing partners an opportunity to build professional skills. Determining who should present and the presentation topic(s) should be a discussion between the AOR/COR/AM and the implementing partner(s).

## **Collaboration and Engagement**

The PMP development and implementation process presents a good opportunity to better partners' (including the Government of Indonesia) engagement on performance monitoring. "Country-led development" has learning implications. USAID can help promote country ownership of development agendas and efforts by catalyzing learning among local development actors and building local capacity for analyzing development dynamics and devising solutions systemically. Implementing partners also play a crucial role in collaborating, learning, and adapting for greater effectiveness.

## ANNEX I: PERFORMANCE AND CONTEXT INDICATORS

Updated June 16, 2014

Indicator	Custom or Standard
<b>Goal: A stronger Indonesia advancing national and global development</b>	
<b>G-1:</b> Human Development Index (HDI) score	<b>C</b>
<b>G-2:</b> Score on the knowledge economy index	<b>C</b>
<b>G-3:</b> Average score of the six Coral Triangle Countries on the Biodiversity and Coastal Protection Subcategories of the Ocean Health Index	<b>C</b>
<b>G-CX1:</b> Growth in (real) gross domestic product (GDP) per capita (Standard Indicator 4-15)	<b>S</b>
<b>G-CX2:</b> Obligations/expenditures at the local government levels/districts	<b>C</b>
<b>G-CX3:</b> National Development Plan does not stray too far from the current version after 2014 national elections	<b>C</b>
<b>G-CX4:</b> Gender Inequality Index score	<b>C</b>
<b>DO1: Democratic governance strengthened</b>	
<b>1-1:</b> Average sub-score on Freedom House Index for key political rights and civil liberties subcategories	<b>C</b>
<b>1-2:</b> National Integrity Index Score for select Public Service Units	<b>C</b>
<b>1-3:</b> Percent of respondents who state that key institutions of democracy and governance have improved over the last year	<b>C</b>
<b>1-CX1:</b> Average rating for targeted provinces for Institutions of Democracy	
<b>1-CX2:</b> Indonesia Governance Index score	
<b>1-CX3:</b> Average score on the World Bank governance indicator Rule of Law	
<b>IR1.1: Community of accountability improved</b>	
<b>1.1-1:</b> Average score on World Justice Project (WJP) Rule of Law Index for absence of corruption in the judicial and executive branches	<b>C</b>
<b>1.1-2:</b> Number of Civil Society Organizations (CSOs) receiving USG assistance engaged in advocacy interventions	<b>S</b>
<b>1.1-CX1:</b> World Bank Governance Indicator Control of Corruption score	
<b>IR1.2: Civic participation increased</b>	
<b>1.2-1:</b> Number of Civil Society Organizations (CSOs) receiving USG assistance engaged in advocacy interventions	<b>S</b>
<b>1.2-2:</b> Local Organizational Capacity Assessment Score	<b>S</b>
<b>1.2-3:</b> Percent of respondents who state that women's leadership in civil society is important	<b>C</b>
<b>1.2-CX1:</b> Democracy Index score for Indonesia	
<b>IR1.3: Protection of citizen rights promoted</b>	
<b>1.3-1:</b> Number of individuals/groups from low income or marginalized	<b>S</b>

communities who received legal aid or victims assistance with USG support	
1.3-2: Score on quality of GOI's UN human rights reports	C
1.3-CX1: Incidents of violence	
<b>IR1.4: Sustainable development in targeted districts in eastern Indonesia enhanced</b>	
1.4-1: Eastern Indonesia Human Security Index (EIHSI) Score	C
1.4-2: Percent of respondents who state that they have equal input into government decisions compared to other people	C
1.4-3: Percent of respondents who state that they are satisfied with the GOI's delivery of basic services	C
1.4-CX1: Incidents of violence	
<b>DO2: Essential human services for the poorest and most vulnerable improved</b>	
2-1: Maternal Mortality Ratio (MMR)	C
2-2: Percent of households gaining access to improved water supply as a result of USG assistance	C
2-3: Percent of graduates from USG-supported post-primary education programs reporting themselves as employed	C
2-4: Percent of poor and most vulnerable who report satisfaction with delivery of essential services	C
<b>IR2.1: Preventable deaths among women and children reduced</b>	
2.1-1: Newborn Mortality Rate	C
2.1-2: Percent of targeted facilities that adhere to 80% of international standards for key (high impact) services	C
2.1-3: Number of people gaining access to improved sanitation facilities (as a result of USG assistance)	S
<b>IR2.2: Workforce Development for Poor and Vulnerable Improved</b>	
2.2-1: Number of individuals from poor and most vulnerable groups enrolled in USAID-supported post-primary workforce development programs	C
2.2-2: Percent of the poor and most vulnerable who complete USAID-supported post-primary workforce development programs	C
2.2-3: Number of USG-supported post-primary workforce development programs that adopt policies to increase access of the poor and most vulnerable groups	C
<b>IR2.3: Local governance of essential services strengthened</b>	
2.3-1: Percent of local government funding for health and education services	C
<b>DO3: Global development priorities of mutual interest advanced</b>	
3-1: Number of new multi-drug resistant-TB (MDR-TB) patients diagnosed and initiated on treatment	C
3-2: Greenhouse gas (GHG) emissions, estimated in metric tons of CO <sub>2</sub> e, reduced, sequestered, and/or avoided as a result of USG assistance	S
3-3: Number of milestones reached to advance South-South and Triangular Cooperation (SSTC) with USG assistance	C

<b>IR3.1: Control of infectious disease of regional and global importance improved</b>	
3.1-1: Percent of testing facilities (laboratories) that are accredited according to national or international standards	<b>C</b>
3.1-2: Number of USG-supported national disease control programs meeting control or elimination targets	<b>C</b>
<b>IR3.2: Marine and terrestrial biodiversity conservation enhanced</b>	
3.2-1: Number of hectares of biological significance and/or natural resources under improved natural resource management as a result of USG assistance	<b>S</b>
3.2-2: Population of orangutans in USG-supported landscapes.	<b>C</b>
3.2-3: Average score of Marine Protected Area (MPA) Management Effectiveness Index for USG-supported MPAs	<b>C</b>
<b>IR3.3: Climate change mitigation and resilience to support a green economy strengthened</b>	
3.3-1: Amount of investment leveraged in U.S. dollars, from private and public sources, for climate change and biodiversity conservation as a result of USG assistance	<b>S</b>
3.3-2: Number of institutions with improved capacity to address climate change issues as a result of USG assistance	<b>S</b>
3.3-3: Number of laws, policies, strategies, plans, or regulations addressing climate change (mitigation or adaptation) and/or biodiversity conservation officially proposed, adopted, or implemented as a result of USG assistance	<b>S</b>
<b>IR3.4: GOI south-south and triangular cooperation strengthened</b>	
3.4-1: Institutional Capacity Assessment Average Score	<b>C</b>
3.4-2: Percent of Government of Indonesia (GOI) Ministries reporting international development assistance to the designated GOI body	<b>C</b>
3.4-3: Percent of investment leveraged in U.S. dollars, from private and public sources, for South-South and triangular Cooperation (SSTC) as a result of USG assistance	<b>C</b>
<b>DO4: Collaborative achievement in science, technology, and innovation</b>	
4-1: Average score of Science, Technology, and Innovation (ST&I) Knowledge, Attitudes, and Behaviors (KAB) survey	<b>C</b>
4-2: Percent of USG activities which support or incorporate science, technology, and innovation	<b>C</b>
4-3: Dollar amount leveraged by non-USG sources in support of ST&I	<b>C</b>
4-4: Number of partnerships formed or strengthened which support ST&I	<b>C</b>
4-CX1: Percent of GDP spent on research and development	
4-CX2: Number of National Science Foundation awards to study in a field relevant to ST&I in Indonesia	
<b>IR 4.1: Increased supply of high quality research</b>	
4.1-1: Percent of USG-supported articles published in peer review journal with at least one Indonesian author	<b>C</b>
4.1-2: Average score of organizational capacity for targeted institutions	<b>C</b>

4.1-3: Ratio of citations to publications produced by Indonesian researchers	<b>C</b>
4.1-4: Number of scientific studies published or conference presentations given as a result of USG assistance for research programs.	<b>S</b>
4.1-CX1: Science and mathematics literacy acquired by Indonesian students, compared to Organization for Economic Cooperation and Development (OECD) average	<b>C</b>
<b>IR4.2: Improved capacity to use evidence in decision-making</b>	
4.2-1: Number of decisions made by select organizations based on evidence	<b>C</b>
4.2-CX1: TBD "Freedom House; Freedom of press/journalistic integrity?"	
<b>IR4.3: Mechanisms for use of innovative approaches in development strengthened</b>	
4.3-1: Amount of funding leveraged from non-USG sources	<b>C</b>
4.3-2: Amount of funding obtained through cost share from non-USG sources	<b>C</b>
4.3-3: Number of tools, technologies, or practices introduced to commercial sector	<b>S</b>
4.3-4: Number of participants in challenges and prize competitions	<b>C</b>
4.3-CX1: TBD "Something measuring patents?"	
<b>Gender</b>	
GNDR-4: Proportion of target population reporting increased agreement with the concept that males and females should have equal access to social, economic, and political opportunities	<b>S</b>
GNDR-6: Number of people reached by a USG funded intervention providing GBV services (e.g., health, legal, psycho-social counseling, shelters, hotlines, other)	<b>S</b>
GNDR-7: Percent of target population that views Gender-Based Violence (GBV) as less acceptable after participating in or being exposed to USG programming	<b>S</b>
<b>Capacity Building</b>	
CBLD-1: Number of awards made directly to local organizations	<b>S</b>
CBLD-2: Percent of operating unit program funds obligated through partner country systems (disaggregation of USAID Forward Local Solutions indicator)	<b>S</b>
CBLD-3: Percent of operating unit program funds obligated to local organizations (disaggregation of USAID Forward Local Solutions indicator)	<b>S</b>
CBLD-4: Percent of mission awards with organizational capacity development objectives or activities that require reporting on capacity development metrics on a regular basis	<b>S</b>
<b>Public-Private Partnerships</b>	
PPP-5: Number of new USG-supported public-private partnerships (PPPs) formed	<b>S</b>
USAID Forward: Value of USG resources obligated to Public-Private	<b>C</b>

Partnerships in which there is a minimum of 1-to-1 leverage of private sector resources	
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## **ANNEX II: PERFORMANCE AND CONTEXT INDICATOR REFERENCE SHEETS**

The context indicator reference sheets and performance indicator reference sheets for all indicators in the PMP have been submitted as part of this PMP in a separate document.

## ANNEX III: EVALUATION PLAN<sup>2</sup>

USAID/Indonesia 2014-2018 Planned Evaluation Summary Table					
Level/ Program, Project, Activity, or Sector Evaluated	Type of Evaluation	Evaluation Questions	Estimated Budget	Start Date	End Date
CDCS Level					

<sup>2</sup> Please note that the budget figures and dates included here are placeholders while the Mission finalizes its PADs and evaluation plans.

<b>Goal, CDCS-Wide</b>	Final performance evaluation	<ul style="list-style-type: none"> <li>- Are the DOs still relevant given the changing development context between 2013 when the CDCS was approved and 2018?</li> <li>- To what extent have USAID activities coordinated and complemented each other within the 14 targeted provinces?</li> <li>- How did implementing mechanism achievements link to the results in the CDCS results framework?</li> <li>- How does the management structure of the Mission affect implementation of the programming?</li> <li>- How has private sector engagement contributed to achievements in education, health, and environment programming?</li> <li>- To what extent have men and women participated equally in, and benefited equally from, CDCS activities?</li> <li>- What are the key positive and negative factors affecting these performance aspects?</li> <li>- What are key lessons learned from implementing this CDCS, and what recommendations can be drawn?</li> </ul>	\$200,000	1/1/2018	6/1/2018
<b>Development Objective 1</b>					
<b>DO1 Gender</b>	Final/Midterm? performance evaluation	<ul style="list-style-type: none"> <li>- To what extent has women's leadership improved as a result of DO1 efforts? (*Note: this could be a Mission-wide evaluation, where other DOs add additional questions or issues)</li> </ul>	\$200,000	1/1/2018	6/1/2018
<b>IR 1.1 DG PAD; Court Performance</b>	Impact Evaluation	<ul style="list-style-type: none"> <li>- Are improved tools for internal monitoring sufficient to improve court performance?</li> <li>- Does civil society monitoring of court performance lead to improved court performance?</li> <li>- Are improved internal tools more effective in the presence of civil society monitoring?</li> </ul>	\$1,000,000	TBD	6/1/2018
<b>Corruption</b>	Final performance	<ul style="list-style-type: none"> <li>- TBD</li> </ul>	\$200,000	1/1/2018	6/1/2018

	evaluation				
<b>Civic Participation</b>	Final performance evaluation	<ul style="list-style-type: none"> <li>- TBD</li> <li>- TBD Include a question on gender.</li> </ul>	\$200,000	1/1/2018	6/1/2018
<b>Human security</b>	Midterm and final performance evaluation	<ul style="list-style-type: none"> <li>- Cross-sectoral approach: What have been the main determinants and obstacles to enhanced human security?</li> <li>- TBD Include a question on gender.</li> </ul>	\$200,000 \$200,000	1/1/2016 1/1/2018	6/1/2016 6/1/2018
<b>Strengthening Integrity and Accountability Program 1 (SIAP1)</b>	Midterm Performance Evaluation	<ul style="list-style-type: none"> <li>- What lessons have been learned over the first half of the project that should affect our implementation moving forward?</li> </ul>	\$100,000	2/1/2014	7/30/2014
<b>Development Objective 2</b>					
<b>IR2.1 Maternal and Child Health</b>	Possible Performance Evaluation	<ul style="list-style-type: none"> <li>- Does an improvement in maternal health services, vis-à-vis the GOI health insurance scheme, increase the number of poor and most vulnerable women who seek out those services?</li> </ul>	\$200,000	1/1/2018	6/1/2018
<b>IR2.1; IUWASH</b>	Final performance Evaluation	<ul style="list-style-type: none"> <li>- TBD</li> <li>- TBD Include a question on gender.</li> </ul>	\$200,000	1/1/2018	6/1/2018
<b>IR2.3: KINERJA</b>	Final Performance Evaluation	<ul style="list-style-type: none"> <li>- TBD</li> </ul>	\$200,000	1/1/2018	6/1/2018
<b>IR2.3: Local Governance</b>	Performance Evaluation	<ul style="list-style-type: none"> <li>- Cross sectoral approach: Do the poor and most vulnerable report user satisfaction in the delivery of essential human services?</li> <li>- TBD Include a question on gender.</li> </ul>	\$200,000	1/1/2018	6/1/2018
<b>Development Objective 3</b>					
<b>DO Level</b>	Across all DO projects (Performance Evaluation)	<ul style="list-style-type: none"> <li>- How has the collaboration between Indonesia and USAID on DO 3 issues lead to Indonesia's increased commitment towards these issues?</li> </ul>	\$250,000	1/1/2018	6/1/2018
<b>Infectious Disease Team TB (IR level)</b>	TBD Performance evaluation	<ul style="list-style-type: none"> <li>- How does the implementation of International Standards of Care among private sector clinicians impact MDR-TB incidence?</li> <li>- How do gender issues influence an individual's desire to seek diagnosis and</li> </ul>	\$200,000	-	-

		successfully complete TB treatment?			
<b>Infectious Disease ID (across ID activities)</b>	Performance evaluation	- Does laboratory technical assistance (across sectors) impact Indonesia's laboratory network performance and ability to achieve international certification?	\$200,000	1/1/2018	6/1/2018
<b>Marine Resources Program</b>	Final performance evaluation	- Which project achievements were achieved versus stated objectives, and which elements of the project had the most significant impact (and which had the least), and how should these findings be applied to follow on work?	\$80,000	5/1/2014	3/1/2015
<b>Forestry Program</b>	Final performance evaluations	- What were the contributions of each individual mechanism to the program results?	\$300,000	11/1/2014	3/31/2015
<b>Indonesia Clean Energy Development (ICED)</b>	Final performance evaluations	- TBD	\$200,000	12/1/2014	3/31/2015
<b>Climate Change and Adaptation team (TBD on level)</b>	Midterm and final performance evaluations	- TBD	\$200,000 \$200,000	1/1/2016 1/1/2018	6/1/2016 6/1/2018
<b>New marine mechanism</b>	Impact evaluation	- The impact evaluation will be built upon the theory of change (TOC) developed for the project to show the cause and effect of intervention during the life of the project.	\$750,000	3/1/2015	3/1/2020
<b>South-South and Triangular Cooperation Team</b>	Performance evaluation	- In what ways did USAID collaboration improve GPOI capacity to provide technical assistance to third countries?	\$200,000	1/1/2018	6/1/2018
<b>Development Objective 4</b>					
<b>DO4 Level</b>	Final performance evaluation	- To what extent do the targeted mechanisms have systems in place which promote sustainability beyond USG involvement? - To what extent are non-USG stakeholders engaged and interested in ST&I? Why? What more is needed? - Have there been any strengths and weaknesses with respect to gender	\$200,000	1/1/2018	6/1/2018

		<ul style="list-style-type: none"> <li>- involvement? Gender sensitivity?</li> <li>- To what extent were we successful in reaching our targets? What were key barriers to success? Markers of success?</li> </ul>			
<b>PRESTASI</b>	Midterm performance evaluation	<ul style="list-style-type: none"> <li>- To what extent are we on track to meet our targets?</li> <li>- What are graduates of our training doing? What are reported results of the trainings?</li> <li>- Have there been any institutional changes?</li> <li>- What are perceived strengths and weaknesses of the training?</li> </ul>	\$200,000	4/1/2015	8/31/ 2015
<b>PRESTASI</b>	Final performance evaluation	<ul style="list-style-type: none"> <li>- To what extent is IP capacity improving? To what extent do they have the capability to continue working with or without USG support?</li> <li>- To what extent to participants view the trainings as useful? Are there particular elements which are notably stronger or weaker?</li> <li>- To what extent are all requirements (including participant return) being met?</li> <li>- What has been the impact of alumni?</li> </ul>	\$200,000	9/1/2017	12/31/2017
<b>University Partnerships</b>	Midterm performance evaluation	<ul style="list-style-type: none"> <li>- What has been the role of private sector in building partnerships?</li> <li>- What are contributing factors in determining whether or not graduates enter the science and technology field? To what extent is there a correlation or reported impact between this and the presence of university partnerships?</li> </ul>	\$200,000	1/1/2016	6/1/2016
<b>Prizes and Challenges Mechanism</b>	Intermediate performance evaluation	<ul style="list-style-type: none"> <li>- To what extent is the outreach strategy effective in reaching the targeted groups?</li> <li>- What is the quality of submitted ideas and innovations?</li> <li>- To what extent is the right technical assistance being provided to participants?</li> <li>- To what extent are non-USG parties</li> </ul>	\$200,000	1 yr after award	TBD

		<ul style="list-style-type: none"> <li>- participating effectively in this model?</li> <li>- What are lessons learned that should be applied to future rounds of challenges and prizes?</li> </ul>			
<b>IR4.2 (sub-IR level)</b>	Midterm and final performance evaluation	- To what extent are we on track to meet our targets?	\$200,000	1/1/2016	6/1/2016
		- What is working, what isn't working, and why?	\$200,000	8/1/2019	12/31/2019
<b>HELM</b>	Midterm and final performance evaluation	- TBD	\$200,000	1/1/2016	1/1/2018
			\$200,000	1/1/2018	6/1/2018
<b>Total Estimated Funding</b>			<b>\$8,480,000</b>		

## ANNEX IV: SCHEDULE OF EVALUATIONS

This evaluation plan will be updated as the Mission finalizes the dates of its evaluations. Teams should start from the date they need to have the report completed and work backwards to determine the timing of SOW drafting, procurement, and field work.

Evaluation	FY14				FY15				FY16				FY17				FY18			
	Q1	Q2	Q3	Q4																
Goal Level																				
IR 1.1 DG PAD; Court Performance																				
IR 1.4; Eastern Indonesia																				
Corruption																				
Civic Participation																				
Human security																				
Human security																				
Strengthening Integrity and Accountability Program 1 (SIAP1)																				
IR2.1 Maternal and Child Health																				
IR2.1: IUWASH																				
IR2.3: KINERJA																				
IR2.3: Local Governance																				
DO 3: Level																				
Infectious Disease Team - TB																				
Infectious Disease - ID																				
Marine Resources Program																				
Forestry Program																				
Indonesia Clean Energy Development (ICED)																				
Climate Change and Adaptation team																				
Climate Change and Adaptation team																				
New marine mechanism																				
South-South and Triangular Cooperation Team																				



## ANNEX V: POTENTIALLY RELEVANT REQUIRED F AND INITIATIVE INDICATORS

Standardized Indicator Number	F Bureau Standard Indicator Title	Included in Mission-wide PMP
2.1.3-13	Number of USG-assisted courts with improved case management systems	
2.1.3-13-16	Number of individuals/groups from low-income or marginalized communities who received legal aid or victims assistance with USG support	<b>X</b>
2.1.4-3	Number of domestic NGOs engaged in monitoring or advocacy work on human rights receiving USG support	
2.1.4-7	Number of human rights defenders trained and supported	
2.2.1-4	Number of Executive Oversight Actions Taken by Legislature Receiving USG Assistance	<b>X</b>
2.2.2-6	Number of training days provided to executive branch personnel with USG assistance	
2.4.1-9	Number of civil society organizations (CSOs) receiving USG assistance engaged in advocacy interventions.	<b>X</b>
3.1.1-6	Number of adults and children with advanced HIV infection newly enrolled on ART (PEPFAR Output - #T1.1.D)	
3.1.1-10	Number of adults and children with advanced HIV infection receiving antiretroviral therapy (ART) (PEPFAR output - #T1.2.D)	
3.1.1-24	Number of individuals who received Testing and Counseling (T&C) services for HIV and received their test results (PEPFAR Output - #P11.1.D)	
3.1.1-69	Number of eligible adults and children provided with a minimum of one care service (PEPFAR output - #C.1.1D)	
3.1.8.1-1	Percent of households using an improved drinking water source	
3.1.8.2-1	Percent of households using an improved sanitation facility	
4.8-7	Greenhouse gas (GHG) emissions, estimated in metric tons of CO <sub>2</sub> e, reduced, sequestered, and/or avoided as a result of USG assistance	<b>X</b>
4.8.1-26	Number of hectares of biological significance and/or natural resources under improved natural resource management as a result of USG assistance	<b>X</b>
4.8.2-14	Number of institutions with improved capacity to address climate change issues as a result of USG assistance	<b>X</b>
4.8.2-28	Number of laws, policies, strategies, plans, regulations addressing climate change (mitigation/adaptation) and/or biodiversity conservation officially proposed adopted, or implemented as a result of USG	<b>X</b>

Standardized Indicator Number	F Bureau Standard Indicator Title	Included in Mission-wide PMP
	assistance	
4-15	Growth in (real) gross domestic product (GDP) per capita	X
4.8.2-26	Number of stakeholders with increased capacity to adapt to the impacts of climate change as a result of USG assistance	
5.1-2	Percentage of refugees admitted to the U.S. against the regional ceilings established by Presidential Determination	
5.1.1-3	Percentage of NGO or other international organization projects that include dedicated activities to prevent and/or respond to gender-based violence	
5.1.1-6	Percentage of USG-funded NGO or other international organization projects that include activities or services designed to reduce specific risks or harm to vulnerable populations	
5.1.2-3	Percent of planned emergency food aid beneficiaries reached with USG assistance	
5.1.2-4	Percentage of surveyed refugee camps in protracted situations where global acute malnutrition (GAM) does not exceed 10 percent	
5.1.2-6	Number of internally displaced and host population beneficiaries provided with basic inputs for survival, recovery or restoration of productive capacity as a result of USG assistance	
5.2-3	Percentage of host country and regional teams and/or other stakeholder groups implementing risk-reducing practices/actions to improve resilience to natural disasters as a result of USG assistance within the previous 5 years	
5.2.1-2	Number of people trained in disaster preparedness as a result of USG assistance	
CBLD-1	Number of awards made directly to local organizations	
CBLD-5	Local Organizational Capacity Assessment Score	X
CBLD-4	Percent of mission awards with organizational capacity development objectives or activities that require reporting on capacity development metrics on a regular basis	
GNDR-2	Proportion of female participants in USG-assisted programs designed to increase access to productive economic resources (assets, credit, income or employment)	
GNDR-4	Proportion of target population reporting increased agreement with the concept that males and females should have equal access to social, economic, and political opportunities.	
GNDR-6	Number of people reached by a USG funded intervention providing GBV services (e.g., health, legal, psycho-social counseling, shelters, hotlines,	

Standardized Indicator Number	F Bureau Standard Indicator Title	Included in Mission-wide PMP
	other)	
STIR-2	Number of tools, technologies, or practices introduced to commercial sector	X
STIR-6	Number of scientific studies published or conference presentations given as a result of USG assistance for research programs.	X
MTLC-1	Percent of Major UN organizations funded by the IO&P account that have overall accountability ratings of at least 3 out of 5 on the United Nations Transparency and Accountability Initiative Phase II (UNTAI II) annual assessment	

## ANNEX VI: INDICATOR REFERENCE SHEET TEMPLATES AND INSTRUCTIONS

Context Indicator Reference Sheet
<b>Goal:</b> Enter the full name and number of the relevant results statement.
<b>DO 1:</b> Enter the full name and, as applicable, the number of the relevant results statement.
<b>IR 1.1:</b> Enter the full name and, as applicable, the number of the relevant results statement.
<b>Sub-IR 1.1.1:</b> Enter the full name and, as applicable, the number of the relevant results statement.
<b>Number/Name of Context Indicator:</b> As applicable, enter the full name and number of the relevant results statement. Note that the number for Context Indicators should be linked to the relevant result number, for example Indicator “1.1.CX1” for an indicator at the IR level, or indicator “1.1.1.CX1” for an indicator at the Sub-IR level.
<b>Indicate whether this is a Condition, Critical Assumption, or Risk Indicator:</b> As applicable, enter the full name and number of the relevant results statement.
CONTEXT INDICATOR DESCRIPTION
<b>Precise Definition(s):</b> Define the specific words or elements used in the indicator. Remember to define any terms that may be ambiguous. For example how do you define training? Is there a minimum requirement or standard? How are classrooms defined? How is “improvement” qualified and so forth? <b>FOR STANDARD INDICATORS:</b> The <u>first section</u> – labeled “USAID standard definition:” – should be inserted from the foreign assistance standard indicator reference sheet. The <u>second section</u> – labeled “USAID/Indonesia’s use of this standard indicator:” – is where additional information specific to USAID/Indonesia can be included. (For standard indicators where additional details (i.e., Malawi specific) are not needed, then delete the “USAID standard definition” and “USAID/Indonesia’s use of this standard indicator” labels.) <b>FOR CUSTOM INDICATORS:</b> Since there is no standard indicator definition, the two labels utilized above are not needed. <b>FOR ALL PERCENTAGE INDICATORS:</b> Need to define both the <u>numerator</u> and <u>denominator</u> at the end of the definition.
<b>Unit of Measure:</b> Enter the unit of measure (number of..., percentage of..., or US dollars). Clarify the minimum or maximum values if needed (e.g., minimum score is 1.0 and maximum score is 5.0). Clarify if the number is cumulative or specific to the year.
<b>Disaggregated by:</b> List any planned ways of disaggregating the data (sex – male/female, youth/adult, urban/rural, region, etc.) and, if possible, justify why useful.
<b>Rationale or Management Utility (optional):</b> Briefly describe why this particular indicator was selected to measure the intended result and how it will be useful for managing performance.
PLAN FOR DATA COLLECTION BY USAID
<b>Data Source:</b> Identify the source of data (e.g., ministry database or report; ledger of patient names, document review, structured interviews, focus group interviews, written survey, direct observation, self-reported information, and so forth). If more than one partner is reporting against a given indicator you can note it here as well. Always useful to be as specific as possible regardless of type of data source.
<b>Method of Data Acquisition:</b> Describe the tools and methods for collecting the raw data. For example, participant sign-in sheets will be completed for each day of training, at the end of the training the completed sheets will be sent to the IP activity manager who will review the data for accuracy and completeness, the data will then be entered into the M&E database by the M&E data entry clerk for the completed training activity. If the indicator is constructed, such as an index or an expert panel assessment, describe the procedure for construction. Who collects the raw data and where is it stored before it gets to USAID?
<b>Frequency and Timing of Data Acquisition:</b> Describe how often data will be received by USAID and when.
<b>Individual(s) Responsible for Data at USAID:</b> Insert USAID/Indonesia staff member(s) by title.

<b>Individual(s) Responsible for Providing Data to USAID</b> <i>(optional)</i> : Insert implementing partner or other external partner supplying data to USAID/Indonesia when applicable. Be specific as possible, including titles.
<b>Location of Data Storage</b> <i>(optional)</i> : Ideally, this is the pathway on USAID/Indonesia's shared drive to the specific folder and file. Important to note this as specifically as possible. In addition, a second reference to any relevant 'actuals' calculation notes is highly recommended for previously reported data.
<b>DATA QUALITY ISSUES</b>
<b>Data Quality Considerations</b> <i>(optional)</i> : Enter the date of the most recent data quality assessment and the names of the reviewers if conducted within the past 3 fiscal years.
<b>BASELINE</b>
<b>Baseline Trend</b> <i>(optional)</i> : State the timeframe (quarter, year, etc.) that will serve as the baseline value for this indicator. If baselines have not been set, identify when and how this will be done. While this information is optional for the PIRS, data tracking tables must identify a baseline timeframe and value. See ADS 203.3.9 for more information on baselines.
<b>Other Notes</b> <i>(optional)</i> : Changes made to targets during annual reviews can be discussed here as well as any other noteworthy items.
<b>CHANGES TO CONTEXT INDICATOR</b>
<b>Changes to Indicator</b> : Document here any changes to indicator, such as a change in the how the data is collected, not changes in the indicator data. Specify (1) the date of the change (2) the change that was made, and (3) the reason for the change.
<b>Other Notes</b> <i>(optional)</i> : Use this space as needed.
<b>THIS SHEET WAS LAST UPDATED ON:</b> Insert full date. <b>CIRS Template:</b> Insert version number and date.

Performance Indicator Reference Sheet
<b>Goal:</b> Enter the full name and number of the relevant results statement.
<b>DO 1:</b> Enter the full name and, as applicable, the number of the relevant results statement.
<b>IR 1.1 / Project Purpose:</b> Enter the full name and, as applicable, the number of the relevant results statement (and purpose statement).
<b>Sub-IR 1.1.1 / Sub-purpose:</b> Enter the full name and, as applicable, the number of the relevant results statement (and sub-purpose statement).
<b>Sub-sub-purpose:</b> Enter the full name and, as applicable, the number of the relevant sub-sub-purpose statement.
<b>Linkage(s) to other Results Statements (<i>be specific</i>):</b> Enter the full name and number of the relevant results statement – this could include other IRs or sub-IRs within the same DO, or DOs. This could also include links to GOI Development Initiatives and/or National Development Plan.
<b>Number/Name of Performance Indicator:</b> Enter the full title of the indicator. Enter the Standard Indicator Number, Presidential Indicator Number, and/or CDCS DO Number. Note that the number for Custom Indicators should be linked to the relevant result number, for example Indicator “1.1.C1” for an indicator at the IR level, or indicator “1.1.1.C1” for an indicator at the Sub-IR level.
<b>Performance Plan and Report Indicator:</b> Enter yes or no, and clarify which reporting years(s). (For example: Yes, reporting data for fiscal years 2013, 2014, 2015, 2016, and 2017.) <b>Foreign Assistance Framework:</b> State program area and element aligned to funding source <b>Indicator Type:</b> Output/Outcome/Impact
PERFORMANCE INDICATOR DESCRIPTION
<b>Precise Definition(s):</b> Define the specific words or elements used in the indicator. Remember to define any terms that may be ambiguous. For example how do you define training? Is there a minimum requirement or standard? How are classrooms defined? How is “improvement” qualified and so forth? <b>FOR STANDARD INDICATORS:</b> The <u>first section</u> – labeled “USAID standard definition:” – should be inserted from the foreign assistance standard indicator reference sheet. The <u>second section</u> – labeled “USAID/Indonesia’s use of this standard indicator:” – is where additional information specific to USAID/Indonesia can be included. (For standard indicators where additional details (i.e., Indonesia specific) are not needed, then delete the “USAID standard definition” and “USAID/Indonesia’s use of this standard indicator” labels.) <b>FOR CUSTOM INDICATORS:</b> Since there is no standard indicator definition, the two labels utilized above are not needed. <b>FOR ALL PERCENTAGE INDICATORS:</b> Need to define both the <u>numerator</u> and <u>denominator</u> at the end of the definition.
<b>Unit of Measure:</b> Enter the unit of measure (number of..., percentage of..., or US dollars). Clarify the minimum or maximum values if needed (e.g., minimum score is 1.0 and maximum score is 5.0). Clarify if the number is cumulative or specific to the year.
<b>Disaggregated by:</b> List any planned ways of disaggregating the data (sex – male/female, youth/adult, urban/rural, region, etc.) and, if possible, justify why useful.
<b>Rationale or Management Utility, Integration Approach (<i>optional</i>):</b> Briefly describe why this particular indicator was selected to measure the intended result and how it will be useful for managing performance. Also include how (and whether) this indicator helps support the Mission’s integration strategy. For example, this could be through linkages to other results statements, linkages to the GOI’s initiatives, integration at the activity level, common beneficiaries, common impact, or other.
PLAN FOR DATA COLLECTION BY USAID
<b>Activities/Implementing Mechanisms:</b> List the names of the activities and the Implementing Partners (if relevant). For example, G2G “Health Capacity grant to the Ministry of Health” or “Local Governance Strengthening Program, implemented by XYZ Organization.”
<b>Data Source:</b> Identify the source of data (e.g., ministry database or report; ledger of patient names, document review, structured interviews, focus group interviews, written survey, direct observation, self-reported information, and so forth). Always useful to be as specific as possible regardless of type of data source.
<b>Method of Data Acquisition:</b> Describe the tools and methods for collecting the raw data. For example, participant sign-in sheets will be completed for each day of training, at the end of the training the completed sheets will be sent to the IP activity manager who will review the data for accuracy and completeness, the data will then be entered into the M&E

database by the M&E data entry clerk for the completed training activity . If the indicator is constructed, such as an index or an expert panel assessment, describe the procedure for construction. Who collects the raw data and where is it stored before it gets to USAID?
<b>Frequency and Timing of Data Acquisition:</b> Describe how often data will be received by USAID and when.
<b>Individual(s) Responsible for Data at USAID:</b> Insert USAID/Indonesia staff member(s) by title.
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b> Insert implementing partner or other external partner supplying data to USAID/Indonesia when applicable. Be specific as possible, including titles.
<b>Location of Data Storage (optional):</b> Ideally, this is the pathway on USAID/Indonesia's shared drive to the specific folder and file. Important to note this as specifically as possible. In addition, a second reference to any relevant 'actuals' calculation notes is highly recommended for previously reported data.
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> Enter the date of the most recent data quality assessment and the names of the reviewers if conducted within the past 3 fiscal years.
<b>Date of Future Data Quality Assessments (optional):</b> Enter the planned date for subsequent data quality assessments.
<b>Known Data Limitations and Significance (optional):</b> Enter any major data limitations from summary section of DQA checklist or other known sources.
<b>Actions Taken or Planned to Address Data Limitations (optional):</b> Responds directly to major data limitations listed above when the USAID Operating Unit has determined that action must be taken.
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis (optional):</b> Potential examples include simple number, duplicated/unduplicated count, estimate from representative household survey, estimate taking into account projected population growth rates, and so forth.
<b>Mission/Team Review (optional):</b> Explain the internal USAID Operating Unit activities when this will be reviewed and analyzed for management and learning purposes (e.g., DO Office quarterly meeting, annual portfolio review – Q3 or September, After action review, Stakeholder meeting, etc.).
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe (optional):</b> State the timeframe (quarter, year, etc.) that will serve as the baseline value for this indicator. If baselines have not been set, identify when and how this will be done. While this information is optional for the PIRS, data tracking tables must identify a baseline timeframe and value. See ADS 203.3.9 for more information on baselines.
<b>Rationale for Targets (optional):</b> Explain the basis on which targets are set (e.g., identify specific trends to make reasonable projections based on anticipated level of effort and resources). While this information is optional for the PIRS, data tracking tables must include rationales for targets along with target values. See ADS 203.3.9 for more information on targets. A file pathway referencing a document with a more detailed explanation of how the targets were set could be included here.
<b>Other Notes (optional):</b> Changes made to targets during annual reviews can be discussed here as well as any other noteworthy items.
<b>THIS SHEET WAS LAST UPDATED ON:</b> Insert full date. <b>PIRS Template:</b> Insert version number and date.

## ANNEX VII: DATA QUALITY ASSESSMENT CHECKLIST

<b>USAID Mission or Operating Unit Name:</b>	
<b>Title of Performance Indicator:</b>	
<b>Linkage to Foreign Assistance Standardized Program Structure, if applicable (i.e. Program Area, Element, etc.):</b>	
<b>Result This Indicator Measures [For USAID only]</b> (i.e., Specify the Development Objective, Intermediate Result, or Project Purpose, etc.):	
<b>Data Source(s):</b>	
<b>Partner or Contractor Who Provided the Data:</b>	
<b>Period for Which the Data Are Being Reported:</b>	
<b>Is This Indicator a Standard or Custom Indicator?</b>	<input type="checkbox"/> <b>Standard Foreign Assistance Indicator</b> <input type="checkbox"/> <b>Custom</b> (Created by the OU; not standard)
<b>Data Quality Assessment methodology:</b>	
<b>Date(s) of Assessment:</b>	
<b>USAID Assessment Team Members:</b>	
<b>Data Source / Implementing Partner Team Members:</b>	
<b>USAID Mission/OU Verification of DQA</b> <b>Team Leader Officer approval</b>  X _____	

		YES	NO	COMMENTS
<b>VALIDITY – Data should clearly and adequately represent the intended result.</b>				
1	Does the information collected measure what it is supposed to measure? (E.g. A valid measure of overall nutrition is healthy variation in diet; Age is not a valid measure of overall health.)			
2	Do results collected fall within a plausible range?			
3	Is there reasonable assurance that the data collection methods being used do not produce systematically biased data (e.g. consistently over- or under-counting)?			
4	Are sound research methods being used to collect the data?			
<b>RELIABILITY – Data should reflect stable and consistent data collection processes and analysis methods over time.</b>				
1	When the same data collection method is used to measure/observe the same thing multiple times, is the same result produced each time? (E.g. A ruler used over and over always indicates the same length for an inch.)			
2	Are data collection and analysis methods documented in writing and being used to ensure the same procedures are followed each time?			
<b>TIMELINESS – Data should be available at a useful frequency, should be current, and should be timely enough to influence management decision making.</b>				
1	Are data available frequently enough to inform program management decisions?			
2	Are the data reported the most current practically available?			
3	Are the data reported as soon as possible after collection?			
<b>PRECISION – Data have a sufficient level of detail to permit management decision making; e.g. the margin of error is less than the anticipated change.</b>				
1	Is the margin of error less than the expected change being measured?  (E.g. If a change of only 2% is expected and the margin of error in a survey used to collect the data is +/- 5%, then the tool is not precise enough to detect the change.)			

		YES	NO	COMMENTS
2	Has the margin of error been reported along with the data? (Only applicable to results obtained through statistical samples.)			
3	Is the data collection method/tool being used to collect the data fine-tuned or exact enough to register the expected change? (E.g. A yardstick may not be a precise enough tool to measure a change of a few millimeters.)			
<b>INTEGRITY – Data collected should have safeguards to minimize the risk of transcription error or data manipulation.</b>				
1	Are procedures or safeguards in place to minimize data transcription errors?			
2	Is there independence in key data collection, management, and assessment procedures?			
3	Are mechanisms in place to prevent unauthorized changes to the data?			

SUMMARY	
Based on the assessment relative to the five standards, what is the overall conclusion regarding the quality of the data?	
Significance of limitations (if any):	
Actions needed to address limitations prior to the next DQA (given level of USG control over data):	
IF NOT DATA ARE AVAILABLE FOR THE INDICATOR	COMMENTS
If no recent relevant data are available for this indicator, why not?	
What concrete actions are now being taken to collect and report these data as soon as possible?	
When will data be reported?	

### **Recommendations for Conducting Data Quality Assessments**

1. Data Quality (DQ) assessor should make sure that they understand the precise definition of the indicator by checking the Performance Indicator Reference Sheet. Please address any issues of ambiguity before the DQA is conducted.
2. DQ assessor should have a copy of the methodology for data collection in hand before assessing the indicator. For USAID Missions, this information should be in the PMP's Performance Indicator Reference Sheets for each indicator. Each indicator should have a written description of how the data being assessed are supposed to be collected.
3. Each implementing partner should have a copy of the method of data collection in their files and documented evidence that they are collecting the data according to the methodology.
4. DQ assessor should record the names and titles of all individuals involved in the assessment.
5. Does the implementing partner have documented evidence that they have verified the data that has been reported? Partners should be able to provide USAID with documents (process/person conducting the verification/field visit dates/persons met/activities visited, etc) which demonstrates that they have verified the data that was reported. Note: Verification by the partners should be an ongoing process.
6. The DQ assessor should be able to review the implementing partner files/records against the methodology for data collection laid out in the PMP (for USAID Missions only). Any data quality concerns should be documented.
7. The DQ should include a summary of significant limitations found. A plan of action, including timelines and responsibilities, for addressing the limitations should be made.

## ANNEX VIII: SOURCE VERIFICATION CHECKLIST

Performance Indicator Data Sources and Verification Documentation	
Type of Activity or Task	Documentation / Sources
Events (i.e., conference)	Sign-in sheets
	Agenda (inclusive of goal)/schedule
	Any records of IP contributing to or planning the event
	Pictures
	Any deliverables produced as a result of the event
	Copies of newspaper articles covering the event (with masthead and date)
Workshop or Training	Daily sign-in sheets ( <i>required</i> )
	Agenda/Schedule
	Curriculum
	Any presentations or hand-outs we produced for the workshop/training
	Pictures
	Copies of certificates received by graduates
	Copies of final exams/scores
Cash-for-Work	Daily sign-in sheets ( <i>required</i> )
	Photos (with workers)
Infrastructure	Photos (before, during, after)
	Engineer site reports
	Affidavits on completion by officials
	Community reports
Agriculture	Field photos (before, during, after) of harvest
	Receipts (1.e.: procurement, sales, delivery, other)
	GPS coordinates
	Trade data from Ministry
Producing Written Documents	Draft of the original documents, and final, and a record of the inputs
	Emails or copies of written inputs and revisions
	Milestone report / Score card
Day-to-day meetings/advising	Meeting notes/minutes
	Any system designed – copy of (templates) i.e.: filing system, protocol for communication, etc.
	Any procedures/protocols drafted
Media events	Newspaper articles (with masthead and date)

	Recordings of radio program with air schedule (i.e.:
	Recordings of TV program with air schedule
	Copies of print campaigns
	Print outs of number of hits on website (or screen shot of hits)
Field days	Photos (during)
	Receipts
	Sign-in sheets
Demographic information	Population-based, national household survey. (e.g., Demographic and Health Survey (DHS))
	Implementing partner-conducted survey
	Credible host country government publications/datasets (List specific name of report/dataset)
Observations	Implementing Partner site visit assessment forms and/or beneficiary proof of delivery forms
	Photos (during site visits)
Health	Health clinic patient registers (e.g., Pre-ART/ART registers, MCH register)
	Community-based registers (e.g., Health register, Nutrition register)
	Laboratory accreditation form/report
	Inoculations sign-in sheets

## ANNEX IX: FULL CDCS RESULTS FRAMEWORK

<b>Goal: A stronger Indonesia advancing national and global development</b>
<b>DO1: Democratic governance strengthened</b>
<b>IR1.1: Community of accountability improved</b>
1.1.1: Effectiveness of justice sector increased
1.1.2: Key GOI corruption prevention institutions strengthened
1.1.3: CSO Initiatives on justice and accountability increased
<b>IR1.2: Civic participation increased</b>
1.2.1: Capacity of Indonesian CSOs/NGOs increased
1.2.2: Enabling environment for CSOs/NGOs improved
1.2.3: Barriers to women's civic participation reduced
<b>IR1.3: Protection of citizen rights promoted</b>
1.3.1: Access to justice for marginalized citizens increased
1.3.2: Ability of government to protect citizen rights improved
<b>IR1.4: Sustainable development in targeted districts in eastern Indonesia enhanced</b>
1.4.1: Citizen participation in community decision-making improved
1.4.2: Basic services enhanced
1.4.3: Gender-based violence reduced
<b>DO2: Essential human services for the poorest and most vulnerable improved</b>
<b>IR2.1: Preventable deaths among women and children reduced</b>
2.1.1: Quality of health services improved
2.1.2: Barriers to accessing health services lowered
2.1.3: Access to improved water and sanitation increased
<b>IR2.2: Workforce development for poor and vulnerable improved</b>
2.2.1: Quality of workforce development programs improved
2.2.2: Innovative workforce development models implemented
2.2.3: Ownership and synergies between key workforce development stakeholders increased
<b>IR2.3: Local governance of essential services strengthened</b>
2.3.1: Management of service delivery by subnational government improved
2.3.2: Community engagement for essential services strengthened
<b>DO3: Global development priorities of mutual interest advanced</b>
<b>IR3.1: Control of infectious disease of regional and global importance improved</b>
3.1.1: International disease control standards and norms adopted
3.1.2: Prevention, surveillance, and treatment capacity strengthened
3.1.3: Indonesian partnerships with global health infrastructure and networks strengthened
<b>IR3.2: Marine and terrestrial biodiversity conservation enhanced</b>
3.2.1: Environmentally sound economic development of marine and terrestrial resources

improved
3.2.2: Governance of marine and terrestrial resources improved
3.2.3: Indonesian constituencies for conservation empowered
<b>IR3.3: Climate change mitigation and resilience to support a green economy strengthened</b>
3.3.1: Foundation for low-carbon energy systems strengthened
3.3.2: Low carbon land use and forest stewardship enhanced
3.3.3: Capacity to manage climate change and natural disaster risk improved
3.3.4: Government of Indonesia coordination on mainstreaming climate change improved
<b>IR3.4: GOI south-south and triangular cooperation strengthened</b>
3.4.1: Capacity of national coordination team and implementing agencies increased
3.4.2: Triangular coordination with USG expanded
<b>DO4: Collaborative achievement in science, technology, and innovation</b>
<b>IR 4.1: Increased supply of high quality research</b>
4.1.1: Improved environment for merit-based research
4.1.2: Domestic and global scientific knowledge exchange strengthened
4.1.3: Opportunity for scientific engagement in higher education improved
<b>IR4.2: Improved capacity to use evidence in decision-making</b>
4.2.1: Mechanisms for influence of evidence on policy and programs strengthened
4.2.2: Enhanced ability of organizations to provide high quality analytic products
4.2.3: Advocacy and demand for data collection and analysis strengthened
<b>IR4.3: Mechanisms for use of innovative approaches in development strengthened</b>
4.3.1: Innovative technologies and approaches to development are identified
4.3.2: Innovative technologies and approaches to development are piloted

## ANNEX X: REFERENCES

Directorate for Conservation of Area and Fish Species, Directorate General of Marine, Coasts and Small Islands, Ministry of Marine Affairs and Fisheries Directorate for Conservation of Area and Fish Species, Technical Guidelines for Evaluating the Management Effectiveness of Aquatic, Coasts, and Small Islands Conservation areas, 2012.

F Bureau: Master Indicator List; Cross-Cutting Indicator Reference Sheets; Indicator Reference Sheets, Objectives 1, 2, 3, 4, and 5.

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USAID/Indonesia, FY 2013, Full Performance Plan and Report (PPR), Date Submitted: December 10, 2013.

USAID Automated Directives System (ADS) chapters: 200 on Introduction to Programming Policy; 201 on Planning; 203 on Assessing and Learning; 205 Integrating Gender Equality and Female Empowerment in USAID's Program Cycle dated 7/17/13

USAID How to Note: Preparing a Performance Management Plan (PMP), Version 1.0, January 2013.

USAID Tips: Preparing a Performance Management Plan, Number 7, 2nd Edition, 2010.

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USAID/Indonesia: Sample Assessments that have informed the USAID/Indonesia Country Development Cooperation Strategy.

USAID/Indonesia: Draft Mission Order: Evaluation, 11/27/13.

USAID/Indonesia: Mission Order: Performance Monitoring, 11/27/13.

USAID/Indonesia: Draft Mission Order: Portfolio Reviews, 11/27/13.

USAID/Indonesia: Draft Mission Order: Strategy, 2013.

## ANNEX XI: PERFORMANCE MANAGEMENT TASKS

Task (Notes)	FY											
	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug
<b>Performance Planning</b>												
Mission-wide PMP Updates and Revisions					Annual, after Portfolio Reviews and PPRs							
Goal-level Indicator Reference Sheets – Modification						Annual						
Indicator Reference Sheets – Modification ( <i>with PMPOC guidance</i> )						Annual						
Indicator Reference Sheets – developed as new indicators are developed for new programs/activities ( <i>with PMPOC guidance</i> )	On-going – As needed											
DO M&E plans – Modification					Annual, after Portfolio Reviews and PPRs							
Activity/Implementing Partner M&E plans – modification				Annual, after Portfolio Reviews and PPRs								
<b>Performance Reviews and Analysis</b>												
CDCS Portfolio Review ( <i>Mission-wide, including Goal, DOs, IRs, and sub-IRs</i> )			Annual									

Task (Notes)	FY											
	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug
DO-level Portfolio Review (preparation for CDCS Portfolio Review)			Annual									
Other Portfolio/Performance Reviews (could be combined with Quarterly Financial Reviews, focus on environmental compliance, activity-level performance)	On-going – As needed											
Financial Reviews (pipelines, burn-rates, additional funding needs, budget reallocations)		Quarterly			Quarterly			Quarterly			Quarterly	
Stakeholder meetings (partners, technical experts, GOI, research organizations, beneficiaries, and others)		Annual										
<b>Collecting Data and Uploading to the PMIS</b>												
Performance and Context Indicators – Goal level	On-going – As needed											
Performance and Context Indicators – DO M&E plan level	On-going – As needed											
Performance and Context Indicators – Activity level	On-going – As needed											

Task (Notes)	FY											
	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug
Baselines – Goal level indicator modification	On-going – In conjunction with PMP modifications											
Baselines and targets – DO M&E plans and activity/implementing mechanism M&E plans	On-going – As soon as possible after PAD approvals											
Data calls through PMIS – Preparation for annual reporting ( <i>all data verified</i> )		Annual										
Data calls through PMIS, DO and activity-levels - Monitoring		Quarterly			Quarterly			Quarterly			Quarterly	
Geographic Location Data ( <i>uploaded into the GIS database</i> )		Annual										
<b>Site Visits</b>												
Data Quality Assessments – required	Every 3 years, staggered						Every 3 years, staggered					
Site Visits – regularly scheduled				Annual, staggered							Annual, staggered	
Site Visits – not regularly scheduled	On-going – As needed											
Environmental Mitigation/Management ( <i>Coordinated with Environmental Officer</i> )	On-going – As needed											
<b>Evaluations (<i>Specific evaluation tasks are included in the separate Evaluation Plan Task Schedule</i>)</b>												

Task (Notes)	FY											
	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug
Evaluation Plans Updated <i>(as part of a formal decision process, e.g., Portfolio Reviews)</i>		Annual										
Evaluation Plans Updated <i>(as evaluation "triggers" occur)</i>	On-going – As needed											
<b>Learning</b>												
Learning Agenda – modification					Annual							
M&E training for staff and implementing partners <i>(Specifically after new activity/implementing mechanisms are awarded)</i>	On-going – As needed											
Learning events <i>(Evaluation findings brown-bags, updates of the ADS 200 series, best practices, new assessment/analysis tools, etc.)</i>	On-going – As needed											
<b>Reporting</b>												
Performance Plan and Report			Annual									
Operational Plan							Annual					

**ANNEX I: PERFORMANCE AND CONTEXT INDICATOR REFERENCE SHEETS**

Goal-Level Context Indicator Reference Sheets

**USAID/Indonesia Context Indicator Reference Sheet – Indicator No. G-CX1 / FAF 4-15**

**Goal:** A Stronger Indonesia Advancing National and Global Development

**Number/Name of Performance Indicator:** G-CX1 Growth in (real) gross domestic product (GDP) per capita (Standard indicator 4-15)

**Indicate whether this is a Condition, Critical Assumption, or Risk Indicator:** Standard, Condition

**CONTEXT INDICATOR DESCRIPTION**

**Precise Definition(s):** Missions are not expected to report on this indicator. The information is tracked by EGAT. Annual percentage growth rate of GDP per capita based on constant local currency. GDP per capita is gross domestic product divided by midyear population. GDP at purchaser's prices is the sum of gross value added by all resident producers in the economy plus any product taxes and minus any subsidies not included in the value of the products. It is calculated without making deductions for depreciation of fabricated assets or for depletion and degradation of natural resources.

**Unit of Measure:** Annual percent change, calculated by dividing the most recent year's GDP per capita by that for the preceding year and subtracting one.

**Disaggregated by:** N/A

**Rationale or Management Utility, Integration Approach (optional):** A steady increase in this objective is necessary, though not sufficient, for sustainable broad-based economic growth that reduces poverty and provided domestic resources for sustainable investments in all other development objectives. The pattern of growth and the distribution of and access to the income, wealth and assets it produces are also important. This is the most common indicator of economic growth. If GDP is growing faster than the population growth rate, average household incomes should be rising and the rate of poverty declining and the society should gradually have more resources to invest in vital social services and infrastructure.

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** N/A

**Data Source:** World Bank World Development Indicators (WDI), most easily obtained annually from EADS/ESDB at: [http://esdb.eads.usaidallnet.gov/query/do?\\_program=/eads/esdb/source&source=WDI](http://esdb.eads.usaidallnet.gov/query/do?_program=/eads/esdb/source&source=WDI)

**Method of Data Acquisition:** USAID/Indonesia PRO will directly access the website to collect data.

**Frequency and Timing of Data Acquisition:** Annual, end of FY.

**Individual(s) Responsible for Data at USAID:** USAID/Indonesia PRO PMPOC

**Individual(s) Responsible for Providing Data to USAID (optional):** N/A

**Location of Data Storage (optional):** USAID/Indonesia PMIS

**DATA QUALITY ISSUES**

**Data Quality Considerations (optional):** Does not include measures of household economic activities and can only use rough estimates of informal economic sector activities. Does not imply that all households or economic actors benefit from an increase or suffer from a decrease in the growth rate.

**BASELINE**

**Baseline Trend (optional):** [Insert year] 4.9%, and insert the trend

**Other Notes (optional):**

**THIS SHEET WAS LAST UPDATED ON:** 4/11/14

**PIRS Template:** 2/21/14

**USAID/Indonesia Context Indicator Reference Sheet – Indicator No. G-CX2**

**Goal:** A Stronger Indonesia Advancing National and Global Development

<b>Number/Name of Performance Indicator:</b> G-CX2: Obligations/expenditures at the local government levels/districts
<b>Indicate whether this is a Condition, Critical Assumption, or Risk Indicator:</b> Custom, Condition
<b>PERFORMANCE INDICATOR DESCRIPTION</b>
<b>Precise Definition(s):</b> [Insert definition] <b>Numerator:</b> [Insert when applicable] <b>Denominator:</b> [Insert when applicable]
<b>Unit of Measure:</b>
<b>Disaggregated by:</b>
<b>Rationale or Management Utility, Integration Approach (optional):</b>
<b>PLAN FOR DATA COLLECTION BY USAID</b>
<b>Activities/Implementing Mechanisms:</b> N/A
<b>Data Source:</b>
<b>Method of Data Acquisition:</b>
<b>Frequency and Timing of Data Acquisition:</b> Annual, if possible
<b>Individual(s) Responsible for Data at USAID:</b> USAID/Indonesia PRO PMPOC
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b> N/A
<b>Location of Data Storage (optional):</b> USAID/Indonesia PMIS
<b>DATA QUALITY ISSUES</b>
<b>Data Quality Considerations (optional):</b>
<b>BASELINE</b>
<b>Baseline Trend (optional):</b>
<b>Other Notes (optional):</b>
<b>THIS SHEET WAS LAST UPDATED ON: 4/11/14 PIRS Template: 2/21/14</b>

<b>USAID/Indonesia Context Indicator Reference Sheet – Indicator No. G-CX3</b>	
<b>Goal:</b>	A Stronger Indonesia Advancing National and Global Development
<b>Number/Name of Performance Indicator:</b>	G-CX3: NDP doesn't stray too far from the current version after 2014 national elections
<b>Indicate whether this is a Condition, Critical Assumption, or Risk Indicator:</b>	Custom, Risk
<b>PERFORMANCE INDICATOR DESCRIPTION</b>	
<b>Precise Definition(s):</b>	The National Development Plan covers (insert years). Modifications or a new National Development Plan that moves from the central themes of XXX (insert core principles that are key to USAID's strategy) would seriously undermine USAID's achievement of the objectives and goals of the CDCS.
<b>Unit of Measure:</b>	Binary (Y/N)
<b>Disaggregated by:</b>	None
<b>Rationale or Management Utility, Integration Approach (optional):</b>	[Insert reason why this indicator is key]
<b>PLAN FOR DATA COLLECTION BY USAID</b>	
<b>Activities/Implementing Mechanisms:</b>	N/A
<b>Data Source:</b>	Comparison of the NDP with any amendments, modifications, or new NDPs developed after the 2014 elections
<b>Method of Data Acquisition:</b>	The PRO, with other USAID staff members, will review the modifications, amendments, or new NDPs to see if the general themes have changed significantly.
<b>Frequency and Timing of Data Acquisition:</b>	Ad hoc, as changes to the NDP occur
<b>Individual(s) Responsible for Data at USAID:</b>	USAID/Indonesia PRO PMPOC
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b>	N/A
<b>Location of Data Storage (optional):</b>	USAID/Indonesia PMIS
<b>DATA QUALITY ISSUES</b>	
<b>Data Quality Considerations (optional):</b>	
<b>BASELINE</b>	
<b>Baseline Trend (optional):</b>	The current NDP
<b>Other Notes (optional):</b>	
<b>THIS SHEET WAS LAST UPDATED ON: 4/11/14</b>	
<b>PIRS Template: 2/21/14</b>	

<b>USAID/Indonesia Context Indicator Reference Sheet – Indicator No. G-CX4</b>	
<b>Goal:</b>	A Stronger Indonesia Advancing National and Global Development
<b>Number/Name of Performance Indicator:</b>	G-CX4: Score on UNDP Gender Inequality Index
<b>Indicate whether this is a Condition, Critical Assumption, or Risk Indicator:</b>	Condition
<b>PERFORMANCE INDICATOR DESCRIPTION</b>	
<b>Precise Definition(s):</b>	Score on UNDP's Gender Inequality Index. Not ranking, but raw score.
<b>Unit of Measure:</b>	Binary (Y/N) Index score
<b>Disaggregated by:</b>	None
<b>Rationale or Management Utility, Integration Approach (optional):</b>	This is a broad based and generally accepted measure of gender inequality. It will help provide a context for gender equality for the CDCS portfolio.
<b>PLAN FOR DATA COLLECTION BY USAID</b>	
<b>Activities/Implementing Mechanisms:</b>	N/A
<b>Data Source:</b>	UNDP, website
<b>Method of Data Acquisition:</b>	PRO will check the UNDP website periodically and update the indicator information when new data is available.
<b>Frequency and Timing of Data Acquisition:</b>	Annual check, latest data on the website as of 5/2/2014 is 2012

data.
<b>Individual(s) Responsible for Data at USAID:</b> USAID/Indonesia PRO PMPOC
<b>Individual(s) Responsible for Providing Data to USAID</b> <i>(optional)</i> : N/A
<b>Location of Data Storage</b> <i>(optional)</i> : USAID/Indonesia PMIS
<b>DATA QUALITY ISSUES</b>
<b>Data Quality Considerations</b> <i>(optional)</i> : Not sure how often the information is updated. Currently the figures are a two years old.
<b>BASELINE</b>
<b>Baseline Trend</b> <i>(optional)</i> : 2012: 0.494
<b>Other Notes</b> <i>(optional)</i> :
<b>THIS SHEET WAS LAST UPDATED ON: 5/2/14</b> <b>PIRS Template: 2/21/14</b>

Goal-Level Performance Indicator Reference Sheets

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. G-1**

**Goal:** A Stronger Indonesia Advancing National and Global Development

**Number/Name of Performance Indicator:** G-1 Human Development Index (HDI) score

**Performance Plan and Report Indicator:** No  Yes  If yes, for which Fiscal Year(s): \_\_\_\_\_ If yes, link to foreign assistance framework: \_\_\_\_\_ **Indicator Type:** Custom, Goal

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** The Human Development Index (HDI) is a composite measure of health, education and income that was introduced in the first Human Development Report in 1990 as an alternative to purely economic assessments of national progress, such as GDP growth. It soon became the most widely accepted and cited measure of its kind, and has been adapted for national use by many countries. HDI values and rankings in the global Human Development Report are calculated using the latest internationally comparable data from mandated international data providers. Previous HDI values and rankings are retroactively recalculated using the same updated data sets and current methodologies, and are presented in Table 2 of the Statistical Annex of the 2013 Report. *The HDI rankings and values in the 2013 Human Development Report cannot therefore be compared directly to HDI rankings and values published in previous Human Development Reports*

**Unit of Measure:** Index score

**Disaggregated by:** Income, Health, Education, Inequality, Poverty, Gender, etc.

**Rationale or Management Utility, Integration Approach (optional):** The HDI was created to emphasize that people and their capabilities should be the ultimate criteria for assessing the development of a country, not economic growth alone. The HDI can also be used to question national policy choices, asking how two countries with the same level of GNI per capita can end up with such different human development outcomes. For example, the Bahamas' GNI per capita is higher than New Zealand's (by 17%) but life expectancy at birth is about 5 years shorter, mean years of schooling is 4 years shorter and expected years of schooling differ greatly between the two countries, resulting in New Zealand having a much higher HDI value than the Bahamas. These striking contrasts can stimulate debate about government policy priorities, and used to track and measure how Indonesia is becoming a stronger country.

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** N/A

**Data Source:** Refer to <http://hdr.undp.org/en/statistics/hdi/> and <http://hdr.undp.org/en/countries/profiles/IDN>

**Method of Data Acquisition:** USAID/Indonesia PRO will directly access the website to collect data.

**Frequency and Timing of Data Acquisition:** Annual (released in/around March of each year)

**Individual(s) Responsible for Data at USAID:** USAID/Indonesia PRO PMPOC

**Individual(s) Responsible for Providing Data to USAID (optional):** N/A

**Location of Data Storage (optional):** USAID/Indonesia PMIS; hard copy of Indonesia country scores in a backup file in the PRO office.

**DATA QUALITY ISSUES**

**Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):** N/A

**Date of Future Data Quality Assessments (optional):** N/A

**Potential Data Limitations and Significance (optional):** TBD, component indicators of the index comes from different sources and are updated at different times. For instance this 2012 HDI index figure for Indonesia could be comprised of 2010 data for one factor and 2012 data for another.

**Actions Taken or Planned to Address Data Limitations (optional):** N/A

**PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING**

**Data Analysis (optional):** Compare actual HDI levels to baseline and target. Compare HDI levels between CDCS target and non-target provinces. Compare HDI levels and trends in CDCS target provinces to other results indicators for these provinces.

**Mission/Team Review (optional):** Annual Portfolio Review.

**BASELINE AND TARGETS**

**Baseline Timeframe (optional):** Baseline aggregate score for Indonesia = 0.629 (for year 2012), with a positive trend.

[2014 report with 2013 data should be coming out soon]

**Rationale for Targets** (*optional*): Targets should be set slightly higher than the trend over the last 5 – 10 years.

**Other Notes** (*optional*):

**THIS SHEET WAS LAST UPDATED ON: 4/11/14**  
**PIRS Template: 2/21/14**

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. G-2**

**Goal:** A Stronger Indonesia Advancing National and Global Development

**Number/Name of Performance Indicator:** G-2 Score on the Knowledge Economy Index

**Performance Plan and Report Indicator:** No  Yes  If yes, for which Fiscal Year(s): \_\_\_\_\_ If yes, link to foreign assistance framework: \_\_\_\_\_ **Indicator Type:** Custom, Goal

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** The application of knowledge – as manifested in areas such as entrepreneurship and innovation, research and development, software and design, and in people’s education and skills levels – is now recognized to be one of the key sources of growth in the global economy. The Knowledge Economy Index (KEI) is a broad measure of the overall level of preparedness of a country or region for the knowledge economy. The KEI summarizes each country’s performance on 12 variables corresponding to the four knowledge economy pillars (Economic and Institutional Regime, Education and skill of population, Information infrastructure, and Innovation system). [Info on the KEI can be found in the handbook here.](#)

**Unit of Measure:** The KEI is constructed as a simple average of the normalized values of those indicators, from 0 to 10. A KEI score that is close to 10 implies a relatively good development of the four knowledge economy pillars as compared to other countries, while a score close to 0 indicate relatively poor development.

**Disaggregated by:** Pillar normalized index score: Economic and Institutional Regime, Education and skill of population, Information infrastructure, and Innovation system.

**Rationale or Management Utility, Integration Approach (optional):** Measures – as a proxy for other indicators – whether Indonesia is advancing national development.

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** N/A

**Data Source:** World Bank’s website at <http://data.worldbank.org/data-catalog/KEI> and [http://info.worldbank.org/etools/kam2/KAM\\_page2.asp](http://info.worldbank.org/etools/kam2/KAM_page2.asp)

**Method of Data Acquisition:** USAID/Indonesia PRO will directly access the website to collect data.

**Frequency and Timing of Data Acquisition:** Annual, end of FY.

**Individual(s) Responsible for Data at USAID:** USAID/Indonesia PRO PMPOC

**Individual(s) Responsible for Providing Data to USAID (optional):** N/A

**Location of Data Storage (optional):** USAID/Indonesia PMIS; hard copy of Indonesia country scores in a backup file in the PRO office.

**DATA QUALITY ISSUES**

**Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):** N/A

**Date of Future Data Quality Assessments (optional):** N/A

**Potential Data Limitations and Significance (optional):** TBD

**Actions Taken or Planned to Address Data Limitations (optional):** N/A

**PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING**

**Data Analysis (optional):** Compare actual KEI levels to baseline and target. The Education and Skill of Population pillar and Innovation System pillar both are comprised of indicators that closely track CDCS results in workforce development and S&T. Comparing results from these two pillars to indicator trends for IR 2.2 and DO4.

**Mission/Team Review (optional):** Annual Portfolio Review.

**BASELINE AND TARGETS**

**Baseline Timeframe (optional):** Baseline aggregate score for Indonesia = 3.11 (KAM 2012).

**Rationale for Targets (optional):** Targets should be set slightly higher than the trend over the last 5 – 10 years.

**Other Notes (optional):**

**THIS SHEET WAS LAST UPDATED ON: 4/11/14  
PIRS Template: 2/21/14**

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. G-3**

**Goal:** A Stronger Indonesia Advancing National and Global Development

**Number/Name of Performance Indicator:** G-3 Average score of the Six Coral Triangle Countries on the Biodiversity and Coastal Protection Subcategories of the Ocean Health Index

**Performance Plan and Report Indicator:** No  Yes  **If yes, for which Fiscal Year(s):** \_\_\_\_\_ **If yes, link to foreign assistance framework:** \_\_\_\_\_ **Indicator Type:** Custom, Goal

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** The Ocean Health Index measures the state of the world’s oceans. The scores help explain what is working, and what needs attention. An index score for each country is calculated based on their Exclusive Economic Zone (EEZ). Each EEZ is evaluated by the 10 public goals and is ranked according to the average of its 10 goal scores. The 10 goals include:

- Food provision (fisheries, mariculture)
- Artisanal fishery operations
- Natural products
- Carbon storage
- Coastal protection
- Tourism and recreation
- Coastal livelihoods and economies
- Sense of place
- Clean waters, and
- Biodiversity

Each goal scores from 0 to 100. The amount of each benefit is compared with a sustainable reference point. The most recent value, ‘present status,’ forms half of the score. The other half, ‘likely future status’ is based on three things: the average rate of change for status (trend) during the most recent five years, the cumulative Pressures that will harm future benefits and the cumulative Resilience actions (e.g. treaties, laws, enforcement, habitat protection) that can reduce pressures and maintain or raise future benefits.

For this indicator, USAID/Indonesia will use two subcategories to measure progress, including coastal protection and biodiversity. The coastal protection subcategory measures the condition and extent of habitats that protect the coasts against storm waves and flooding. The biodiversity subcategory estimates how successfully the richness and variety of marine life is being maintained.

The six coral triangle countries will be included in the score, including: Indonesia, Malaysia, Papua New Guinea, Philippines, Solomon Islands, and Timor-Leste.

**Unit of Measure:** Average Index score

**Disaggregated by:** Subcategory; Country

**Rationale or Management Utility, Integration Approach (optional):** Measures – as a proxy for other indicators, including climate changes in the region – whether Indonesia is advancing global development.

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** N/A

**Data Source:** The Ocean Health Index website at <http://www.oceanhealthindex.org/Countries/>

**Method of Data Acquisition:** USAID/Indonesia PRO will directly access the website to collect data, and should download the dataset for Indonesia into the GIS to help analyze other geographic performance data, as well as the scores for the other 5 coral triangle countries.

**Frequency and Timing of Data Acquisition:** Annual (released in/around October of each year)

**Individual(s) Responsible for Data at USAID:** USAID/Indonesia PRO M&E Specialist

**Individual(s) Responsible for Providing Data to USAID (optional):** N/A

**Location of Data Storage (optional):** USAID/Indonesia PMIS; hard copy of the six coral triangle countries’ scores in a

backup file in the PRO office.					
<b>DATA QUALITY ISSUES</b>					
Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s): N/A					
Date of Future Data Quality Assessments (optional): N/A					
Potential Data Limitations and Significance (optional): TBD					
Actions Taken or Planned to Address Data Limitations (optional): N/A					
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>					
Data Analysis (optional):					
Mission/Team Review (optional): Annual Portfolio Review					
<b>BASELINE AND TARGETS</b>					
Baseline Timeframe (optional):					
From: website 3/12/14	Biodiversity	Coastal Protection	Biodiversity Likely Future <sup>3</sup>	Coastal Protection Likely Future <sup>4</sup>	
East Timor	74.0	17.0	8.0	63.3	
Indonesia	76.0	58.0	54.7	66.7	
Malaysia	80.0	77.0	73.0	73.4	
Papua New Guinea	82.0	52.0	51.0	77.8	
Philippines	77.0	54.0	51.0	67.2	
Solomon Islands	78.0	58.0	60.7	73.4	
Average	77.8	52.7	49.7	70.3	
Total Average	65.3		60.0		
Rationale for Targets (optional): Targets should be set slightly higher than the trend over the last 5 – 10 years.					
Other Notes (optional):					
<b>THIS SHEET WAS LAST UPDATED ON: 4/11/14 PIRS Template: 2/21/14</b>					

<sup>3</sup> <http://www.oceanhealthindex.org/pub/e/csv/OceanHealthIndex2013.csv>

<sup>4</sup> <http://www.oceanhealthindex.org/pub/e/csv/OceanHealthIndex2013.csv>

Context Indicator Reference Sheets

<b>Goal:</b> A Stronger Indonesia Advancing National and Global Development
<b>DO 1:</b> Democratic Governance Strengthened
<b>Number/Name of Context Indicator:</b> 1-CX1 Average Rating for Targeted Provinces for Institutions of Democracy
<b>Indicate whether this is a Condition, Critical Assumption, or Risk Indicator:</b> Custom, Condition
<b>CONTEXT INDICATOR DESCRIPTION</b>
<b>Precise Definition(s):</b> The institutions of democracy are defined as state bodies tasked with supporting the formation and maintenance of a democratic political system. The institutions of democracy have been broken down into 6 subcategories, including 1) free and fair general elections; 2) the role of regional parliaments; 3) the role of political parties; 4) the role of regional government bureaucracy; and 5) the role of independent judiciary. For the Mission, the role of regional government bureaucracy is the key indicator, but since this indicator is not reported by subcategory, the whole "Institutions of Democracy" score will be used as a context indicator.
<b>Numerator:</b> Score for Province 1 + Score for Province 2 ... + score for 14 <sup>th</sup> target Province <b>Denominator:</b> 14
<b>Unit of Measure:</b> Average ranking of provinces
<b>Disaggregated by:</b> Province
<b>Rationale or Management Utility (optional):</b> There is a critical indicator quality issue related to this indicator – it is not available in a timely manner, and by the time the data is available, it is no longer current. However, because this indicator tracks performance at the province level, it is an important context indicator to assess and analyze in conjunction with other DO performance indicators
<b>PLAN FOR DATA COLLECTION BY USAID</b>
<b>Data Source:</b> Indonesia Democracy Index is available at <a href="http://idiproject.org/index.php/en/download/viewcategory/2-reports">http://idiproject.org/index.php/en/download/viewcategory/2-reports</a>
<b>Method of Data Acquisition:</b> USAID/Indonesia DO 1 Team will directly access the Indonesia Democracy Index's website to collect the data.
<b>Frequency and Timing of Data Acquisition:</b> TBD (There is between a 1 year and 2 year lag in the publication of the annual data)
<b>Individual(s) Responsible for Data at USAID:</b> [Insert position, note that this can be someone else in the DO team who is not an AOR/COR (expanding the participation of the DO team in performance management and analysis)]
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b> N/A
<b>Location of Data Storage (optional):</b> USAID/Indonesia PMIS.
<b>DATA QUALITY ISSUES</b>
<b>Data Quality Considerations (optional):</b> TBD
<b>BASELINE</b>
<b>Baseline Trend (optional):</b> [Diman to insert the data for this indicator from the last available data sets] 2009 = XXX; 2010 = XXX; 2011 = XXX; 2012 = XXX.
<b>Other Notes (optional):</b>
<b>THIS SHEET WAS LAST UPDATED ON:</b> 4/11/14 <b>PIRS Template:</b> 2/21/14

**USAID/Indonesia Context Indicator Reference Sheet – Indicator No. 1-CX2**

**Goal:** A Stronger Indonesia Advancing National and Global Development

**DO 1:** Democratic Governance Strengthened

**Number/Name of Context Indicator:** 1-CX2 **Indonesia Governance Index score**

**Indicate whether this is a Condition, Critical Assumption, or Risk Indicator:** Custom, Condition

**CONTEXT INDICATOR DESCRIPTION**

**Precise Definition(s):** The Indonesia Governance Index (IGI) is an assessment of local governance performance, focusing on four areas: government, bureaucracy, civil society and economic society. IGI data provides a (1) Profile of each province's governance performance, (2) ranking of all provinces; (3) Ranking of provinces based on arenas of governance; and (4) A wealth of data on governance related issues.

The Knowledge & Resource Center (KRC) is a unit in the Kemitraan responsible for conducting the governance assessment in 33 provinces called Indonesia Governance Index (IGI) formerly known as PGI (Partnership Governance Index). The first and second governance index conducted in 2008 and 2012 received significant appreciation mainly from the government and universities as an oversight monitoring of the governance performance of 33 provinces in Indonesia. Its robust methodology has also been acknowledged by the UNDP Oslo Governance Center and has been adapted in other countries.

Note on the 2013 IGI: Different from the two previous assessments, Kemitraan will assess at the Kabupaten/Kota level to have comprehensive picture where the decentralization occurs. Having more responsibility to provide education, health and other basic services, the characteristic of Kabupaten/Kota's data is more complicated than that of Province level. Since the provincial researcher will work only as local data collector and directly send data to PMU without having the responsibility to entry data, KRC intends to recruit Temporary Research Administrative Assistant (TRA) to assist IGI team in providing high quality administrative and research supports to the 33 Provincial Researchers.

**Unit of Measure:** Average ranking of provinces/districts

**Disaggregated by:** Province, District

**Rationale or Management Utility (optional):** This indicator tracks performance at the province and district level, and is therefore an important context indicator to assess and analyze in conjunction with other DO performance indicators (including DOs 2, 3 and 4). Because the data has not been available on an annual basis, and the future of the IGI is unclear (the data is political, and therefore may not be released when USAID needs it; and funding for the next IGIs is uncertain), the IGI cannot be used as a performance indicator at this time.

**PLAN FOR DATA COLLECTION BY USAID**

**Data Source:** Indonesia Governance Index is available at <http://www.kemitraan.or.id/govindex> or <http://www.kemitraan.or.id/igi>

**Method of Data Acquisition:** USAID/Indonesia DO 1 Team will directly access the Indonesia Governance Index's website to collect the data.

**Frequency and Timing of Data Acquisition:** TBD (There is between a 1 year and 2 year lag in the publication of the annual data)

**Individual(s) Responsible for Data at USAID:** [Insert position, note that this can be someone else in the DO team who is not an AOR/COR (expanding the participation of the DO team in performance management and analysis)]

**Individual(s) Responsible for Providing Data to USAID (optional):** N/A

**Location of Data Storage (optional):** USAID/Indonesia PMIS.

**DATA QUALITY ISSUES**

**Data Quality Considerations (optional):** TBD

**BASELINE**

**Baseline Trend** (optional): [Insert the data for this indicator from the last available data sets] 2008 = XXX; 2012 = XXX; 2013 = XXX.

**Other Notes** (optional):

**THIS SHEET WAS LAST UPDATED ON: 4/11/14**  
**PIRS Template: 2/21/14**

**USAID/Indonesia Context Indicator Reference Sheet – Indicator No. 1-CX3**

**Goal:** A Stronger Indonesia Advancing National and Global Development

**DO 1:** Democratic Governance Strengthened

**Linkage(s) to other Results Statements (*be specific*):** Results for this IR are linked to DO 2 and DO 3

**Number/Name of Performance Indicator:** 1-CX3 Average score on the World Bank governance indicator for Rule of Law

**Indicate whether this is a Condition, Critical Assumption, or Risk Indicator:** Custom, Condition

**CONTEXT INDICATOR DESCRIPTION**

**Precise Definition(s):** The World Bank’s governance rule of Law measure captures perceptions of the extent to which agents have confidence in and abide by the rules of society, and in particular the quality of contract enforcement, property rights, the police, and the courts, as well as the likelihood of crime and violence. This indicator does not duplicate the Freedom House indicator 1-1 subcategory for “access to an established and equitable system of rule of law”, which includes a focus on inclusiveness and access. The score is based on 16 sources used by the World Bank.

**Unit of Measure:** Estimate gives the country’s score on the aggregate indicator, in units of a standard normal distribution, i.e. ranging from approximately -2.5 to 2.5.

**Disaggregated by:** None

**Rationale or Management Utility, Integration Approach (*optional*):** Changes in the score will indicate an improving or deteriorating process. Improvements in score will indicate that democratic governance is being strengthened through improved effectiveness of legal systems as a result of USAID’s assistance.

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** TBD

**Data Source:** World Bank governance indicators are available at <http://data.worldbank.org/data-catalog/worldwide-governance-indicators>

**Method of Data Acquisition:** USAID/Indonesia DO 1 Team will directly access the World Bank’s governance website to collect the data.

**Frequency and Timing of Data Acquisition:** Annually, available in September

**Individual(s) Responsible for Data at USAID:** [Insert position, note that this can be someone else in the DO team who is not an AOR/COR (expanding the participation of the DO team in performance management and analysis)]

**Individual(s) Responsible for Providing Data to USAID (*optional*):** [Insert the name of the person at the World Bank office in Jakarta to contact]

**Location of Data Storage (*optional*):** USAID/Indonesia PMIS.

**DATA QUALITY ISSUES**

**Data Quality Considerations (*optional*):** TBD

**BASELINE**

**Baseline Trend (*optional*):** [Insert the data for this indicator from the last available data sets] 2009 = XXX; 2010 = XXX; 2011 = XXX; 2012 = XXX; 2013 = XXX.

**Other Notes (*optional*):**

**THIS SHEET WAS LAST UPDATED ON: 4/11/14**

**PIRS Template: 2/21/14**

USAID/Indonesia Context Indicator Reference Sheet – Indicator No. 1.1-CX1	
<b>Goal:</b>	A Stronger Indonesia Advancing National and Global Development
<b>DO 1:</b>	Democratic Governance Strengthened
<b>IR 1.1/Project Purpose:</b>	Community of Accountability Improved
<b>Number/Name of Context Indicator:</b>	1.1-CX1: World Bank Governance Indicator Control of Corruption score
<b>Indicate whether this is a Condition, Critical Assumption, or Risk Indicator:</b>	Custom, Risk Indicator
CONTEXT INDICATOR DESCRIPTION	
<b>Precise Definition(s):</b>	Control of Corruption captures perceptions of the extent to which public power is exercised for private gain, including both petty and grand forms of corruption, as well as "capture" of the state by elites and private interests. Estimate gives the country's score on the aggregate indicator, in units of a standard normal distribution.
<b>Unit of Measure:</b>	Score from -2.5 to 2.5
<b>Disaggregated by:</b>	None
<b>Rationale or Management Utility (optional):</b>	[Insert how this data is useful to IR 1.1]
PLAN FOR DATA COLLECTION BY USAID	
<b>Data Source:</b>	The World Bank's Governance data is located at <a href="http://www.govindicators.org">www.govindicators.org</a> .
<b>Method of Data Acquisition:</b>	The WGI for Indonesia is based on 15 data sources [it would be great if these sources could be identified – contact the World Bank staff in Indonesia to ask?].
<b>Frequency and Timing of Data Acquisition:</b>	Annually, available for the previous year in approximately October of each year
<b>Individual(s) Responsible for Data at USAID:</b>	[Insert position, note that this can be someone else in the DO team who is not an AOR/COR (expanding the participation of the DO team in performance management and analysis)]
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b>	N/A
<b>Location of Data Storage (optional):</b>	USAID/Indonesia PMIS.
DATA QUALITY ISSUES	
<b>Data Quality Considerations (optional):</b>	TBD
BASELINE	
<b>Baseline Trend (optional):</b>	The 2012 estimate is -0.7 (note that this score has not changed since 2010)
<b>Other Notes (optional):</b>	
CHANGES TO CONTEXT INDICATOR	
<b>Changes to Indicator:</b>	
<b>Other Notes (optional):</b>	
<b>THIS SHEET WAS LAST UPDATED ON: 4/11/14</b>	
<b>PIRS Template: 2/21/14</b>	

**USAID/Indonesia Context Indicator Reference Sheet – Indicator No. 1.2-CX1**

<b>Goal:</b> A Stronger Indonesia Advancing National and Global Development
<b>DO 1:</b> Democratic Governance Strengthened
<b>IR 1.2:</b> Civic Participation Enhanced
<b>Number/Name of Context Indicator:</b> 1.2-CX1: Democracy Index score for Indonesia
<b>Indicate whether this is a Condition, Critical Assumption, or Risk Indicator:</b> Custom, Condition
<b>CONTEXT INDICATOR DESCRIPTION</b>
<p><b>Precise Definition:</b> The Democracy Index is compiled each year and measures the state of democracy in 167 countries, including Indonesia. The index is based on the ratings for 60 indicators grouped in five categories that are inter-related and form a coherent conceptual whole: electoral process and pluralism; civil liberties; the functioning of government; political participation; and political culture.</p> <p>In addition to a numeric score and a ranking, the index categorizes countries as one of four regime types: full democracies (score of 8 to 10), flawed democracies (score of 6 to 7.9), hybrid regimes (score of 4 to 5.9), and authoritarian regimes (score below 4).</p>
<b>Unit of Measure:</b> Each of the five categories has a rating on a 0 to 10 scale, and the overall index of democracy (also scored 0 to 10) is the simple average of the five category indexes.
<b>Disaggregated by:</b> Five categories
<b>Rationale or Management Utility (optional):</b> Changes in the score will indicate an improving or deteriorating environment in which CSOs and NGOs operate. Improvements in score will indicate that civil liberties have improved, and/or barriers to political participation by NGOs and CSOs have lessened at the national level. This indicator, which is focused at the national level, may not be sensitive enough to measure the context of USAID’s and its partners interventions in the targeted provinces.
<b>PLAN FOR DATA COLLECTION BY USAID</b>
<b>Data Source:</b> The Economist Intelligence Unit
<b>Method of Data Acquisition:</b> Published online <a href="#">[Insert website, www.eiu.com]</a>
<b>Frequency and Timing of Data Acquisition:</b> Annually, in <b>March of each year</b>
<b>Individual(s) Responsible for Data at USAID:</b> AOR/COR for civic participation implementing mechanism
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b> N/A
<b>Location of Data Storage (optional):</b> USAID/Indonesia PMIS
<b>DATA QUALITY ISSUES</b>
<b>Data Quality Considerations (optional):</b>
<b>BASELINE</b>
<b>Baseline Trend (optional):</b> In 2012, Indonesia scored 6.78 on the overall index, putting it in the category of a flawed democracy. In the political participation category, it scored 6.11 and in the civil liberties category, it scored 7.65.
<b>Other Notes (optional):</b>
<b>THIS SHEET WAS LAST UPDATED ON: 4/11/14</b>
<b>PIRS Template: 2/21/14</b>

**USAID/Indonesia Context Indicator Reference Sheet – Indicator No. 1.3-CX1**

**Goal:** A Stronger Indonesia Advancing National and Global Development

**DO 1:** Democratic Governance Strengthened

**IR 1.3/Project Purpose:** Protection of Citizen Rights Promoted

**Number/Name of Context Indicator:** 1.3-CX1: Incidents of violence?

**Indicate whether this is a Condition, Critical Assumption, or Risk Indicator:** Custom, Condition or Risk Indicator

**CONTEXT INDICATOR DESCRIPTION**

**Precise Definition:** The data could come from Human Rights Watch, which has a section on Papua (would be narrative) – see <http://www.hrw.org/world-report/2013/country-chapters/indonesia?page=2>), or from Pew <http://www.pewforum.org/2012/09/20/rising-tide-of-restrictions-on-religion-findings/>, which tracks religious intolerance, or from some other sources.

**Unit of Measure:** TBD

**Disaggregated by:** Type of violence, Location

**Rationale or Management Utility (optional):** This information would be helpful in explaining the context for implementation of legal aid services. Further, the number of cases or people who seek legal aid services may go up or down based on a couple of differing trends: a) as governance at the local level improves in the 14 targeted provinces of Indonesia, then the numbers of individuals seeking legal aid will go down; and b) as citizens understand their rights, and feel safe from reprisals, and as governance improves, more people will access legal aid. Therefore, this context indicator can provide information that helps with the analysis of the overall impact and success of the Mission (e.g., if the incidents of violence increases, and the number of people seeking legal counsel increases similarly, then potentially it could be argued that the increase in access is due to an increase in violence being reported). This context indicator is the same as the one proposed for DO 1 IR 1.4 – except that it is broader than just Eastern Indonesia.

**PLAN FOR DATA COLLECTION BY USAID**

**Data Source:** TBD

**Method of Data Acquisition:** TBD

**Frequency and Timing of Data Acquisition:** TBD

**Individual(s) Responsible for Data at USAID:** TBD

**Individual(s) Responsible for Providing Data to USAID (optional):** TBD

**Location of Data Storage (optional):** USAID/Indonesia PMIS

**DATA QUALITY ISSUES**

**Data Quality Considerations (optional):**

**BASELINE**

**Baseline Trend (optional):** TBD

**Other Notes (optional):**

**THIS SHEET WAS LAST UPDATED ON:** 4/11/14

**PIRS Template:** 2/21/14

**USAID/Indonesia Context Indicator Reference Sheet – Indicator No. 1.4-CX1**

**Goal:** A Stronger Indonesia Advancing National and Global Development

**DO 1:** Democratic Governance Strengthened

**IR 1.4/Project Purpose:** Sustainable Development in Targeted Districts in Eastern Indonesia Enhanced

**Number/Name of Context Indicator:** 1.4-CX1: Incidents of violence

**Indicate whether this is a Condition, Critical Assumption, or Risk Indicator:** Custom, Condition or Risk Indicator

**CONTEXT INDICATOR DESCRIPTION**

**Precise Definition:** The data could come from Human Rights Watch, which has a section on Papua (would be narrative) – see <http://www.hrw.org/world-report/2013/country-chapters/indonesia?page=2>), or from Pew <http://www.pewforum.org/2012/09/20/rising-tide-of-restrictions-on-religion-findings/>, which tracks religious intolerance, or from some other sources.

**Unit of Measure:** TBD

**Disaggregated by:** Type of violence, Location

**Rationale or Management Utility (optional):** This information would be helpful in explaining the context for implementation in Eastern Indonesia. Successfully addressing human security can have an unintended counter effect of making success a target for violence. As well, studies demonstrate that during times of transitions (even transitions that are positive), there can be a backlash against individuals and groups that have recently assumed new roles and responsibilities (e.g., women, minorities, other traditionally vulnerable groups) by those who perceive that their roles and responsibilities have been relatively diminished. Therefore, this context indicator can provide information that helps with the analysis of the overall impact and success of the Mission. This context indicator is the same as the one proposed for DO 1 IR 1.3 – except that it is narrower than all of USAID’s 14 priority provinces in Indonesia.

**PLAN FOR DATA COLLECTION BY USAID**

**Data Source:** TBD

**Method of Data Acquisition:** TBD

**Frequency and Timing of Data Acquisition:** TBD

**Individual(s) Responsible for Data at USAID:** TBD

**Individual(s) Responsible for Providing Data to USAID (optional):** TBD

**Location of Data Storage (optional):** USAID/Indonesia PMIS

**DATA QUALITY ISSUES**

**Data Quality Considerations (optional):**

**BASELINE**

**Baseline Trend (optional):** TBD

**Other Notes (optional):**

**THIS SHEET WAS LAST UPDATED ON: 4/11/14**  
PIRS Template: 2/21/14

**USAID/Indonesia Context Indicator Reference Sheet – Indicator No. 4-CX1**

**Goal:** A stronger Indonesia advancing national and global development

**DO 4:** Collaborative Achievement in Science, Technology, and Innovation

**Number/Name of Context Indicator:** 4-CX1: percent of GDP spent on research and development

**Indicate whether this is a Condition, Critical Assumption, or Risk Indicator:**

**CONTEXT INDICATOR DESCRIPTION**

**Precise Definition(s):**

**Unit of Measure:**

**Disaggregated by:**

**Rationale or Management Utility** *(optional)*:

**PLAN FOR DATA COLLECTION BY USAID**

**Data Source:**

**Method of Data Acquisition:**

**Frequency and Timing of Data Acquisition:**

**Individual(s) Responsible for Data at USAID:** DO4 Team Lead (TBD)

**Individual(s) Responsible for Providing Data to USAID** *(optional)*: N/A

**Location of Data Storage** *(optional)*: TBD (Mission information system)

**DATA QUALITY ISSUES**

**Data Quality Considerations** *(optional)*:

**BASELINE**

**Baseline Trend** *(optional)*:

**Other Notes** *(optional)*:

**THIS SHEET WAS LAST UPDATED ON:** 3/30/14

CIRS Template: 2/21/14

**USAID/Indonesia Context Indicator Reference Sheet – Indicator No. 4-CX2**

**Goal:** A stronger Indonesia advancing national and global development

**DO 4:** Collaborative Achievement in Science, Technology, and Innovation

**Number/Name of Context Indicator:** 4-CX2: # of National Science Foundation awards to study in a field relevant to ST&I in Indonesia

**Indicate whether this is a Condition, Critical Assumption, or Risk Indicator:**

**CONTEXT INDICATOR DESCRIPTION**

**Precise Definition(s):**

**Unit of Measure:**

**Disaggregated by:**

**Rationale or Management Utility (optional):**

**PLAN FOR DATA COLLECTION BY USAID**

**Data Source:**

**Method of Data Acquisition:**

**Frequency and Timing of Data Acquisition:**

**Individual(s) Responsible for Data at USAID:** DO4 Team Lead (TBD)

**Individual(s) Responsible for Providing Data to USAID (optional):** N/A

**Location of Data Storage (optional):** TBD (Mission information system)

**DATA QUALITY ISSUES**

**Data Quality Considerations (optional):**

**BASELINE**

**Baseline Trend (optional):**

**Other Notes (optional):**

**THIS SHEET WAS LAST UPDATED ON: 3/30/14**  
CIRS Template: 2/21/14

**USAID/Indonesia Context Indicator Reference Sheet – Indicator No. 4.1-CX1**

**Goal:** A stronger Indonesia advancing national and global development

**DO 4:** Collaborative Achievement in Science, Technology, and Innovation

**IR 4.1/Project Purpose:** Increased supply of high quality research

**Number/Name of Context Indicator:** 4.1-CX1: Science and mathematics literacy acquired by Indonesian students, compared to Organization for Economic Cooperation and Development (OECD) average

**Indicate whether this is a Condition, Critical Assumption, or Risk Indicator:** Critical Assumption

**CONTEXT INDICATOR DESCRIPTION**

**Precise Definition(s):** According to OECD (<http://nces.ed.gov/surveys/pisa/index.asp>):

**Mathematics Literacy:** An individual’s capacity to formulate, employ, and interpret mathematics in a variety of contexts. It includes reasoning mathematically and using mathematical concepts, procedures, facts, and tools to describe, explain, and predict phenomena. It assists individuals to recognize the role that mathematics plays in the world and to make the well-founded judgments and decisions needed by constructive, engaged, and reflective citizens -Student performance in mathematics, mean score

**Science Literacy:** An individual’s scientific knowledge and use of that knowledge to identify questions, to acquire new knowledge, to explain scientific phenomena, and to draw evidence based conclusions about science-related issues; understanding of the characteristic features of science as a form of human knowledge and inquiry; awareness of how science and technology shape our material, intellectual, and cultural environments; and willingness to engage in science-related issues, and with the ideas of science, as a reflective citizen -Student performance in science, mean score

- Percentage of students at each proficiency level in mathematics/science (proficiency level is defined by OECD, using a range of score points)

**Unit of Measure:** Percent

**Disaggregated by:** Sex, level of proficiency, comparison between Indonesian students and 69 other countries/OECD average

**Rationale or Management Utility (optional):** The results from the annual PISA provides indication of how well students in secondary school have acquired the functional skills needed, as they near the end of schooling. Sex disaggregated data for this indicator will be used to inform the DO1 Gender Performance Evaluation on women’s leadership.

**PLAN FOR DATA COLLECTION BY USAID**

**Data Source:** The Program for International Student Assessment (PISA) is a system of international assessments that allows countries to compare outcomes of learning as students near the end of compulsory schooling. PISA core assessments measure the performance of 15-year-old students in mathematics, science, and reading literacy every 3 years. In 2015, the PISA will measure problem-solving literacy and financial literacy. Coordinated by the Organization for Economic Cooperation and Development (OECD). **For the interest of this DO, data related to science, and mathematics literacy will be collected and analyzed.**

**Method of Data Acquisition:** Track PISA scores for Indonesian students

**Frequency and Timing of Data Acquisition:** Results come out every 3 years (last set of results came out in December 2013 - for 2012 test results) : December 2016 (for 2015 test results) and December 2019 (for 2018 test results).

**Individual(s) Responsible for Data at USAID:** Higher Education Team Member

**Individual(s) Responsible for Providing Data to USAID** *(optional):* N/A

**Location of Data Storage** *(optional):* TBD (Mission information system)

**DATA QUALITY ISSUES**

**Data Quality Considerations** *(optional):*

**BASELINE**

**Baseline Trend** *(optional):*

**Other Notes** *(optional):*

**THIS SHEET WAS LAST UPDATED ON: 3/30/14**  
CIRS Template: 2/21/14

USAID/Indonesia Context Indicator Reference Sheet – Indicator No. 4.2-CX1	
<b>Goal:</b>	A stronger Indonesia advancing national and global development
<b>DO 4:</b>	Collaborative Achievement in Science, Technology, and Innovation
<b>IR 4.2/Project Purpose:</b>	Improved capacity to use evidence in decision-making
<b>Number/Name of Context Indicator:</b>	4.2-CX1: TBD “Freedom House; Freedom of press/journalistic integrity?”
<b>Indicate whether this is a Condition, Critical Assumption, or Risk Indicator:</b>	
CONTEXT INDICATOR DESCRIPTION	
<b>Precise Definition(s):</b>	
<b>Unit of Measure:</b>	
<b>Disaggregated by:</b>	
<b>Rationale or Management Utility</b> <i>(optional):</i>	
PLAN FOR DATA COLLECTION BY USAID	
<b>Data Source:</b>	
<b>Method of Data Acquisition:</b>	
<b>Frequency and Timing of Data Acquisition:</b>	
<b>Individual(s) Responsible for Data at USAID:</b>	
<b>Individual(s) Responsible for Providing Data to USAID</b> <i>(optional):</i>	
<b>Location of Data Storage</b> <i>(optional):</i>	
DATA QUALITY ISSUES	
<b>Data Quality Considerations</b> <i>(optional):</i>	
BASELINE	
<b>Baseline Trend</b> <i>(optional):</i>	
<b>Other Notes</b> <i>(optional):</i>	
<b>THIS SHEET WAS LAST UPDATED ON: 3/30/14</b> CIRS Template: 2/21/14	

USAID/Indonesia Context Indicator Reference Sheet – Indicator No. 4.3-CX1	
<b>Goal:</b>	A stronger Indonesia advancing national and global development
<b>DO 4:</b>	Collaborative Achievement in Science, Technology, and Innovation
<b>IR 4.3/Project Purpose:</b>	Mechanisms for use of innovative approaches in development strengthened
<b>Number/Name of Context Indicator:</b>	4.3-CX1: TBD “something measuring patents?”
<b>Indicate whether this is a Condition, Critical Assumption, or Risk Indicator:</b>	
CONTEXT INDICATOR DESCRIPTION	
<b>Precise Definition(s):</b>	
<b>Unit of Measure:</b>	
<b>Disaggregated by:</b>	
<b>Rationale or Management Utility (optional):</b>	
PLAN FOR DATA COLLECTION BY USAID	
<b>Data Source:</b>	
<b>Method of Data Acquisition:</b>	
<b>Frequency and Timing of Data Acquisition:</b>	
<b>Individual(s) Responsible for Data at USAID:</b>	
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b>	
<b>Location of Data Storage (optional):</b>	
DATA QUALITY ISSUES	
<b>Data Quality Considerations (optional):</b>	
BASELINE	
<b>Baseline Trend (optional):</b>	
<b>Other Notes (optional):</b>	
THIS SHEET WAS LAST UPDATED ON: 3/30/14 CIRS Template: 2/21/14	

Performance Indicator Reference Sheets

**DEVELOPMENT OBJECTIVE NO. 1**

<b>USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 1-1</b>
<b>Goal:</b> A Stronger Indonesia Advancing National and Global Development
<b>DO 1:</b> Democratic Governance Strengthened
<b>Linkage(s) to other Results Statements (be specific):</b> Results for this IR are linked to DO 2 and DO 3
<b>Number/Name of Performance Indicator:</b> 1-1 Average sub-score on Freedom House Index for key political rights and civil liberties subcategories
<b>Performance Plan and Report Indicator:</b> No ___ Yes ___ <b>If yes, for which Fiscal Year(s):</b> _____ <b>If yes, link to foreign assistance framework:</b> _____ <b>Indicator</b>
<b>Type:</b> Custom, Outcome
<b>PERFORMANCE INDICATOR DESCRIPTION</b>
<p><b>Precise Definition(s):</b> Since the Freedom House Freedom of the World report began in 1972 each country and territory has been assigned two numerical ratings—one for political rights and one for civil liberties—based on a 1 to 7 scale. Underlying those ratings are more detailed assessments of country situations based on a 40-point scale for political rights and a 60-point scale for civil liberties. Freedom House now releases these aggregate scores for political rights and civil liberties for each country in order to provide more nuanced information about country trends beyond the 7-point rating scales used previously.</p> <p>In addition, in order to generate debate and discussions within countries as to areas that are most in need of reform, Freedom House releases the scores for the seven subcategories that fall under political rights and civil liberties. These subcategories, drawn from the Universal Declaration of Human Rights, represent the fundamental components of freedom, which include an individual's ability to:</p> <ul style="list-style-type: none"> <li>a) Vote freely in legitimate elections;</li> <li>b) Participate freely in the political process;</li> <li>c) Functioning of government;</li> <li>d) Exercise freedoms of expression and belief;</li> <li>e) Be able to freely assemble and associate;</li> <li>f) Have access to an established and equitable system of rule of law;</li> <li>g) Enjoy social and economic freedoms, including equal access to economic opportunities and the right to hold private property.</li> </ul> <p>The key subcategories relevant to USAID/Indonesia includes C through G, particularly:</p> <ul style="list-style-type: none"> <li>c) Functioning of government, including corruption and accountability</li> <li>d) Exercise freedoms of expression and belief, including religious institutions;</li> <li>e) Be able to freely assemble and associate, including public discussions and NGOs;</li> <li>f) Have access to an established and equitable system of rule of law, including equal treatment for all citizens;</li> <li>g) Enjoy social and economic freedoms, including equal access to economic opportunities and the right to hold private property, including social freedoms.</li> </ul>
<b>Numerator:</b> Score for c + Score for d + score for e + score for f + score for g <b>Denominator:</b> 5
<b>Unit of Measure:</b> Average sub-score for the 5 subcategories
<b>Disaggregated by:</b> Subcategory
<b>Rationale or Management Utility, Integration Approach (optional):</b> This indicator is based on reviews of data and experts' assessments of different aspects of political rights and civil liberties, and changes in the score will indicate an improving or deteriorating process. Improving scores will indicate that democratic governance is being strengthened through improved access to legal aid by vulnerable populations in the targeted districts, more effective and efficient governance institutions through increases in transparency and accountability, increased citizen participation in decision-making, including input on the delivery of public services, and

improved opportunities. The FAF standard indicator will not be used because the subcategories are more relevant to DO 1 than the entire Freedom House score (which is the standard).
<b>PLAN FOR DATA COLLECTION BY USAID</b>
<b>Activities/Implementing Mechanisms:</b> TBD
<b>Data Source:</b> Freedom House subcategory scores available at <a href="http://www.freedomhouse.org/report/freedom-world-aggregate-and-subcategory-scores#.Ux2f7-ddVmh">http://www.freedomhouse.org/report/freedom-world-aggregate-and-subcategory-scores#.Ux2f7-ddVmh</a>
<b>Method of Data Acquisition:</b> USAID/Indonesia DO 1 Team will directly access the Freedom House website to collect survey data, calculate the individual scores for the 5 subcategories, and then divide by 5 to get the average.
<b>Frequency and Timing of Data Acquisition:</b> Annually (available publically @ March of each year for the previous year)
<b>Individual(s) Responsible for Data at USAID:</b> [Insert position, note that this can be someone else in the DO team who is not an AOR/COR (expanding the participation of the DO team in performance management and analysis)]
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b> N/A
<b>Location of Data Storage (optional):</b> USAID/Indonesia PMIS; hard copy of the Freedom House Index scores kept as backup in the DO Team files.
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> TBD
<b>Date of Future Data Quality Assessments (optional):</b> TBD
<b>Potential Data Limitations and Significance (optional):</b> This indicator, which is focused at the national-level, may not be sensitive enough to measure the impact of USAID's and its partners interventions in the targeted provinces.
<b>Actions Taken or Planned to Address Data Limitations (optional):</b> TBD
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis (optional):</b> This indicator should be reviewed annually, comparing actuals to baseline and target. The trend over time for this indicator should also be examined. The disaggregation data should also be analyzed, to see if there is a difference between political rights and civil liberties (graphically depict this data, as disaggregated). The achievements of this indicator should be compared to the achievements of the other DO indicators to assess whether the Mission is making progress to achieving the DO. Analysis for this indicator should also include reviewing context indicators for DO 1.
<b>Mission/Team Review (optional):</b> This indicator should be reviewed during preparation for the annual performance/strategy portfolio review, and then during the portfolio review.
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe (optional):</b> Established with the PPR; For FY 2013 the subcategory scores were c = 6, d = 12, e = 8, f = 5, g = 9, for a total score of 40, and an average score of 8 as the baseline.
<b>Rationale for Targets (optional):</b> Targets should be set above the trend, so if the trend is a .025 increase per year, the targets should be higher than that (e.g., .05).
<b>Other Notes (optional):</b> During discussions with Freedom House about the source documents for the civil liberties and political rights scoring, the DO team may find that the source documents are more relevant and sensitive to the impact of USAID's DO 1 achievements. In that case, it may be a good strategy to switch this indicator to that data source.
<b>THIS SHEET WAS LAST UPDATED ON: 4/11/14</b> <b>PIRS Template: 2/21/14</b>

USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 1-2	
<b>Goal:</b>	A Stronger Indonesia Advancing National and Global Development
<b>DO 1:</b>	Democratic Governance Strengthened
<b>Linkage(s) to other Results Statements (be specific):</b>	Results for this IR are linked to DO 2 IR 3, DO 3, and DO 1 IRs 2 and 3
<b>Number/Name of Performance Indicator:</b>	1-2 National Integrity Index Score for select Public Service Units
<b>Performance Plan and Report Indicator:</b>	No ___ Yes ___ If yes, for which Fiscal Year(s): _____ If yes, link to foreign assistance framework: _____ Indicator
<b>Type:</b>	Custom, Outcome
PERFORMANCE INDICATOR DESCRIPTION	
<b>Precise Definition(s):</b>	The Indonesian Corruption Eradication Commission (or KPK - <b>Komisi Pemberantasan Korupsi</b> ) is a government agency established to fight corruption. The KPK vision is to free Indonesian from corruption. Its duties include investigating and prosecuting corruption cases and monitoring the governance of the state. It has the authority to request meetings and reports in the course of its investigations. It can also authorize wiretaps, impose travel bans, request financial information about suspects, freeze financial transactions and request the assistance of other law enforcement agencies—it also has the authority to detain suspects, including well-known figures, and frequently does so. Since it started operating in late 2003, the commission has investigated, prosecuted and achieved a 100% conviction rate in 86 cases of bribery and graft related to government procurements and budgets
	The KPK conducts an annual survey of the integrity of key public service entities. The National Integrity Index is made up of two variables: respondents' actual experience with integrity, and their perception of potential future integrity. The 2012 KPK survey was conducted on 484 units of service for a total of 15,000 respondents (with a minimum of 30 respondents per unit of service) at different levels of public entities in Indonesia, including:
	<ul style="list-style-type: none"> <li>• Central government entities in Jakarta and surrounding areas (20 agencies, 2 units of service within each agency)</li> <li>• Central government entities located in 33 cities and/or province capitals (5 agencies per city/capital, 1-2 units of service within each agency)</li> <li>• Service delivery entities at the local level in 60 districts / cities (60 local entities, 3 unites of service within each entity)</li> </ul>
	The KPK survey methodology is to conduct the survey questionnaire through in-depth interviews while also observing the conditions of the service unit. The questionnaires are then scored for each sub-indicator, indicator, and variable, and then the total integrity score is calculated.
	Select public service units are those that are targeted by DOs 1, 2, 3, and potentially 4.
<b>Unit of Measure:</b>	The data is rated on a scale of 0 to 10, where a score of 10 indicates that the public unites of service integrity are getting better, and a score of 0 indicates that the integrity of the service is worse.
<b>Disaggregated by:</b>	Entity/Agency, Location, Sex/Age of respondent
<b>Rationale or Management Utility, Integration Approach (optional):</b>	When the integrity of key governance entities improves then the GOI and other key governance institutions will be more accountable to the public. USAID's interventions play a crucial role in holding leadership accountable for their decisions, as the quality of judicial decisions improves (IR 1.1), key corruption prevention institutions are strengthened (IR 1.1), the oversight capacity of CSOs improves (including the delivery of public services – IR 1.2, which is also linked to DOs 2 and 3, and to DO 4 based on better research and decisions-based on evidence), as citizen rights are protected (IR 1.3), and as human security improves in Eastern Indonesia (IR 1.4, which is also linked to DOs 2 and 3 for basic service delivery).
PLAN FOR DATA COLLECTION BY USAID	
<b>Activities/Implementing Mechanisms:</b>	All of PAD 1 and PAD 2
<b>Data Source:</b>	KPK annual survey of public sector integrity
<b>Method of Data Acquisition:</b>	[Insert how the data moves from the questionnaire, through the KPK processes (e.g., the survey is conducted between June and October of each year), into the report, and then to USAID's

hands] or KPK website at <a href="http://www.kpk.go.id/id/berita/siaran-pers/1574-kpk-umumkan-survei-integritas-sektor-publik-2013">http://www.kpk.go.id/id/berita/siaran-pers/1574-kpk-umumkan-survei-integritas-sektor-publik-2013</a> (note, if possible, it is better for DO 1 to get a soft copy of the NII before it is uploaded to the website)
<b>Frequency and Timing of Data Acquisition:</b> Annually, by approximately December when the findings of the report are released, and/or May when the report itself is released.
<b>Individual(s) Responsible for Data at USAID:</b> [Insert position or even name of person in DO 1 who is most familiar with the KPK – and who might be able to get early releases of the survey report]
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b> [Insert name of person at KPK who USAID can contact for information on the report]
<b>Location of Data Storage (optional):</b> USAID/Indonesia PMIS, copies of the KPK report should be kept in the DO 1 team files and on the DO 1 public drive as backup.
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> TBD [Note – meeting with the KPK and NII experts there would required to conduct the DQA of this data source, however USAID’s influence on mitigating or responding to data quality issues is limited]
<b>Date of Future Data Quality Assessments (optional):</b> TBD
<b>Potential Data Limitations and Significance (optional):</b> TBD The data is highly political, and there could be delays in releasing the report to the public, which can affect the timeliness of the data (by the time it is released, it is typically to late to use the data in the PPR and/or for the annual performance/strategic Portfolio Review). The entities surveyed are different each year, particularly at the local/district levels. As a result, some of the key targeted entities for USAID may not be included in that year’s NII score (affecting reliability of the data).
<b>Actions Taken or Planned to Address Data Limitations (optional):</b> TBD
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis (optional):</b> This indicator should be reviewed annually, comparing actuals to baseline and target. The trend over time for this indicator should also be examined. The disaggregation data should also be analyzed, to see if there is a difference between central versus local/district entities, by respondent sex, or even by the previous score for key entities. The achievements of this indicator should be compared to the achievements of the other DO 1 indicators to assess whether the Mission is making progress to achieving the DO. The team reviewing progress for this indicator should include DO 2 and DO 3 team members, to assess the capacity of health, environment, education, and other basic service delivery CSOs/NGOs. Analysis for this indicator should also include reviewing context indicators for DO 1.
<b>Mission/Team Review (optional):</b> This indicator should be reviewed during preparation for the annual performance/strategy portfolio review, and then during the portfolio review. The DO team may invite relevant implementing partners from DO 1, DO 2, and DO 3 and external experts to the pre-portfolio review to hear their lessons learned and understand their perspectives.
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe (optional):</b> The score for 2012 for the National Integrity Index was 6.37 (experience with integrity = 6.89 and potential integrity = 5.34). The score for 2013 is 6.80 (experience with integrity = 7.19 and potential integrity = 6.02). The 2014 score should be used as the baseline when it is released, and the 2013 score as the baseline until that score is released.
<b>Rationale for Targets (optional):</b> According to KPK, the scores are extremely variable. However, a trend should be developed, and the target for USAID should be above the trend (so if the trend is a .5 increase per year, the target should be greater than 0.5, for example 0.8). If possible, the NII margin of error should be collected, and the target should be greater than the MOE for the NII.
<b>Other Notes (optional):</b>
<b>THIS SHEET WAS LAST UPDATED ON: 4/11/14</b> <b>PIRS Template: 2/21/14</b>

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 1-3**

**Goal:** A Stronger Indonesia Advancing National and Global Development

**DO 1:** Democratic Governance Strengthened

**Linkage(s) to other Results Statements (be specific):** Results for this IR are linked to DO 2 and DO 3

**Number/Name of Performance Indicator:** 1-3 Percentage of respondents who state that key institutions of democracy and governance have improved over the last year

**Performance Plan and Report Indicator:** No \_\_\_ Yes \_\_\_ **If yes, for which Fiscal Year(s):** \_\_\_\_\_ **If yes, link to foreign assistance framework:** \_\_\_\_\_ **Indicator**

**Type:** Custom, Outcome

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** The DG perception survey asks community members in targeted districts in the 14 Provinces (where DO 1 activities have occurred) whether they believe that key democracy and governance institutions have improved over the past year. The definition of “improved DG institutions” is determined by the respondent, but in general the DO 1 Team views improvements will be related to strengthened community of accountability institutions (e.g., the supreme court, legal aid entities, CSOs, and XXX), improved capacity of CSOs to advocate for citizens and provide input into government decision-making, improved protection of citizen rights, and improved service delivery to vulnerable populations that reduce insecurity. Targeted communities are those areas in which at least one DO 1 activity (sub-activity) has been completed.

**Numerator:** Number of people who responded that institutions have improved; **Denominator:** Total number of people included in the survey

**Unit of Measure:** Percent of people responding

**Disaggregated by:** Key institutions (e.g., civil society, the supreme court), Province/District, Sex, Age

**Rationale or Management Utility, Integration Approach (optional):** This indicator will measure whether beneficiary perceptions of key institutions of democracy have changed as a result of DO 1 projects and activities. Because the data will be collected in communities and villages where project activities have been completed, it is a direct indicator of the DO’s accomplishments, although there are intervening variables outside of the DO team’s manageable interest that will also affect perceptions. This is an outcome indicator at the DO level. This indicator, in combination with other DO-level indicators, will help test whether or not people perceive the more tangible changes in conditions at the district level to have a link to overall perceptions of democracy and governance. The hypothesis is that as local conditions improve in their communities as a result of the DO activities and projects (e.g., improved service delivery through expanded input by citizens to the institutions delivering the services, then their perceptions of overall democratic institutions will also improve. Sex disaggregated data for this indicator will be used to inform the DO1 Gender Performance Evaluation on women’s leadership.

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** TBD

**Data Source:** Perception survey, conducted by XXX, draft question #XX “In the past year do you think that legal aid services have improved, worsened, or has there been no change?” [Insert questions/# related to each targeted institution]

**Method of Data Acquisition:** This information is collected through a public opinion survey conducted on an annual basis in partnership with a survey firm (local?) with the capacity to conduct DO 1-wide opinion surveys according to sound methodological principles. The margin of error for the survey is X%. The sampling methodology is YYY. The universe of respondents is ZZZ.

The data collected by the survey will be reviewed by the DO Team in concert with DO 2 and DO 3 Teams, the PRO PMPOC and EPOC, USAID’s monitoring and evaluation support contractor, and the survey firm. The raw data will be reported to USAID in an excel spreadsheet to support data analysis and checks. The AOR/COR/AM will conduct observational site visits at the survey locations, when possible. The survey firm’s report will be reviewed and accepted (or rejected) by the AOR/COR/AM with support by the M&E support contract and/or

<b>PRO.</b>
<b>Frequency and Timing of Data Acquisition:</b> Annually (data and analysis available no later than October 30 <sup>th</sup> of each year)
<b>Individual(s) Responsible for Data at USAID:</b> TBD [Potentially the DO Team Leader]
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b> [Insert name from the organization conducting the survey]
<b>Location of Data Storage (optional):</b> USAID/Indonesia PMIS; Raw data and reports in AOR/COR/AM's or DO Team Leader's files/public drive as backup.
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> TBD
<b>Date of Future Data Quality Assessments (optional):</b> TBD
<b>Potential Data Limitations and Significance (optional):</b> TBD There are elements outside of USAID's control that will influence people's perceptions of democratic institutions regardless of DO 1's activities.
<b>Actions Taken or Planned to Address Data Limitations (optional):</b> TBD
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis (optional):</b> Regression analysis will be performed on the data, after the data is cleaned. The regression analysis will focus on determining which of USAID's DG interventions have the strongest correlation to respondents' perceptions of improved GOI institutions. Data will be analyzed according to geographic location, as well as according to the targeted GOI entity (including CSOs/NGOs).
Actuals for this indicator will be compared to baseline and targets. Analysis of the achievements will be determined as meeting the target, exceeding the target, or not meeting the target. Targets will have been met if the actual is within $\pm 10\%$ of the target. Achievements for this indicator will be compared to other perception data within the DO 1 results framework, as well as to the other DO-level indicators to determine whether the Mission is achieving the DO result of strengthened democratic governance. Analysis for this indicator should also include reviewing context indicators for DO 1.
<b>Mission/Team Review (optional):</b> This indicator should be reviewed during preparation for the annual performance/strategy portfolio review, and then during the portfolio review. The DO team may invite relevant USAID staff from DO 1, DO 2, and DO 3 and external experts to the pre-portfolio review to hear their lessons learned and understand their perspectives.
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe (optional):</b> Baselines should be established after the survey is conducted. Note, a best practice is to conduct the survey at the same time each year. Based on the Islamic calendar, and the timing of the portfolio review, the best time period would be the end of the 4 <sup>th</sup> quarter of FY 2014 or the beginning of the 1 <sup>st</sup> quarter of FY 2015, before the CDCS DO 1 interventions start.
<b>Rationale for Targets (optional):</b> Targets are required to be higher than the survey's margin of error in order to be able to attribute any changes to the DO's efforts. From other perception surveys, particularly in an unstable environment but even in stable environments, a 2% change would be a good result. Therefore, the target for this indicator should be set at 2% + the MOE.
<b>Other Notes (optional):</b>
<b>THIS SHEET WAS LAST UPDATED ON: 4/11/14</b> <b>PIRS Template: 2/21/14</b>

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 1.1-1**

**Goal:** A Stronger Indonesia Advancing National and Global Development

**DO 1:** Democratic Governance Strengthened

**IR 1.1/Project Purpose:** Community of Accountability Improved

**Linkage(s) to other Results Statements (*be specific*):** Results for this IR are linked to DO 2 IR 3, DO 3, and DO 1 IRs 2 and 3

**Number/Name of Performance Indicator:** 1.1-1 Average score on World Justice Project (WJP) Rule of Law Index for absence of corruption in the judicial and executive branches

**Performance Plan and Report Indicator:** No \_\_\_ Yes \_\_\_ **If yes, for which Fiscal Year(s):** \_\_\_\_\_ **If yes, link to foreign assistance framework:** \_\_\_\_\_ **Indicator Type:** Custom, Outcome

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** The World Justice Project (WJP) Rule of Law Index is a quantitative assessment tool designed to offer a detailed and comprehensive picture of the extent to which countries adhere to the rule of law in practice. The Index provides new data on nine dimensions of the rule of law: constraints on government powers; absence of corruption; open government; fundamental rights; order and security; regulatory enforcement; civil justice; criminal justice; and informal justice. These factors are further disaggregated into 47 sub-factors. Together, they provide a comprehensive picture of rule of law compliance.

The Index rankings and scores are built from over 400 variables drawn from two new data sources: (i) a general population poll (GPP), designed by the WJP and conducted by leading local polling companies using a probability sample of 1,000 respondents in the three largest cities of each country; and (ii) a qualified respondents' questionnaire (QRQ) completed by in-country experts in civil and commercial law, criminal law, labor law, and public health.

Factor 2: Absence of Corruption measures the prevalence of corruption in three forms: bribery, improper influence by public or private interests, and embezzlement in four branches of government: (2.1) executive; (2.2) judiciary; (2.3) police/military; and (2.4) legislature. The key sub-factors relevant to USAID/Indonesia include sub-factor 2.1 where prosecutors are part of the Gol executive branch, and sub-factor 2.2 on judiciary.

**Numerator:** Score for sub-factor 2.1 + sub-factor 2.2 **Denominator:** 2

**Unit of Measure:** Average sub-score for the 2 sub-factors with sub-score 0.00 being lowest possible and 1.00 being the highest possible. The sub-score is specific to the reported year.

**Disaggregated by:** Sub-component

**Rationale or Management Utility, Integration Approach (*optional*):** This indicator is based on reviews of public poll data and experts' assessments of different aspects of the rule of law in the area of control of corruption within executive agencies, including prosecutors, and judiciary, experienced in everyday life. Changes in the score will indicate an improving or deteriorating process. Improving scores will indicate that level of corruption in the judiciary in the form of bribery, improper influence by public or private interests, and embezzlement, is being curbed.

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** TBD

**Data Source:** The WJP Rule of Law Index sub-factors scores available at <http://worldjusticeproject.org/rule-of-law-index>

**Method of Data Acquisition:** USAID/Indonesia DO 1 Team will directly access the World Justice Project's website to collect the data.

**Frequency and Timing of Data Acquisition:** Annually (available publicly in March of each year for the previous year).

<b>Individual(s) Responsible for Data at USAID:</b> TBD
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b> N/A
<b>Location of Data Storage (optional):</b> USAID/Indonesia PMIS; hard copy of WJP Index scores kept as backup in the DO Team files.
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> TBD
<b>Date of Future Data Quality Assessments (optional):</b> TBD
<b>Potential Data Limitations and Significance (optional):</b> This indicator, which is focused at a very few provinces including Jakarta where centralized agencies such as the Supreme Court and the Attorney General Office through which USAID is partnering with are located, may not be sensitive enough to measure the impact of USAID's and its partners interventions in the CDCS other prioritized provinces.
<b>Actions Taken or Planned to Address Data Limitations (optional):</b> TBD; The other IR 1.1 indicators will be used to test the trends in this indicator's actuals. If the other indicators are moving in the same direction, then this indicator may be a valid measure of USAID's efforts.
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis (optional):</b> This indicator should be reviewed annually, comparing actuals to baseline and target. The trend over time for this indicator should also be examined. The disaggregation data should also be analyzed, to see if there is a difference between changes within the executive branch and the judicial branch. The achievements of this indicator should be compared to the achievements of the other IR 1 indicators to assess whether the Mission is making progress to achieving the IR. The team reviewing progress for this indicator should include DO 1 IR 2 and IR 3, DO 2 and DO 3 team members, to assess the capacity of health, environment, education, and other basic service delivery CSOs/NGOs. Analysis for this indicator should also include reviewing context indicators for IR 1.1.
<b>Mission/Team Review (optional):</b> This indicator should be reviewed during preparation for the annual performance/strategy portfolio review, and then during the portfolio review. The DO team may invite the relevant implementing partners from DO 1, DO 2, and DO 3 to the pre-portfolio review to hear their lessons learned and understand their perspectives.
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe (optional):</b> 2012/2013 baseline is an average of 0.375 (Component 2.1 = 0.41; Component 2.2 = 0.34).
<b>Rationale for Targets (optional):</b> Targets should be set above the trend over time for this indicator, and based on the resources and activities that will be implemented by the Mission that will affect the indicator.
<b>Other Notes (optional):</b>
<b>CHANGES TO PERFORMANCE INDICATOR</b>
<b>Changes to Indicator:</b>
<b>Other Notes (optional):</b>
<b>THIS SHEET WAS LAST UPDATED ON: 4/11/14</b> PIRS Template: 2/21/14

USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 1.1-2 / 2.4.1-9	
<b>Goal:</b> A Stronger Indonesia Advancing National and Global Development	
<b>DO 1:</b> Democratic Governance Strengthened	
<b>IR 1.1/Project Purpose:</b> Community of Accountability Improved	
<b>Linkage(s) to other Results Statements (be specific):</b> Results for this IR are linked to DO 2 IR 3, DO 3, and DO 1 IRs 2 and 3; as well, this same indicator is used by IR 1.2, and by other DOs	
<b>Number/Name of Performance Indicator:</b> 1.1-2: Number of Civil Society Organizations (CSOs) receiving USG assistance engaged in advocacy interventions (GJD 2.4.1-9)	
<b>Performance Plan and Report Indicator:</b> No ___ Yes ___ <b>If yes, for which Fiscal Year(s):</b> <b>If yes, link to foreign assistance framework:</b> _____ <b>Indicator</b> <b>Type:</b> Standard, Outcome	
PERFORMANCE INDICATOR DESCRIPTION	
<p><b>Precise Definition(s):</b> <u>GJD standard definition:</u> CSOs in USG programs that initiate or participate in advocacy interventions. Advocacy should be understood as a means for individuals, constituencies, or organizations to shape public agendas, change public policies, and influence other processes that impact their lives. Advocacy does not involve one march, meeting or poster, but a series of strategic, interconnected, integrated activities designed to achieve a goal. It may include a wide range of activities, such as, lobbying, public interest litigation, letter writing campaigns, civil disobedience, etc. Advocacy interventions tend to:</p> <ul style="list-style-type: none"> <li>Be strategic (a deliberate, planned action, not random);</li> <li>Involve a set of actions that are sustained in order to build and direct pressure;</li> <li>Be designed to persuade;</li> <li>Be targeted;</li> <li>Involve alliance building.</li> </ul> <p>Successful advocacy efforts result in change.</p> <p><u>USAID refinement:</u> For IR 1.1 the types of CSOs/NGOs include service delivery, watchdog and advocacy groups which partner with USAID to conduct advocacy regarding either the justice or accountability sub-sectors. The type of advocacy intervention can be for public policy making process at national and local levels, as well as case advocacy in selected areas.</p>	
<b>Unit of Measure:</b> Number of organizations	
<b>Disaggregated by:</b> Type of CSO/NGO (e.g., <b>service delivery, watchdog, advocacy, women's organization</b> ), Topic of advocacy (e.g., gender equality), Location	
<b>Rationale or Management Utility, Integration Approach (optional):</b> Advocacy interventions are essential aspects of democratic policy-making, citizen participation, and oversight of all branches of government. These interventions play an important role in determining social justice, political and civil liberties, and in giving voice to citizens and historically marginalized groups. At its best, advocacy expresses the power of an individual, constituency, or organization to shape public agendas and change public policies. As part of a broader civil society strategy, advocacy-oriented action goes beyond specific objectives (e.g., raising the minimum wage) to providing the means to mobilize society, ideas, and resources in an effort to bring about democratic change and/or its consolidation. It is a critical means for citizens to express their needs and concerns to government.	
PLAN FOR DATA COLLECTION BY USAID	
<b>Activities/Implementing Mechanisms:</b> <b>TBD</b>	
<b>Data Source:</b> Copies of CSO/NGO advocacy plans or strategies, implementation plans, recording of press conference, copy of testimony or press release, advocacy campaign materials, etc.	
<b>Method of Data Acquisition:</b> Implementing partner reports, government reports, news reports	
<b>Frequency and Timing of Data Acquisition:</b> Quarterly, at end of January, April, July, and October (implementing partner quarterly reporting cycle)	

<b>Individual(s) Responsible for Data at USAID:</b> AOR/COR for civic participation implementing mechanism
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b> TBD
<b>Location of Data Storage (optional):</b> USAID/Indonesia PMIS, copies of quarterly reports kept in the AOR/COR files and on the DO 1 public drive as backup.
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> TBD
<b>Date of Future Data Quality Assessments (optional):</b> TBD
<b>Potential Data Limitations and Significance (optional):</b> TBD. Often there is a data quality problem because many IPs only include their targets from their workplan when reporting on this indicator, rather than basing their reporting actuals on those CSOs/NGOs that actually conducted advocacy, as proven through the source documentation.
<b>Actions Taken or Planned to Address Data Limitations (optional):</b> TBD
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis (optional):</b> This indicator should be reviewed annually, comparing actuals to baseline and target. The trend over time for this indicator should also be examined. The disaggregation data should also be analyzed, to see if there is a difference between types of advocacy efforts, types of NGOs/CSOs, location of NGOs/CSOs, etc. The achievements of this indicator should be compared to the achievements of the other IR 1 indicators to assess whether the Mission is making progress to achieving the IR. The team reviewing progress for this indicator should include DO 1 IR 2, DO 2 and DO 3 team members, to assess the capacity of health, environment, education, and other basic service delivery CSOs/NGOs. Analysis for this indicator should also include reviewing context indicators for IR 1.1.
<b>Mission/Team Review (optional):</b> This indicator should be reviewed during preparation for the annual performance/strategy portfolio review, and then during the portfolio review. The DO team may invite the relevant implementing partners from DO 1, DO 2, and DO 3 to the pre-portfolio review to hear their lessons learned and understand their perspectives.
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe (optional):</b> 2014/0
<b>Rationale for Targets (optional):</b> Targets should include the number of organizations that DO 1 IR 1 will be working with on advocacy. Targets may not be available until after awards for IR 1.
<b>Other Notes (optional):</b>
<b>THIS SHEET WAS LAST UPDATED ON: 4/11/14</b> <b>PIRS Template: 2/21/14</b>

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 1.2-1 / GJD 2.4.1-9**

**Goal:** A Stronger Indonesia Advancing National and Global Development

**DO 1:** Democratic Governance Strengthened

**IR 1.2/Project Purpose:** Civic Participation Enhanced

**Linkage(s) to other Results Statements (be specific):** Results for this IR are linked to DO 1 IRs 1.1, 1.3 and 1.4, DO 2 and DO 3

**Number/Name of Performance Indicator:** 1.2-1: Number of Civil Society Organizations (CSOs) receiving USG assistance engaged in advocacy interventions (GJD Indicator No. 2.4.1-9)

**Performance Plan and Report Indicator:** No  Yes  If yes, for which Fiscal Year(s): 2014-2018 If yes, link to foreign assistance framework: GJD 2.4.1 **Indicator**

**Type:** Standard, Output

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definitions:** GJD standard definition: CSOs in USG programs that initiate or participate in advocacy interventions. Advocacy should be understood as a means for individuals, constituencies, or organizations to shape public agendas, change public policies, and influence other processes that impact their lives. Advocacy does not involve one march, meeting or poster, but a series of strategic, interconnected, integrated activities designed to achieve a goal. It may include a wide range of activities, such as, lobbying, public interest litigation, letter writing campaigns, civil disobedience, etc. Advocacy interventions tend to:

- Be strategic (a deliberate, planned action, not random);
- Involve a set of actions that are sustained in order to build and direct pressure;
- Be designed to persuade;
- Be targeted;
- Involve alliance building.

Successful advocacy efforts result in change.

USAID refinement: The type of CSOs/NGOs include service delivery, watchdog and advocacy groups across technical offices which will join capacity building training to enable them to do effective advocacy. The type of advocacy intervention can be for public policy making process at national and local levels, as well as case advocacy in selected areas. The advocacy work will enhance civic participation and improve the quality of public services. **Note: This is a common indicator, used throughout the Mission-wide PMP, specifically under DO 1 IR 1.1, but also under other DOs. Aggregation should be through the indicator under IR 1.2 because this is a standard performance indicator measuring FAF framework for Civil Society, 2.4.**

**Unit of Measure:** Number of organizations

**Disaggregated by:** Type of CSO/NGO (e.g., service delivery, watchdog, advocacy, women’s organization), Topic of advocacy (e.g., gender equality), Location

**Rationale or Management Utility, Integration Approach (optional):** Advocacy interventions are essential aspects of democratic policy-making, citizen participation, and oversight of all branches of government. These interventions play an important role in determining social justice, political and civil liberties, and in giving voice to citizens and historically marginalized groups. At its best, advocacy expresses the power of an individual, constituency, or organization to shape public agendas and change public policies. As part of a broader civil society strategy, advocacy-oriented action goes beyond specific objectives (e.g., raising the minimum wage) to providing the means to mobilize society, ideas, and resources in an effort to bring about democratic change and/or its consolidation. It is a critical means for citizens to express their needs and concerns to government. This indicator will also measure the CSOs/NGOs who are engaged in advocacy on behalf of results related to DO 2 and DO 3, as well as other parts of DO 1.

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** TBD

**Data Source:** Copies of CSO/NGO advocacy plans or strategies, implementation plans, recording of press conference, copy of testimony or press release, advocacy campaign materials, etc.

<b>Method of Data Acquisition:</b> Implementing partner will collect the information on the advocacy efforts, and submit a report to USAID that includes the date(s), topic of advocacy, type of advocacy, name of CSO/NGO, name of target audience, etc.
<b>Frequency and Timing of Data Acquisition:</b> Quarterly, at end of January, April, July, and October (implementing partner quarterly reporting cycle)
<b>Individual(s) Responsible for Data at USAID:</b> AOR/COR for civic participation implementing mechanism
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b> TBD
<b>Location of Data Storage (optional):</b> USAID/Indonesia PMIS, copies of quarterly reports kept in the AOR/COR files and on the DO 1 public drive as backup.
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> TBD
<b>Date of Future Data Quality Assessments (optional):</b> TBD
<b>Potential Data Limitations and Significance (optional):</b> TBD Often there is a data quality problem because many IPs only include their targets from their workplan when reporting on this indicator, rather than basing their reporting actuals on those CSOs/NGOs that actually conducted advocacy, as proven through the source documentation.
<b>Actions Taken or Planned to Address Data Limitations (optional):</b> TBD
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis (optional):</b> This indicator should be reviewed annually, comparing actuals to baseline and target. The trend over time for this indicator should also be examined. The disaggregation data should also be analyzed, to see if there is a difference between types of advocacy efforts, types of NGOs/CSOs, location of NGOs/CSOs, etc. The achievements of this indicator should be compared to the achievements of the other IR 1 indicators to assess whether the Mission is making progress to achieving the IR. The team reviewing progress for this indicator should include DO 1 IR 1, DO 2 and DO 3 team members, to assess the capacity of health, environment, education, and other basic service delivery CSOs/NGOs. Analysis for this indicator should also include reviewing context indicator 1.2-CX1.
<b>Mission/Team Review (optional):</b> This indicator should be reviewed during preparation for the annual performance/strategy portfolio review, and then during the portfolio review. The DO team may invite the relevant implementing partners from DO 1, DO 2, and DO 3 to the pre-portfolio review to hear their lessons learned and understand their perspectives.
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe (optional):</b> 2014/0
<b>Rationale for Targets (optional):</b> Targets should include the number of organizations that DO 1 will be working with, focused on DO 1 results, as well as the number of organizations that DO 2 and DO 3 will be focused on for advocacy. Targets may not be available until after awards for IR 2 (note: as DOs 2 and 3 complete their awards, the IR 2 team could adjust the DO 1 IR 2 targets for this indicator).
<b>Other Notes (optional):</b>
<b>THIS SHEET WAS LAST UPDATED ON: 4/11/14 PIRS Template: 2/21/14</b>

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 1.2-2 / CBLD-5****Goal:** A Stronger Indonesia Advancing National and Global Development**DO 1:** Democratic Governance Strengthened**IR 1.2/Project Purpose:** Civic Participation Enhanced**Linkage(s) to other Results Statements (be specific):** Results for this IR are linked to DO 1 IRs 1.1, 1.3 and 1.4, DO 2 and DO 3; this is a common cross-cutting indicator used throughout the mission-wide PMP**Number/Name of Performance Indicator:** 1.2-2: Local Organizational Capacity Assessment Score (CBLD-5)**Performance Plan and Report Indicator:** No \_\_\_ Yes  **If yes, for which Fiscal Year(s):** 2014-2018 **If yes, link to foreign assistance framework:** GJD 2.4.1 **Indicator****Type:** Standard, Outcome**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition:** USAID Standard Definition: This indicator reports the capacity of local organizations measured by changes in scores across seven key capacity areas using the Organizational Capacity Assessment (OCA) tool, which can be found at the following location: J:\Procurement Reform Objective Two\Organizational Capacity Assessment. The key capacity areas include:

- Governance
- Administration
- Human Resources Management
- Financial Management
- Organizational Management
- Program Management
- Project Performance Management

The result entered for this indicator is calculated using the following numerator and denominator. **Numerator:** The total number of points scored. **Denominator:** The total number of points possible, which may vary depending on the inclusion of optional OCA sections where relevant (e.g. the sub-grant management section may or may not be relevant to the organization depending on program).

Operating units should record score data for each organization in their performance management plan files so changes in scores for each organization can be monitored over time (it is not necessary to report each organization's score in the PPR). In addition, each operating unit must include in their performance management plan files: the assessment tool used, a description of the methodology employed for its implementation, and the data source identified as the basis for the rating of each factor. For purposes of indicator reporting, at the time of the award a "local organization" must,

- Be organized under the laws of the recipient country;
- Have its principal place of business in the recipient country;
- Be majority owned by individuals who are citizens or lawful permanent residents of the recipient country or be managed by a governing body, the majority of whom are citizens or lawful permanent residents of a recipient country; and
- Not be controlled by a foreign entity or by an individual or individuals who are not citizens or permanent residents of the recipient country.

The term "controlled by", means a majority ownership or beneficiary interest as defined above, or the power, either directly or indirectly, whether exercised or exercisable, to control the election, appointment, or tenure of the organization's managers or a majority of the organization's governing body by any means, e.g., ownership, contract, or operation of law. "Foreign entity" means an organization that fails to meet any part of the "local organization" definition. Government controlled and government owned organizations in which the recipient government owns a majority interest or in which the majority of a governing body are government employees, are included in the above definition of local organization.

For regional platforms the definition of a local organization can be expanded to include regional organizations that meet the following criteria:

- Be organized under the laws of a country in the region served by the platform;
- Have its principal place of business in the region;
- Be majority owned by individuals who are citizens or lawful permanent residents of the region or be managed by a governing body, the majority of whom are citizens or lawful permanent residents of the region; and
- Not be controlled by a foreign entity or by an individual or individuals who are not citizens or permanent residents of the region.

Both direct and indirect awardees should be included, as well as those local organizations who received USG assistance—such as training—to strengthen capacity, without receiving an award.

Note: If an operating unit wishes to use an alternative assessment tool, for example one generated through the human and institutional capacity development (HICD) methodology or the IDF tool, it should at a minimum include the factors identified in the OCA.

**USAID/Indonesia Refined Definition:** The OCA suggested by F is focused on local capacity development for organizations that are implementing partners to USAID through direct procurement, and are usually defined as “interest” groups rather than CSOs and NGOs, which are the target local organizations for DO 1, as well as the other DOs where CSO and NGO capacity is an important sub-result. However, the DO 1 relevant organizations are not necessarily going to be managing sub-grants or otherwise be funded directly by USAID/Indonesia. As well, the governance focused capacity building is to advance USAID/Indonesia’s DO 1 objectives and results, specifically to increase civic participation. As a result, the DO 1 team will use the Organizational Capacity Assessment Tool (OCAT) developed and updated by PACT which focuses on seven capacity areas scores that are critical to effective CSOs and NGOs, most of which are related to the OCA described above:

- Internal governance,
- Management practices,
- Human resources,
- Financial resources,
- Service delivery,
- External relations, and
- Sustainability.

Scored CSOs/NGOs will be USAID implementing partners across all four DOs, which may include sub-awardees and/or CSOs not receiving USAID funding who are partnering with USAID in some other way to achieve a development goal. Note that some capacity building under DOs 2, 3, and 4 might be focused on government institutions, or other non-CSO/NGO types of organizations (e.g., academic institutions) and therefore might need to use alternative OCA to the ones used by DO 1. It is recommended, however, that all DO teams use this same OCAT when working with CSOs and NGOs to improve their capacity.

**Unit of Measure:** Score percentage; Each dimension is scored along a seven-point scale of whole-number increments, where 0 = N/A, 1 = needs urgent attention, and further gradations up to 6 = acceptable, needs maintaining.

**Disaggregated by:** Type of CSO/NGO (e.g., service delivery, watchdog, advocacy, women’s organization), Location, Dimensions on OCAT

**Rationale or Management Utility, Integration Approach (optional):** In order to measure program progress in fostering effective and sustainable CSOs/NGOs, the assessment tool will be used to evaluate their capacity along its seven dimensions. The baseline scores will help determine the training and technical assistance needs for each organization, as well as across organizations. Subsequent measurements will be used to assess improvements in the organization’s capacities as a result of project assistance. Using the standard F indicator will help the Mission measure progress across the CDCS results framework, which will support the cross-cutting and integrated multi-sectoral approach of the Mission’s strategy. Even if there are slightly different OCAs used to measure the changes in capacity of different types of organizations, the mission will still be able to aggregate

and generally report on improved capacity. Note: it should, however, note the number of different (or partial) OCAs used throughout the Mission to report on the aggregated results.
<b>PLAN FOR DATA COLLECTION BY USAID</b>
<b>Activities/Implementing Mechanisms:</b> TBD
<b>Data Source:</b> Completed OCAT scorecards for each organization.
<b>Method of Data Acquisition:</b> The OCAT is administered before a CSO/NGO receives assistance, and then every year on an annual basis for the remainder of the program, whether or not the organization continues to receive direct assistance, to track its progress both during and after the period of direct assistance. For the first several times the OCAT is administered, it is done on a joint basis between the CSO/NGO being scored and the IR 1.2 implementing partner (IP), so that the CSO/NGO “owns” the results. However, baseline scoring may require more support from the implementing partner, which then must gradually and consistently decrease at each subsequent measurement until eventually the OCAT becomes a tool for full self-assessment by each CSO/NGO.
The OCAT is administered via both a facilitated discussion of the questions for each of the seven dimensions, and documentation or other evidence to support the conclusions of that discussion. The baseline results are then used, also jointly by the CSO/NGO in question and the IR 1.2 IP, to develop an appropriate organization-specific workplan of training, mentoring, technical assistance, etc. Normally this assistance is targeted at the dimensions on which an organization scored lowest, but this may not necessarily be the case, so the workplan must always be developed jointly. If an organization continues to receive assistance in subsequent years, the annual scoring is used to tailor the coming year’s assistance to the organization’s evolving capacity-building needs.
Once the OCAT has been administered, the original copies of the scorecards with documentation supporting the scores must be collected and reviewed by the IP technical leads to assess the quality and completeness of the scoring. The final scores and correctly totaled and averaged score are then documented in the IP’s M&E database and/or data tracking system. The completed scorecards must then be filed in a secure location.
OCAT summary results across all assisted organizations are also used to discern the most common needs and prioritize the implementing partner’s development of training, mentoring and technical assistance modules to address those needs.
Finally, the annual scores are also used to track program progress in achieving capacity-building goals. In addition to each organization’s individual scores, average changes along each dimension of the CSOs/NGOs assisted in any given year measures overall program progress.
<b>Frequency and Timing of Data Acquisition:</b> Annually for each organization. Across all organizations, data will be coming in throughout the year as a CSO/NGO becomes a beneficiary of capacity-building assistance.
<b>Individual(s) Responsible for Data at USAID:</b> AOR/COR for civic participation implementing mechanism
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b> TBD
<b>Location of Data Storage (optional):</b> USAID/Indonesia PMIS, copies of quarterly reports kept in the AOR/COR files and on the DO 1 public drive as backup.
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> TBD
<b>Date of Future Data Quality Assessments (optional):</b> TBD
<b>Potential Data Limitations and Significance (optional):</b> TBD
<b>Actions Taken or Planned to Address Data Limitations (optional):</b> TBD
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis (optional):</b> This indicator should be reviewed annually, comparing actuals to baseline and target. The trend over time for this indicator should also be examined. The disaggregation data should also be analyzed, to see if there is a difference based on location (e.g., NGOs/CSOs in Papua might score differently than NGOs/CSOs in another province), type of NGO/CSO (e.g., women’s NGOs/CSOs might be scored differently than environmental NGOs/CSOs), and by capacity area (e.g., most NGOs/CSOs, regardless of

location and type, might score the lowest in the same broad capacity area, which could allow for joint training or other capacity assistance across all of the CSOs/NGOs). The achievements of this indicator should be compared to the achievements of the other IR 1 indicators to assess whether the Mission is making progress to achieving the IR. The team reviewing progress for this indicator should include DO 2 and DO 3 team members, to assess the capacity of health, environment, education, and other basic service delivery CSOs/NGOs. Analysis for this indicator should also include reviewing context indicator 1.2-CX1.

**Mission/Team Review** (optional): This indicator should be reviewed during preparation for the annual performance/strategy portfolio review, and then during the portfolio review. The DO team may invite the relevant implementing partners from DO 1, DO 2, and DO 3 to the pre-portfolio review to hear their lessons learned and to understand their perspectives.

#### BASELINE AND TARGETS

**Baseline Timeframe** (optional): FY 2015, baselines should be conducted after the DO 1 IR 2 CSOs/NGOs have been identified in concert with the IR 2 implementing partner(s). The average baseline for all CSOs/NGOs should be used. Note, as new organizations are “baselined”, the average baseline will need to be adjusted to include the new CSOs/NGOs. The actuals will not need to be adjusted as new organizations are added, because the data reported will be the average.

**Rationale for Targets** (optional): Targets should be based on a at least a single improvement in score from the baseline (so if the aggregate baseline for all organizations is 3.5, the target should be a score of 4.5).

**Other Notes** (optional):

THIS SHEET WAS LAST UPDATED ON: 4/11/14  
PIRS Template: 2/21/14

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 1.2-3**

**Goal:** A Stronger Indonesia Advancing National and Global Development

**DO 1:** Democratic Governance Strengthened

**IR 1.2/Project Purpose:** Civic Participation Enhanced

**Linkage(s) to other Results Statements (be specific):** Results for this IR are linked to DO 1 IRs 1.1, 1.3 and 1.4, DO 2 and DO 3

**Number/Name of Performance Indicator:** 1.2-3: Percentage of respondents who state that women’s leadership in civil society is important

**Performance Plan and Report Indicator:** No \_\_\_ Yes  If yes, for which Fiscal Year(s): 2014-2018 If yes, link to foreign assistance framework: 2.4.1 **Indicator**

**Type:** Custom, Outcome

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition:** Respondents are randomly selected staff (men and women) from CSOs/NGOs who are receiving or have received administrative and civic capacity-building assistance under IR 1.2 (including but not limited to those CSOs/NGOs who receive women’s leadership training). Survey questions ask about civic values and behaviors, including women’s leadership in civil society. Women’s leadership is defined as **being more than simply active participation, but rather includes concepts of: heading CSOs and NGOs (both those organizations specific to women, but potentially more importantly those organizations that are not exclusively focused on women); spearheading specific advocacy efforts of NGOs and/or CSOs; leading reform efforts internally within the NGO or CSO; and/or making a visible or recognized change in how the NGO or CSO implements its mandate or vision, including representing women beneficiaries, members, or other constituents.** Civil society is defined for this purpose as “an arena, a forum in which citizens associate to achieve a range of different purposes, some positive and peaceful, some perceived as negative and violent. Civil society as it is usually referred to in Indonesia means those organizations in which citizens associate in order to push for greater democracy in the country” (see [http://www.idea.int/publications/country/upload/8\\_civil\\_society.pdf](http://www.idea.int/publications/country/upload/8_civil_society.pdf)). For USAID/Indonesia, civil society is defined as a broad arena where individuals engage and participate in civic activities, including advocating on behalf of beneficiaries, members, constituents, or community for better basic services. Important is defined as meaningful, “makes a positive difference”, and/or critical to the achievements of the NGO’s or CSO’s mandate/vision.

**Numerator:** Number of people who responded that women’s leadership in civil society is important;

**Denominator:** Total number of people included in the survey

**Unit of Measure:** Percentage of survey respondents

**Disaggregated by:** Type of CSO/NGO (e.g., service delivery, watchdog, advocacy, women’s organization), CSO/NGO that received/didn’t receive women’s leadership training, Sex, Location

**Rationale or Management Utility, Integration Approach (optional):** Activities help women develop leadership skills so that they have the capacity to provide leadership both at the present time within civil society and perhaps in the future in government or the private sector. Promoting women in civil society leadership positions requires support from CSO activists and members in order to provide a good environment for effective women’s empowerment within civil society. This survey measures the effectiveness of leadership training activities for women in CSOs/NGOs, **and is a critical component to achieving the Mission’s IR 1.2 results.** Sex disaggregated data for this indicator will be used to inform the DO1 Gender Performance Evaluation on women’s leadership.

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** **TBD**

**Data Source:** Completed survey from respondents.

**Method of Data Acquisition:** At the same time as the OCAT is administered on an annual basis with these CSOs/NGOs as part of their participation in capacity-building activities, a random sample of their staff are provided with a survey questionnaire on various civic values and behaviors, including the role of women leaders in civil society. At the conclusion of every fiscal year, data for all respondents is compiled to establish an overall percentage of the respondents who support women’s leadership. Surveys are administered on an annual basis, beginning with a baseline measurement before the CSO/NGO receives capacity-building assistance and women’s leadership training. Successful implementation of women’s civil society leadership training increases

the percentage of survey respondents who state that women’s leadership in civil society is important. [Insert the specific question(s) that will be used to collect the data for this indicator, after the questionnaire is developed – including the question number so that it will be easy to locate]
<b>Frequency and Timing of Data Acquisition:</b> Annually for each respondent. Data is collected throughout the year depending on the timing of the OCAT administration for each CSO/NGO.
<b>Individual(s) Responsible for Data at USAID:</b> AOR/COR for civic participation implementing mechanism
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b> TBD
<b>Location of Data Storage (optional):</b> USAID/Indonesia PMIS; Raw data and reports in AOR/COR/AM’s or DO team files/public drive as backup.
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> TBD
<b>Date of Future Data Quality Assessments (optional):</b> TBD
<b>Potential Data Limitations and Significance (optional):</b> TBD
<b>Actions Taken or Planned to Address Data Limitations (optional):</b> TBD
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis (optional):</b> This indicator should be reviewed annually, comparing actuals to baseline and target. The disaggregation data should also be analyzed, to see if there is a difference in responses based on gender (e.g., female respondents might feel that women’s leadership has not improved compared to male respondents), location (e.g., respondents in Papua might feel differently than respondents in another province), and type of NGO/CSO (e.g., respondents in women’s NGOs/CSOs might feel differently than those in environmental NGOs/CSOs). The trend over time for this indicator should also be examined. The achievements of this indicator should be compared to the achievements of the other IR 1 indicators to assess whether the Mission is making progress to achieving the IR. The team reviewing progress for this indicator should include DO 2 and DO 3 team members, to assess the capacity of health, environment, education, and other basic service delivery CSOs/NGOs. Analysis for this indicator should also include reviewing context indicator 1.2-CX1.
<b>Mission/Team Review (optional):</b> This indicator should be reviewed during preparation for the annual performance/strategy portfolio review, and then during the portfolio review. The DO team may invite the relevant implementing partners from DO 1, DO 2, DO 3 and DO 4 to the pre-portfolio review to hear their lessons learned and to understand their perspectives.
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe (optional):</b> FY 2015, baselines should be conducted after the DO 1 IR 2 CSOs/NGOs have been identified in concert with the IR 2 implementing partner(s). The average baseline for all respondents should be used. Note, as new organizations are “baselined”, the average baseline will need to be adjusted to include the new CSO/NGO respondents. The actuals will not need to be adjusted as new organizations are added, because the data reported will be the average.
<b>Rationale for Targets (optional):</b> A 20% improvement over the baseline is considered a large change, based on survey methodology. The final target for this indicator will need to be above the margin of error (if one is able to be determined). The final target will depend on the baseline, how many NGOs and CSOs that will be engaged in this effort, and the nature of the interventions focused on training women leaders.
<b>Other Notes (optional):</b>
<b>THIS SHEET WAS LAST UPDATED ON: 4/11/14 PIRS Template: 2/21/14</b>

USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 1.3-1 / 2.1.3-16
<b>Goal:</b> A Stronger Indonesia Advancing National and Global Development
<b>DO 1:</b> Democratic Governance Strengthened
<b>IR 1.3/Project Purpose:</b> Protection of Citizen Rights Promoted
<b>Linkage(s) to other Results Statements (<i>be specific</i>):</b> Results for this IR are linked to DO 2 IR 3, DO 3, and DO 1 IRs 1 and 2
<b>Number/Name of Performance Indicator:</b> 1.3-1: Number of individuals/groups from low income or marginalized communities who received legal aid or victims assistance with USG support (GJD 2.1.3-16)
<b>Performance Plan and Report Indicator:</b> No ___ Yes ___ <b>If yes, for which Fiscal Year(s):</b> <b>If yes, link to foreign assistance framework:</b> _____ <b>Indicator Type:</b> Standard, Output
PERFORMANCE INDICATOR DESCRIPTION
<p><b>Precise Definition(s):</b> <u>GJD Standard Definition:</u> Areas of low income is defined as those where 60% of the population has an income in the lowest quintile of the country as a whole. Marginalized communities are those who have traditionally been excluded from power and access to resources, and may include indigenous peoples, tribal peoples, other minorities, LGBT populations, women and girls, youth, individuals with disabilities, or other similar groups.</p> <p><u>USAID/Indonesia Refinement:</u> To receive legal aid means free access of individuals (from marginalized and vulnerable groups) to formal and informal legal representatives through which they can address their grievances and protect their rights, as defined by Indonesian law and ratified international conventions (e.g., International Convention on Civil and Political Rights).</p> <p>[Insert sections of scope for mechanisms on whether the individuals will be counted, based on registrations at the legal aid clinics or victims assistance organizations – the names and addresses (and phone numbers) should not be available outside of the IP, the clinics/organizations, and USAID and security of personal identification information must be clear. However, the other demographic data of the individuals is necessary. The IP should only insert data into a database with the names/phone numbers/detailed addresses removed. Groups should not be counted, because verification would be next to impossible].</p> <p>[Insert information on how low income, marginalized populations will be determined – I suspect that it will be Eastern Indonesia, plus a few other geographic locations within the targeted provinces. However, there must be some information here on how those populations, and therefore individuals, have been selected. GIS data might be helpful.]</p>
<b>Unit of Measure:</b> Number of people
<b>Disaggregated by:</b> Sex; age; community identification; vulnerable populations (e.g., disabled, LGBT, indigenous people, religious and ethnic minorities); targeted geographic areas
<b>Rationale or Management Utility, Integration Approach (<i>optional</i>):</b> Local availability of legal aid or victim’s assistance for low income or marginalized communities indicates some degree of effectiveness in providing access to justice, a key component of rule of law and human rights. When low income and marginalized groups can access justice it helps improve the legitimacy of the justice system as a whole because individuals can depend on the justice system to seek relief. Add other reasons why this indicator is important to your decision-making, and how this indicator is part of the Mission’s integration approach (e.g., is it linked to DO 1 IR 1?, DO 1 IR 4?)
This indicator is linked to DO 1 IR 1.1. Sex disaggregated data for this indicator will be used to inform the DO1 Gender Performance Evaluation on women’s leadership.
PLAN FOR DATA COLLECTION BY USAID
<b>Activities/Implementing Mechanisms:</b> TBD
<b>Data Source:</b> Data sources include: 1) consultation registration forms filled in and completed by the legal aid providers and shared with the USAID implementing partner, and 2) case registration information where legal aid was provided to individuals from marginalized and vulnerable groups in front of formal

and informal forums.
<b>Method of Data Acquisition:</b> All legal aid providers will be given the same consultation/registration form with places to record all of the required disaggregated data. These completed registration forms will be shared with the USAID implementing partner, who will then take the non-personal identification data and upload this into a secure database on a monthly (or more recent) basis. A process for removing duplication will be established. The totals for each quarter will then be reported to USAID, using an approved data tracking table with the required disaggregation. The original registration forms will be kept in a secure location.
Case registration information will likewise be collected from the informal/formal courts, with the required disaggregation, and uploaded into the implementing partner's database. Originals may need to be kept at the courts, but where possible copies should be maintained in a secure location at the implementing partner's offices for verification purposes.
<b>Frequency and Timing of Data Acquisition:</b> Annually, by October 30 <sup>th</sup> of each year
<b>Individual(s) Responsible for Data at USAID:</b> The AOR/COR for these activities
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b> COP or M&E Manager
<b>Location of Data Storage (optional):</b> USAID Indonesia PMIS, copies of IP reports kept in secure AOR/COR files and on a protected area of DO 1's public drive as backup.
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> TBD
<b>Date of Future Data Quality Assessments (optional):</b> TBD
<b>Potential Data Limitations and Significance (optional):</b> Validity concerns – information that will be collected must be limited to the number of individuals/groups from low income or marginalized communities who received legal aid or victim's assistance with USG support (i.e. separate from interventions from GoI/CSO or other donors that are implementing similar interventions in the same area). There is the possibility of duplication (if an individual accesses legal aid more than once, or if an individual consults with a legal aid provider and is then counted again if their case appears in court). Since the personal identification information needs to be protected, it will be hard to validate that duplication has not occurred, or that the individuals actually did access legal aid providers.
<b>Actions Taken or Planned to Address Data Limitations (optional):</b> The registration forms must be developed by both the eventual implementing partner and the AOR/COR so that all of the required data (including the disaggregation) is collected. The implementing partner will also need to have trained database entry staff who can properly remove duplications and clean the data as it is uploaded into the database. The implementing partner will also need to have secure and protected databases and registration storage processes. Finally, the AOR/COR should conduct site visits to the implementing partner's office to conduct random file checks (select a few registration forms and then check that data against the database entries, discuss the duplication removal process with the database managers, and confirm that the data reported is backed up by the data in the database).
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis (optional):</b> This indicator should be reviewed annually, comparing actuals to baseline and target. The trend over time for this indicator should also be examined. The disaggregation data should also be analyzed, to see if there is a difference between geographic location, types of individuals seeking legal aid, nature of their complaint/issue, etc. The achievements of this indicator should be compared to the achievements of the other IR 1.3 indicators to assess whether the Mission is making progress to achieving the IR. The team reviewing progress for this indicator should include IR 1.1 staff. Analysis for this indicator should also include reviewing context indicators for the DO, particularly 1.4-CX1.
<b>Mission/Team Review (optional):</b> This indicator should be reviewed during preparation for the annual performance/strategy portfolio review, and then during the portfolio review. The DO team may invite the relevant implementing partners and other external experts to the pre-portfolio review to hear their lessons learned and understand their perspectives.
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe (optional):</b> FY 2014/0
<b>Rationale for Targets (optional):</b> Targets should be set according to the legal aid providers trends in the

past, and then the USAID target would be slightly above or below the trend. The targets can be set using two development hypothesis: a) as governance at the local level improves in the 14 targeted provinces of Indonesia, then the numbers of individuals seeking legal aid will go down; and b) as citizens understand their rights, and feel safe from reprisals, and as governance improves, more people will access legal aid. Target setting for this indicator should include consultations with Indonesian legal aid experts, in order to determine likely trends given USAID's portfolio of activities (including DO 2 and DO 3 focus on basic services), and trends in the country.

**Other Notes** *(optional)*:

**THIS SHEET WAS LAST UPDATED ON: 4/11/14**  
**PIRS Template: 2/21/14**

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 1.3-2****Goal:** A Stronger Indonesia Advancing National and Global Development**DO 1:** Democratic Governance Strengthened**IR 1.3/Project Purpose:** Protection of Citizen Rights Promoted**Linkage(s) to other Results Statements (*be specific*):** Results for this IR are linked to DO 2 IR 3, DO 3, and DO 1 IRs 1 and 2**Number/Name of Performance Indicator:** 1.3-2 Score on quality of GOI's UN human rights reports**Performance Plan and Report Indicator:** No \_\_\_ Yes \_\_\_ **If yes, for which Fiscal Year(s):****If yes, link to foreign assistance framework:****Indicator Type:** Custom, Outcome**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** GOI's UN human rights reports include an annual Universal Periodic Review (UPR), an (annual, biennial, etc) report on the Convention on the Elimination of Discrimination Against Women (CEDAW), and a quadrennial report on the International Covenant on Civil and Political Rights (ICCPR). Quality refers to the accuracy of data, use of evidence and analysis, response on critical human rights inquiries, and reference to international human rights instruments that the GOI has ratified. Quality will be determined by a panel of experts convened annually, including leading academics, human rights experts, etc. **The panel of experts will review a score sheet with subheadings focused on key components of these reports, including** but not limited to:

1. Civil Liberties, including: freedom of expression and belief, associational and organizational rights;
2. Rule of Law, including protection from political terror, unjustified imprisonment, exile, or torture, whether by groups that support or oppose the system and do laws, policies, and practices guarantee equal treatment of various segments of the population; and
3. Personal Autonomy and Individual Rights, including personal social freedoms, encompassing gender equality.

The methodology of the review is grounded in basic standards of political rights and civil liberties, derived in large measure from relevant portions of the Universal Declaration of Human Rights. The review operates from the assumption that freedom for all peoples is best achieved in democratic societies.

**Numerator:** Average score on UPR + Average score on CEDAW + Average score on ICCPR**Denominator:** 3

**Unit of Measure:** Score on a 6-point scale, where 0 represents "not included," 1 represents "minimally addressed with significant errors and/or gaps" and 5 represents "exceeds best international practices." Optionally, the score will be on the following 3-point scale: 1. High Quality (to be defined), 2. Medium Quality (to be defined, i.e. no gap), 3. Low Quality (to be defined). **Final scale will be determined in partnership with the IP and potentially the panel of experts.**

**Disaggregated by:** Report, Topic/**Subheading**

**Rationale or Management Utility, Integration Approach (*optional*):** If report scores improve, then activities to improve data quality and GOI awareness of citizen rights issues have been effective. Results for this indicator will be indirectly affected by activities to improve the justice sector, accountability institutions, CSO enabling environment, and conditions in Eastern Indonesia under IRs 1.1, 1.2 and 1.4.

**PLAN FOR DATA COLLECTION BY USAID****Activities/Implementing Mechanisms:** **TBD**

**Data Source:** Data source will be the score sheet with subheadings focused on key components of international citizen's rights conventions ratified by Indonesia that will be reviewed by a panel of experts.

**Method of Data Acquisition:** **Initially the panel will rate each report according to the quality standards on the score sheet (using the 0-5 scale). If members of the panel have ratings that are markedly different from others' (outliers), there should be discussion to understand the reasoning behind the outlier ratings. The panel's final scores will be averaged together for each subcategory and then for the total score for each report, and then the final average rating will be calculated for this indicator. The score sheets will be maintained in the implementing partner files and/or by the AOR/COR and the final scores shared with the**

<b>Mission.</b>
<b>Frequency and Timing of Data Acquisition:</b> Annually, as each report is released (at the latest by October 30 for the previous FY)
<b>Individual(s) Responsible for Data at USAID:</b> AOR/COR for human rights implementing mechanism
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b> Implementing partner's Chief of Party
<b>Location of Data Storage (optional):</b> USAID Indonesia PMIS, copies of score sheets and reports kept in AOR/COR files and on DO 1 public drive as backup.
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> TBD
<b>Date of Future Data Quality Assessments (optional):</b> TBD
<b>Potential Data Limitations and Significance (optional):</b> For reliability reasons, it is recommended that the panel is composed of the same experts from year to year to ensure consistency. To avoid bias, the panel members should not be from any providers of the data to the international reports. USAID's role should be as observers, in order to maintain objectivity. The implementing partner, or the M&E support contract, should provide a facilitator for the scoring, or it could be a specific panel member who it is agreed is an objective and skilled local facilitator.
<b>Actions Taken or Planned to Address Data Limitations (optional):</b> TBD
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis (optional):</b> Because the AOR/COR will be an active observer during the panel deliberations, they can ask for clarification or more information on the scoring by the experts. Any further analysis should take place during the annual review in preparation for the Portfolio Review and PPR, where actuals will be compared to baseline and target. The trend over time for this indicator should also be examined. The disaggregation data should also be analyzed, to see if there is a difference between subcategories, reports, etc. The achievements of this indicator should be compared to the achievements of the other IR 1.3 indicators to assess whether the Mission is making progress to achieving the IR. The team reviewing progress for this indicator should include IR 1.1 staff.
<b>Mission/Team Review (optional):</b> This indicator should be reviewed during preparation for the annual performance/strategy portfolio review, and then during the portfolio review. The DO team may invite the relevant implementing partners and other external experts to the pre-portfolio review to hear their lessons learned and understand their perspectives.
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe (optional):</b> Baselines will be the first scoring of each report. Expected timing will be XXX [month that the 2013 or 2014 UPR was released], after the panel of experts scores the quality of the report; XXX [month that the 2013 or 2014 CEDAW was released], after the panel of experts scores the quality of the report; and XXX [month that the most recent version of the ICCPR was released], after the panel of experts scores the quality of the report.
<b>Rationale for Targets (optional):</b> Targets will be considered once the baseline has been established. Initially targets could be a full point improvement from the baseline (e.g., if the average score for a report is 3.7 then the target could be 4.7). Establishing the target will need to consider how much assistance USAID is providing (either directly or indirectly), to improve the quality of these reports. If the assistance is more indirect, then the 4.7 target, for example, might be several years out, and a more moderate target chosen for the interim years. If the assistance is more direct, then a full point increase may be reasonable for each year.
<b>Other Notes (optional):</b>
<b>THIS SHEET WAS LAST UPDATED ON: 4/11/14</b> <b>PIRS Template: 2/21/14</b>

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 1.4-1****Goal:** A Stronger Indonesia Advancing National and Global Development**DO 1:** Democratic Governance Strengthened**IR 1.4/Project Purpose:** Sustainable Development in Targeted Districts in Eastern Indonesia Enhanced**Linkage(s) to other Results Statements (be specific):** Results for this IR are linked to DO 2 IR 3, DO 3**Number/Name of Performance Indicator:** 1.4-1 Eastern Indonesia Human Security Index (EIHSI) Score**Performance Plan and Report Indicator:** No \_\_\_ Yes \_\_\_ If yes, for which Fiscal Year(s): \_\_\_\_\_ If yes, link to foreign assistance framework: \_\_\_\_\_ Indicator**Type:** Custom, Outcome**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** Human security is an important part of individual and community-based wellbeing. Lack of human security can have an adverse affect on economic growth and governance, expand inequalities, and foster grievances. “Therefore, vicious cycles of lack of development which leads to conflict, then to lack of development, can readily emerge. Likewise, virtuous cycles are possible, with high levels of security leading to development, which further promotes security in return.” The Human Security Index (HSI) was first publically released at the (GIS-IDEAS 2008) Conference “Towards a Sustainable and Creative Humansphere” in 2008. A more refined version of the HIS was published by the United Nations Economic and Social Commission for Asia and the Pacific in 2009. In 2010 the HSI version 2 was launched. The HSI is not intended as an annual report. The Eastern Indonesia Human Security Index (EIHSI), based on the internationally respected HSI, measures outcomes across three major components that comprise human security:

**1) Economic Fabric:**

- a. GDP/capita, adjusted for purchasing power parity (data source is XXXX);
- b. Equality of income distribution, measured by indicator XXXXX (data source is XXXX); and
- c. Financial/economic governance (focused on risk of hardship), measured by indicator XXXXX (data source is XXXX);

**2) Environmental Fabric**

- a. Vulnerability, measured by indicator XXXXX (data source is XXXX);
- b. Protection, measured by indicator XXXXX (data source is XXXX); and
- c. Sustainability, measured by indicator XXXXX (data source is XXXX); and

**3) Social Fabric**

- a. Health, measured by indicator XXXXX (data source is XXXX);
- b. Education (literacy), measured by indicator XXXXX (data source is XXXX);
- c. Diversity (protection), measured by indicator XXXXX (data source is XXXX);
- d. Peacefulness, measured by indicator XXXXX (e.g., Number of incidence of violence reported to police, YYYY) (data source is XXXX);
- e. Governance, measured by indicator XXXXX (data source is the report on the district-level ministries and agencies, including accountability); and
- f. Food security, measured by indicator XXXXX (from the FtF Handbook) (data source is XXXX).

Eastern Indonesia includes districts in Maluku, North Maluku, West Papua, and Papua.

**Unit of Measure:** Score **TBD****Disaggregated by:** HSI Component; District; Focus of USAID assistance (e.g., health)

**Rationale or Management Utility, Integration Approach (optional):** This indicator reflects the multi-sectoral approach by the Mission to enhance sustainable development in Eastern Indonesia, by collecting and analyzing and utilizing sectoral data to measure human security. Improvements in human security will reflect increased efficacy, reduced grievances, and reduced social and political tensions. The Mission’s integration approach is reflected not only in the multi-sectoral activities focused on Eastern Indonesia, but is also reflected in the results that will be achieved, and the indicator itself.

**PLAN FOR DATA COLLECTION BY USAID**

<b>Activities/Implementing Mechanisms:</b> TBD [all activities for IR 1.4]
<b>Data Source:</b> The completed EIHSI scorecards, maintained by the Implementing Partner.
<b>Method of Data Acquisition:</b> Data for most of the EIHSI sub-components will be collected from USAID IPs working in Eastern Indonesia. For example, the education IP will collect data on literacy rates in the districts it is working in. Other data may be collected through a perception survey, or collected from secondary sources. [Insert explanation of how the EIHSI will be scored]. After scoring, the data will be uploaded into a database, cleaned, and analyzed. [Note, the database may be maintained by a DO 1 IP, or it may be maintained and analyzed by the USAID/Indonesia M&E Support Contractor.]
<b>Frequency and Timing of Data Acquisition:</b> Annually (by October 30), after initial baseline is conducted (Note: if baseline is established in either the first or second quarter of the FY, the next data collection/report should still be scheduled to be received by USAID by October 30 <sup>th</sup> , which may mean that two data collection efforts may take place in the same FY. The rationale for this is to ensure that the performance data is available annually, and not with a significant gap).
<b>Individual(s) Responsible for Data at USAID:</b> PAD 2 or IR 1.4 manager, or DO 1 Team Leader or Technical Team Leader
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b> TBD IP's Chief of Party or Program Manager or Director [to indicate how important this indicator is to USAID]
<b>Location of Data Storage (optional):</b> USAID/Indonesia PMIS; copies of EIHSI scores kept as backup in the DO Team files.
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> TBD
<b>Date of Future Data Quality Assessments (optional):</b> [Note: if this will be a PPR indicator, then a DQA must be conducted before it is reported by the Mission]
<b>Potential Data Limitations and Significance (optional):</b> This is a custom indicator developed by the Mission, and is therefore untested. Additionally, while it is based on a respected international HSI framework, the data sources available at the relevant district level are unique to Indonesia, and may not reflect the specific information intended by the international HIS framework. Finally, because much of the data is being collected by the Mission's sectoral IPs, there is the possibility of bias.
<b>Actions Taken or Planned to Address Data Limitations (optional):</b> Data and trends collected for this EIHSI will be compared to the two other IR 1.4 indicators, and to context indicators. RCTs may also be used to test the quality of this indicator. Potentially an evaluation or assessment of the quality and utility of this indicator may be conducted in order to determine whether this indicator could be used by other USAID Missions, as a best practice for measuring human security.
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis (optional):</b> This indicator will be analyzed comparing actuals to baseline, to targets, and to trends. It will also be analyzed in conjunction with the two other IR 1.4 performance indicators and context indicators to determine whether the IR is being achieved. Finally, because of the multi-sectoral nature of USAID's investments in Eastern Indonesia, all analyses of this indicator will include representatives from DO 2, DO 3, and other members of DO 1.
<b>Mission/Team Review (optional):</b> This indicator data will be analyzed in early November of each year, in preparation for the Mission's Portfolio Review focused on performance and in preparation for the PPR.
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe (optional):</b> After award to the IP responsible for collecting and analyzing this indicator data, the baseline should be one of the initial tasks. Note that the finalization of the data sources and indicators, plus the methodology for scoring the data, will need to be determined before the baseline is collected. However, this will need to be done before any new USAID implementation activities are initiated in the relevant districts.
<b>Rationale for Targets (optional):</b> TBD (Note: Since it is unclear whether human security is elastic or inelastic, targets should be modest for the first few years. A 5% increase may be a good place to start, and targets should be reviewed in year 3 of implementation to determine actual trend and adjusted if necessary at that time. Nevertheless, target setting for this indicator will be more of an art than a science – at least initially.)
<b>Other Notes (optional):</b> The EIHSI baseline could be reviewed with the international HSI for Indonesia.
<b>THIS SHEET WAS LAST UPDATED ON: 4/11/14</b> <b>PIRS Template: 2/21/14</b>



**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 1.4-2**

**Goal:** A Stronger Indonesia Advancing National and Global Development

**DO 1:** Democratic Governance Strengthened

**IR 1.4/Project Purpose:** Sustainable Development in Targeted Districts in Eastern Indonesia Enhanced

**Linkage(s) to other Results Statements (be specific):** Results for this IR are linked to DO 2 IR 3, DO 3

**Number/Name of Performance Indicator:** 1.4-2 Percent of respondents who state that they have equal input into government decisions compared to other people

**Performance Plan and Report Indicator:** No \_\_\_ Yes \_\_\_ If yes, for which Fiscal Year(s): \_\_\_\_\_ If yes, link to foreign assistance framework: \_\_\_\_\_ Indicator

**Type:** Custom, Outcome

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** The Eastern Indonesian survey asks households in communities where USAID/Indonesia activities and sub-activities have occurred whether they believe that they have equal input into government decisions compared to other people in their district (or compared to other districts?). Equal input is defined as the GOI giving parallel consideration to the input and needs of all citizens, regardless of religion, XXXXX (insert other demographics key to Eastern Indonesia). The definition of “government decisions” is focused on the delivery of basic services and other activities supported by USAID, including health care such as XXX (insert specifics, such as TB), education services including XXX (insert specifics, such as literacy programs), environmental services such as XXX (insert specifics, such as water/san, etc.), and other activities (insert examples). Respondents are those living in households in those areas in targeted districts in Eastern Indonesia where at least one USAID activity (sub-activity) has been completed or is being implemented.

Eastern Indonesia includes districts in Maluku, North Maluku, West Papua, and Papua.

**Numerator** = Total number of respondents who respond that they have equal input into government decisions compared to other people in their district/other districts/other provinces

**Denominator** = Total number of respondents surveyed

**Unit of Measure:** Percent of people

**Disaggregated by:** Type of USAID activity (e.g., health); Sex; Location of respondent (e.g., District); Perceptions compared to other people in their district/Other districts/Other provinces (?)

**Rationale or Management Utility, Integration Approach (optional):** This indicator will measure beneficiary perceptions of their opportunity to influence political decisions that affect their lives. A key principle of democracy and governance is the equal consideration of the preferences and interests of all citizens. Equal consideration of the preferences and needs of all citizens is fostered by equal political activity among citizens, including activity within one’s local community, direct contact with officials, and actions that address grievances. Citizen participation in making decisions, such as how basic services are delivered is at the heart of political equality. Because the data will be collected in households’ within communities and villages in targeted districts in Eastern Indonesia where activities have been completed or are being implemented, it is a direct indicator of the USAID’s accomplishments, although there are intervening variables outside of the USAID’s manageable interest that will also affect perceptions. This is an outcome indicator at the IR level. This indicator, in combination with other DO 1 indicators, will help test whether or not the GOI’s decisions regarding the delivery of basic services and other USAID efforts have taken citizen input – either directly or through CSOs, CBOs, or other NGOs – into consideration. The hypothesis is that as the GOI takes citizen input from all people into consideration when making decisions about the delivery of services and other public goods, then human security will also improve. Sex disaggregated data for this indicator will be used to inform the DO1 Gender Performance Evaluation on women’s leadership.

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** TBD [all activities for IR 1.4]

**Data Source:** Perception survey, conducted by XXX (insert name of firm conducting the survey), draft question #XX “In the past year/three months do you think that the GOI has considered the input and interests of all citizens in your district, other districts, other provinces equally when making decisions such as the delivery of basic services?”

<p><b>Method of Data Acquisition:</b> This information is collected through a public opinion poll conducted on an annual basis in targeted districts in Eastern Indonesia through a (local would be best) implementing partner with the capacity to conduct surveys according to sound methodological principles. Data will be collected from XX number of households within XX number of communities within each district where USAID-supported activities are taking place. Households within the communities will be chosen by XXXX (enter the sampling methodology). Targeted districts include XX number in Maluku, XX in North Maluku, XX in West Papua, and XX in Papua. The margin of error for the survey is X%. [Insert information about controls].</p> <p>The survey will be conducted in August (insert month, not during Ramadan if possible), with data cleaning and analysis using (insert software, e.g., SPSS) in September/October, with the final report delivered to USAID by early November of each year.</p>
<p><b>Frequency and Timing of Data Acquisition:</b> Annually, with the report with analysis of the data delivered to the Mission by the first week of November</p>
<p><b>Individual(s) Responsible for Data at USAID:</b> PAD 2 or IR 1.4 manager, or DO 1 Team Leader or Technical Team Leader</p>
<p><b>Individual(s) Responsible for Providing Data to USAID (optional):</b> TBD IP's Chief of Party or Program Manager or Director [to indicate how important this indicator is to USAID]</p>
<p><b>Location of Data Storage (optional):</b> USAID/Indonesia PMIS; Raw data and reports in AOR/COR/AM's or DO team files/public drive as backup.</p>
<p><b>DATA QUALITY ISSUES</b></p>
<p><b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> TBD</p>
<p><b>Date of Future Data Quality Assessments (optional):</b> [Note: if this will be a PPR indicator, then a DQA must be conducted before it is reported by the Mission]</p>
<p><b>Potential Data Limitations and Significance (optional):</b> TBD</p>
<p><b>Actions Taken or Planned to Address Data Limitations (optional):</b> TBD</p>
<p><b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b></p>
<p><b>Data Analysis (optional):</b> This indicator will be analyzed comparing actuals to baseline, to targets, and to trends. It will also be analyzed in conjunction with the two other IR 1.4 performance indicators and context indicators to determine whether the IR is being achieved. Finally, because of the multi-sectoral nature of USAID's investments in Eastern Indonesia, all analyses of this indicator will include representatives from DO 2, DO 3, and other members of DO 1. Visual depiction of the data (e.g., bar graphs), by disaggregation, and compared to the controls, will help determine any differences in responses based on type of basic service.</p>
<p><b>Mission/Team Review (optional):</b> This indicator data will be analyzed in early November of each year, in preparation for the Mission's Portfolio Review focused on performance and in preparation for the PPR.</p>
<p><b>BASELINE AND TARGETS</b></p>
<p><b>Baseline Timeframe (optional):</b> After award to the IP responsible for collecting and analyzing this indicator data, the baseline should be one of the initial tasks. Note that the finalization of the data sources and indicators, plus the methodology for scoring the data, will need to be determined before the baseline is collected. However, this will need to be done before any new USAID implementation activities are initiated in the relevant districts.</p>
<p><b>Rationale for Targets (optional):</b> Because the survey's Margin of Error (MOE) is XX%, the target is required to be higher than this in order to be able to attribute any changes to the program. From other perception surveys, particularly in an unstable environments but even in stable environments, a 2% change would be a good result. Therefore, the target for this indicator should be set at (MOE + 2%) X% to account for the MOE. If the baseline demonstrates a significant difference in the perceptions of men and women, then the Mission might consider whether to set gender disaggregated targets.)</p>
<p><b>Other Notes (optional):</b></p>
<p><b>THIS SHEET WAS LAST UPDATED ON: 4/11/14</b>  <b>PIRS Template: 2/21/14</b></p>

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 1.4-3**

**Goal:** A Stronger Indonesia Advancing National and Global Development

**DO 1:** Democratic Governance Strengthened

**IR 1.4/Project Purpose:** Sustainable Development in Targeted Districts in Eastern Indonesia Enhanced

**Linkage(s) to other Results Statements (be specific):** Results for this IR are linked to DO 2 IR 3, DO 3

**Number/Name of Performance Indicator:** 1.4-3 Percent of respondents who state that they are satisfied with the GOI's delivery of basic services

**Performance Plan and Report Indicator:** No \_\_\_ Yes \_\_\_ If yes, for which Fiscal Year(s): \_\_\_\_\_ If yes, link to foreign assistance framework: \_\_\_\_\_ Indicator

**Type:** Custom, Outcome

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** The Eastern Indonesian survey asks households in communities where USAID/Indonesia activities and sub-activities have occurred whether they believe that basic service delivery by the GOI in their community or area has improved over the past year. The definition of “basic services” will be limited to those services supported by USAID, including health care such as XXX (insert specifics, such as TB), education services including XXX (insert specifics, such as literacy programs), and environmental services such as XXX (insert specifics, such as water/san, etc.). Respondents are those living in households in those areas in targeted districts in Eastern Indonesia where at least one USAID activity (sub-activity) has been completed or is being implemented.

Eastern Indonesia includes districts in Maluku, North Maluku, West Papua, and Papua.

**Numerator** = Total number of respondents who respond that basic service delivery by the GOI has improved over the last year (or three months – whichever timeframe is tested to work best during focus groups testing the survey questions)

**Denominator** = Total number of respondents surveyed

**Unit of Measure:** Percent of people

**Disaggregated by:** Type of basic service (e.g., health); Sex; Location (e.g., District)

**Rationale or Management Utility, Integration Approach (optional):** This indicator will measure whether beneficiary perceptions of the delivery of basic services have changed as a result of USAID supported activities and efforts. Because the data will be collected in households' within communities and villages in targeted districts in Eastern Indonesia where activities have been completed or are being implemented, it is a direct indicator of the USAID's accomplishments, although there are intervening variables outside of the USAID's manageable interest that will also affect perceptions. This is an outcome indicator at the IR level. This indicator, in combination with other DO 1 indicators, will help test whether or not the delivery of basic services has an impact on human security and people's perceptions of the GOI's commitment to their interests. The hypothesis is that as the delivery of basic services by the GOI improves in their communities as a result of USAID efforts, then human security will also improve. Sex disaggregated data for this indicator will be used to inform the DO1 Gender Performance Evaluation on women's leadership.

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** TBD [all activities for IR 1.4]

**Data Source:** Perception survey, conducted by XXX (insert name of firm conducting the survey), draft question #XX “In the past year/three months do you think that the GOI's delivery of basic services in your area have improved, worsened, or has there been no change?”

**Method of Data Acquisition:** This information is collected through a public opinion poll conducted on an annual basis in targeted districts in Eastern Indonesia through a (local would be best) implementing partner with the capacity to conduct surveys according to sound methodological principles. Data will be collected from XX number of households within XX number of communities within each district where USAID-supported activities are taking place. Households within the communities will be chosen by XXXX (enter the sampling methodology). Targeted districts include XX number in Maluku, XX in North Maluku, XX in West Papua, and XX in Papua. The margin of error for the survey is X%. [Insert information about controls].

The survey will be conducted in August (insert month, not during Ramadan if possible), with data cleaning and analysis using (insert software, e.g., SPSS) in September/October, with the final report delivered to USAID by early November of each year.
<b>Frequency and Timing of Data Acquisition:</b> Annually, with the report with analysis of the data delivered to the Mission by the first week of November
<b>Individual(s) Responsible for Data at USAID:</b> PAD 2 or IR 1.4 manager, or DO 1 Team Leader or Technical Team Leader
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b> TBD IP's Chief of Party or Program Manager or Director [to indicate how important this indicator is to USAID]
<b>Location of Data Storage (optional):</b> USAID/Indonesia PMIS; Raw data and reports in AOR/COR/AM's or DO team files/public drive as backup.
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> TBD
<b>Date of Future Data Quality Assessments (optional):</b> [Note: if this will be a PPR indicator, then a DQA must be conducted before it is reported by the Mission]
<b>Potential Data Limitations and Significance (optional):</b> TBD
<b>Actions Taken or Planned to Address Data Limitations (optional):</b> TBD
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis (optional):</b> This indicator will be analyzed comparing actuals to baseline, to targets, and to trends. It will also be analyzed in conjunction with the two other IR 1.4 performance indicators and context indicators to determine whether the IR is being achieved. Finally, because of the multi-sectoral nature of USAID's investments in Eastern Indonesia, all analyses of this indicator will include representatives from DO 2, DO 3, and other members of DO 1. Visual depiction of the data (e.g., bar graphs), by the disaggregations, and compared to the controls, will help determine any differences in responses based on type of basic service.
<b>Mission/Team Review (optional):</b> This indicator data will be analyzed in early November of each year, in preparation for the Mission's Portfolio Review focused on performance and in preparation for the PPR.
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe (optional):</b> After award to the IP responsible for collecting and analyzing this indicator data, the baseline should be one of the initial tasks. Note that the finalization of the data sources and indicators, plus the methodology for scoring the data, will need to be determined before the baseline is collected. However, this will need to be done before any new USAID implementation activities are initiated in the relevant districts.
<b>Rationale for Targets (optional):</b> Because the survey's Margin of Error (MOE) is XX%, the target is required to be higher than this in order to be able to attribute any changes to the program. From other perception surveys, particularly in an unstable environments but even in stable environments, a 2% change would be a good result. Therefore, the target for this indicator has been set at (MOE + 2%) X% to account for the MOE. (If the baseline demonstrates a significant difference in the perceptions of men and women, then the Mission might consider whether to set gender disaggregated targets.)
<b>Other Notes (optional):</b>
<b>THIS SHEET WAS LAST UPDATED ON: 4/11/14</b> <b>PIRS Template: 2/21/14</b>

## DEVELOPMENT OBJECTIVE NO. 2

USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 2-1	
<b>Goal:</b>	A Stronger Indonesia Advancing National and Global Development
<b>DO 2:</b>	Essential Human Services for the Poorest and Most Vulnerable Improved
<b>Linkage(s) to other Results Statements (be specific):</b>	
<b>Number/Name of Performance Indicator:</b>	2-1: Maternal Mortality Ratio (MMR)
<b>Performance Plan and Report Indicator:</b>	No <input checked="" type="checkbox"/> Yes <input type="checkbox"/> If yes, for which Fiscal Year(s): <u>Insert years</u>
<b>If yes, link to foreign assistance framework:</b>	_____ <b>Indicator Type:</b> Outcome, Custom
PERFORMANCE INDICATOR DESCRIPTION	
<b>Precise Definition(s):</b>	Maternal deaths in women aged 15-49 years that occurred during pregnancy, delivery or within two months of delivery. <b>Numerator:</b> Maternal deaths in women aged 15-49 years that occurred during pregnancy, delivery or within two months of delivery <b>Denominator:</b> The number of live births. The number of live births is used in the denominator as an approximation of the population of all pregnant women who are at risk of a maternal death.
<b>Unit of Measure:</b>	Ratio. Maternal death per 100,000 live births
<b>Disaggregated by:</b>	<u>Location</u>
<b>Rationale or Management Utility, Integration Approach (optional):</b>	Indonesia has among the highest maternal mortality ratios (MMR) in the region, which appear to have risen significantly in the past five years, from 228 per 100,000 to a range around 350 per 100,000 women. This ratio is a strong indicator of the quality of the health system to end preventable deaths. Inequity is a key element to basic health services, including increasing access to quality health services. Because most cases of maternal mortality are preventable, it is important to look at the status and empowerment of women in relation to their reproductive health rights, especially among young poor women, as critical for explaining some part of this problem.
	A major outcome of USAID's Global Health Initiative (GHI) will be to improve maternal mortality. This indicator measures progress towards Millennium Development Goal (MDG) #5. The indicator will be used for program planning and adjustments and to decide whether budget allocation needs to change for desired impact. This indicator will be used by policy makers, program managers, and development partners.
PLAN FOR DATA COLLECTION BY USAID	
<b>Activities/Implementing Mechanisms:</b>	USAID/Indonesia Expanding Maternal and Neonatal Survival (EMAS)
<b>Data Source:</b>	Population-based DHS (Demographic and Health Survey) and Reproductive Age Mortality Survey (RAMOS) studies. DHS surveys are country-specific and published every 3-5 years. RAMOS studies are country specific. Operating units will decide whether to use DHS, RAMOS, or a country-level study for reporting purposes. DHS: <a href="http://www.measuredhs.com/countries/">http://www.measuredhs.com/countries/</a> Individual operating units will input data during years when new data is available.
<b>Method of Data Acquisition:</b>	USAID/Indonesia implementing partner (IP) survey report.
<b>Frequency and Timing of Data Acquisition:</b>	2016
<b>Individual(s) Responsible for Data at USAID:</b>	USAID/Indonesia AOR/COR, MCH M&E advisor, DO2 Team Lead
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b>	USAID/Indonesia EMAS Contractor Chief of Party (COP)
<b>Location of Data Storage (optional):</b>	Mission PMIS, AOR/COR activity files
DATA QUALITY ISSUES	
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b>	<u>TBD</u>
<b>Date of Future Data Quality Assessments (optional):</b>	<u>TBD</u>
<b>Potential Data Limitations and Significance (optional):</b>	Ideally, data is retrieved through a vital registration system. In the vast majority of countries with high maternal mortality this is not possible and surveys are utilized. Maternal mortality rates and ratios are subject to high levels of relative sampling error due to their relatively rare

occurrence. Given that maternal deaths are relatively rare events, obtaining MMRs with reasonably good precision requires extremely large samples, particularly where fertility is not exceptionally high. Except where sample sizes are extremely large, MMRs calculated from large DHS-type surveys relate to a time up to ten years prior to the survey date, meaning that the “current” ratio will in fact be several years old, a potential drawback in using MMR as a measure of recent change.

Maternal mortality is also affected by non-health social determinants. Nevertheless, maternal mortality ratios are more robust, easier to measure, and better reflect obstetric risk than maternal mortality rates. Conventionally, they have been tracked longitudinally for longer periods of time approximately 5 years. While RAMOS studies can be considered more accurate, they tend to be extrapolated from studies on subnational populations, DHS provides trend data though with less accuracy.

USAID/Indonesia activities and implementing mechanisms only address services during pregnancy, delivery and 48 hours post-delivery timeframe within this indicator. This indicator is still deemed appropriate as the majority of maternal deaths occur within this timeframe.

**Actions Taken or Planned to Address Data Limitations** (optional): TBD

**PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING**

**Data Analysis** (optional): This indicator should be reviewed as it becomes available, comparing actuals to baseline and target. The trend over time for this indicator should also be examined. The disaggregation data should also be analyzed, to see if there is a difference between locations. The achievements of this indicator should be compared to the achievements of the other DO 2 indicators to assess whether the Mission is making progress to achieving the DO.

**Mission/Team Review** (optional): The broader USAID/Indonesia MCH team and other Development Objective (DO) teams, as well as the Front Office, will review performance at the DO and Goal-levels during internal annual portfolio reviews.

**BASELINE AND TARGETS**

**Baseline Timeframe** (optional): TBD

**Rationale for Targets** (optional): TBD

**Other Notes** (optional): This indicator is consistent with the Foreign Assistance Framework 3.1.6 Maternal and Child Health indicator 3.1.6-58, which was archived in fiscal year 2013. USAID/Indonesia will continue to use the standard definition as a custom indicator as it best captures one of the highest achievements desired under DO 2.

**THIS SHEET WAS LAST UPDATED ON: 4/11/14**

**PIRS Template: 2/21/14**

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 2-2**

**Goal:** A Stronger Indonesia Advancing National and Global Development

**DO 2:** Essential Human Services for the Poorest and Most Vulnerable Improved

**Number/Name of Performance Indicator:** 2-2: Percent of households gaining access to improved water supply as a result of USG assistance

**Performance Plan and Report Indicator:** Yes

**If yes, for which Fiscal Year(s):**

**Insert years** If yes, link to foreign assistance framework: #3.1.8.1

**Indicator Type:**

Custom, Outcome

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** “Households” represents poor and vulnerable households in urban and peri-urban areas which are receiving improved water supply in the USG-assistance project “zone of influence” (i.e., the sub-national geographic region targeted by USG assistance). “Poor and most vulnerable” is determined by each water utility Perusahaan Daerah Air Minum (PDAM) who are required to identify needy communities within their service area as Masyarakat Berbasis Rendah (MBR). This indicator uses the PDAM definition of MBR to determine whether or not the recipient can be counted as “poor and most vulnerable.” “Improved water supply” is defined as water that comes from an improved water source, which may include 1) a piped PDAM connection to an individual household, 2) a master meter connection, 3) public water facilities, and 4) non-PDAM water sources including improved access to community based water supply.

**Numerator:** Number of poor and most vulnerable households gaining access to improved water supply as a result of USG assistance (cumulative, by district)

**Denominator:** All households with access to improved water supply within the USG-funded project zone of influence (by district)

The number of poor and most vulnerable households gaining access to an improved water supply service will be tabulated using the following three methods:

1. Number of new connections for all PDAMs within USAID/Indonesia IUWASH clusters, provided that those PDAMs demonstrate a significant improvement in service quality as indicated by at least a 20 point increase in respective Performance Index scores. Please see USAID/Indonesia IUWASH Sub IR Indicator IC-1 which explains the functionality and composition of the Performance Index. PDAM connections under this criterion include the house connections to the Master Meter systems.
2. Number of new connections of PDAMs located outside USAID/Indonesia IUWASH clusters, but which received USG support in a specific critical aspect directly related to increasing household connections including obtaining financial support or implementing micro-finance to provide access to improved water supply.
3. Number of new connections from non-PDAM water sources such as community-based water supply and individual systems with USG support. The number of people obtaining access to clean water is applicable only to direct beneficiaries in the USG supported sites who receive access to improved water supply and does not apply to the total household population in that area.

As noted above, PDAMs report unit of measure in households. USAID/Indonesia calculates four (4) households per 1 community based water connection to determine the number of households benefiting from community based water supply activities.

Additionally, USAID/Indonesia will count committed household water connections which are made through USAID/Indonesia IUWASH support through capital financing programs but whose actual construction of these connections will not be completed by the end of the USAID/Indonesia IUWASH performance period. The counting of these connections will be done at the end of IUWASH performance period in 2016. The committed additional connections will only be counted when the capital expenditure financing is secured. USAID/Indonesia will count these connections as additional achievements under the Development Objective 2 by using the Government of Indonesia (GOI) Ministry of Public Works standard formula where each 1 liter/second committed additional water supply will benefit 75 households.

<b>Unit of Measure:</b> Percentage
<b>Disaggregated by:</b> Numerator/Denominator; <b>Location</b>
<b>Rationale or Management Utility, Integration Approach (optional):</b> Access to improved water services will be expanded to the poor and most vulnerable through strengthened engagement with and amongst the financial, public, and private sectors and institutions. Efforts will help national and local governments and legislatures foster an enabling environment that ensures sustainable sanitation services to the poorest populations through consensus building on targets, policy and regulatory development, and identification of financial sources. Use of improved water supply is strongly linked to decreases in the incidence of waterborne disease especially among children under age five. While not guaranteeing “use” of the improved water supply, this indicator measures progress in making clean water available/ “accessible” in a manner that typically leads to use of the improved source.
<b>PLAN FOR DATA COLLECTION BY USAID</b>
<b>Activities/Implementing Mechanisms:</b> USAID/Indonesia Indonesia Urban Water, Sanitation and Hygiene (IUWASH)
<b>Data Source:</b> Government of Indonesia PDAM Semi-annual and Annual reports
<b>Method of Data Acquisition:</b> Data of new PDAM connections compiled from subnational government (district) reports will be compiled by regional IUWASH offices and submitted to USAID/Indonesia IUWASH M&E Assistant. Data will be uploaded in the IP’s database for final review by IUWASH M&E Advisor before being uploaded to the USAID/Indonesia share drive.
<b>Frequency and Timing of Data Acquisition:</b> Bi-annually
<b>Individual(s) Responsible for Data at USAID:</b> USAID/Indonesia AOR/COR, DO2 Team Lead
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b> USAID/Indonesia IUWASH Regional Urban Water Supply Specialists (UWS), IUWASH Chief of Party
<b>Location of Data Storage (optional):</b> Mission PMIS, AOR/COR activity database
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> February 2012
<b>Date of Future Data Quality Assessments (optional):</b> Planned for 2014
<b>Potential Data Limitations and Significance (optional):</b> For PDAM connections, USAID/Indonesia relies on datasets furnished by the PDAM itself. USAID/Indonesia does not independently determine the accuracy of these reports, an action which is done instead by other GOI agencies. The data availability for reporting sometimes depends on the readiness of the data by partners, which may result in some delay in obtaining data in a timely manner.  The actual quality of source water is not measured directly and instead only assumes and thus may vary based on how well a specific source is protected. Although, the chosen definition of “access” does attempt to define standard ease of use/accessibility, this definition does not capture the water source’s reliability or its affordability--two other important factors that influence the likelihood that those defined as having “access” will actually use the source.  The reliability of supply from some improved sources may vary and limit either the quantity or regularity of its use. For example, a piped water connection may be a household’s primary source of drinking water but water from this source may not be available daily or throughout the day, requiring the household to obtain drinking water from an alternative unimproved source at certain times.  This indicator can be difficult and time consuming to measure accurately and requires robust data quality assurance on the part of USAID/Indonesia.
<b>Actions Taken or Planned to Address Data Limitations (optional):</b> <b>TBD</b>
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis (optional):</b> <b>TBD</b>
<b>Mission/Team Review (optional):</b> The USAID/Indonesia Development Objective 2 (DO2) team, as well as the Front Office, will review performance indicator during internal portfolio reviews. Semi-annual portfolio reviews may also involve external key partners and stakeholders.

**BASELINE AND TARGETS**

**Baseline Timeframe** (optional): TBD

**Rationale for Targets** (optional): TBD

**Other Notes** (optional): This indicator is derived and maintains similarity with Standard “F” Indicator #3.1.8.1-1 Percent of households using an improved drinking water source; however, due to definition and data sourcing differences USAID/Indonesia elects to best reflect outcomes through this custom PIRS. The three areas of divergence between foreign assistance framework language and this custom language is: 1) this indicator specifically targets **access** to improved water to “poor and most vulnerable” households, not “use” as a function of the main water source; 2) USAID/Indonesia supports institutional capacity to provide improved water sources rather than direct service delivery; 3) implementing an annual household survey is problematic and ill fitted for the activities reporting into this indicator. Survey methodology relies on a representative sample of households, whereas using actual connection records will result in near universal coverage of the targeted households.

**THIS SHEET WAS LAST UPDATED ON: 4/11/14**

**PIRS Template: 2/21/14**

USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 2-3
<b>Goal:</b> A Stronger Indonesia Advancing National and Global Development
<b>DO 2:</b> Essential Human Services for the Poorest and Most Vulnerable Improved
<b>Linkage(s) to other Results Statements (be specific):</b> Linked to DO 1 IR 1.4
<b>Number/Name of Performance Indicator:</b> 2-3: Percentage of graduates from USG-supported post-primary education programs reporting themselves as employed
<b>Performance Plan and Report Indicator:</b> No <input checked="" type="checkbox"/> Yes <input type="checkbox"/> <b>If yes, for which Fiscal Year(s):</b> <span style="background-color: yellow;">Insert years</span> <b>If yes, link to foreign assistance framework:</b> _____ <b>Indicator Type:</b> Outcome, Custom
PERFORMANCE INDICATOR DESCRIPTION
<p><b>Precise Definition(s):</b> “Programs” are part of post-primary institutions, both formal and non-formal, engaged in work force development programs, such as a USG-supported faculty or department, or a university if USG support is directed at the whole institution. Indonesian post-primary institutions include polytechnics, academies, advanced schools (sekolah tinggi), community colleges (akademi komunitas), universities, BLK-Balai Latihan Kerja, private training institutions (both private and NGO), and PKBM-Pusat Kegiatan Belajar Masyarakat (community-based learning centers). “Post-primary education programs” are work force development programs that include in-service and pre- service programs such as midwifery, tourism, and manufacturing training. “Employed” is a job or self-employment that requires a minimum of a 24-hour workweek (3 eight-hour work days) employment within one year of graduation.</p> <p>The targeted population for this indicator refers to “the poor and most vulnerable,” a unifying theme underlying all activities within Development Objective 2. For the purposes of this indicator measurement, “poor” groups are defined as any individuals in the bottom two wealth quintiles (lowest 40 percent of wealth distribution). “Most vulnerable” groups may include women, children, orphans, the elderly, disabled individuals, minority groups of social/ethnic or religious affiliation, and migrant groups.</p> <p><b>Numerator:</b> The number of graduates employed (including self-employed) <b>Denominator:</b> The number of students enrolled in USG supported post primary workforce development programs</p> <p><b>Unit of Measure:</b> Percentage</p> <p><b>Disaggregated by:</b> Sex (male/female), numerator/denominator, social/ethnic, economic, province</p> <p><b>Rationale or Management Utility, Integration Approach (optional):</b> This indicator measures the ultimate test of whether a post-primary institution produces workforce with relevant skills. In Indonesia, there are gaps in education quality particularly at post-primary educational institutions serving the poor. The skills learned in vocational school programs generally are poorly linked to the skills needed by private and even public sector employers. The GOI has prioritized secondary education and vocational training as the key to meeting the nation’s economic needs and ensuring future growth. Post-secondary institutions have a critical role to play in both training those who manage essential services and educating future managers, technical specialists, and leaders. Enrollment in vocational school programs tends to reflect labor market gender segmentation with male students concentrated in industry-oriented fields while female students are concentrated in service-oriented programs. Activities under this indicator should lead sustained employment for targeted poor and vulnerable populations. Sex disaggregated data for this indicator will be used to inform the DO1 Gender Performance Evaluation on women’s leadership.</p>
PLAN FOR DATA COLLECTION BY USAID
<b>Activities/Implementing Mechanisms:</b> USAID/Indonesia Workforce Development Activity
<b>Data Source:</b> USAID/Indonesia Tracer Study. Tracer study will capture data annually during the lifetime of the activity at three time periods within each 12-month period for a randomly selected sample of program graduates. The three time periods are: day 1 at graduation, month 6 after graduation, month 12 after graduation.
<b>Method of Data Acquisition:</b> USAID/Indonesia Workforce Development implementing partner (IP)
<b>Frequency and Timing of Data Acquisition:</b> Quarterly
<b>Individual(s) Responsible for Data at USAID:</b> USAID/Indonesia AOR/COR, DO2 Team Lead

<b>Individual(s) Responsible for Providing Data to USAID</b> <i>(optional)</i> : USAID/Indonesia Workforce Development Activity M&E Specialist, Workforce Development Activity Chief of Party.
<b>Location of Data Storage</b> <i>(optional)</i> : USAID/Indonesia PMIS, and AOR/COR activity files
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s)</b> : None
<b>Date of Future Data Quality Assessments</b> <i>(optional)</i> : Planned for 2017
<b>Potential Data Limitations and Significance</b> <i>(optional)</i> : Validity - because local and national economies may have few jobs even for graduates with relevant skills. Improvement in getting jobs is dependent on variables outside of the manageable interest of the mission and its partners; Integrity – concerns with the objectivity of self-reporting; Precision - difficulty of locating graduates and reluctance to report employment situation; Timeliness – concerns of relying on post-primary institutions to provide contact data on graduates in a timely fashion.
<b>Actions Taken or Planned to Address Data Limitations</b> <i>(optional)</i> : All efforts will be made to insure proper verification of contact information at the onset of program participation.
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis</b> <i>(optional)</i> : This indicator will be analyzed in conjunction in Maternal and Child Health trainings related to midwifery and S&T capacity building at the polytechnic level.
<b>Mission/Team Review</b> <i>(optional)</i> : The USAID/Indonesia DO2 team, as well as the Front Office, will review performance indicator during internal portfolio reviews. Semi-annual portfolio reviews may also involve external key partners and stakeholders.
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe</b> <i>(optional)</i> : Planned for 2016
<b>Rationale for Targets</b> <i>(optional)</i> : USAID/Indonesia will review past donor experience with workforce development in Indonesia to inform the target setting process. USAID/Indonesia will also rely on additional assessments to compliment the target setting process.
<b>Other Notes</b> <i>(optional)</i> : This indicator is derived from and maintains similarity to Standard “F” Indicator #3.2.2-37 Percentage of graduates from USG-supported tertiary education programs reporting themselves as employed; however, due to USAID/Indonesia Development Objective 2 results statement USAID/Indonesia elects to best reflect outcomes through this custom PIRS. The two key areas of divergence between foreign assistance framework language and this custom language is: 1) this indicator specifically targets the “poor and most vulnerable” populations in each targeted region; 2) USAID/Indonesia supports improved institutional capacity through the broader institutional pool of post-primary education institutions. Additionally, this indicator will rely on a more robust data collection strategy vis-à-vis a tracer study.
<b>THIS SHEET WAS LAST UPDATED ON: 4/11/14</b> <b>PIRS Template: 2/21/14</b>

<b>USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 2-4</b>
<b>Goal:</b> A Stronger Indonesia Advancing National and Global Development
<b>DO 2:</b> Essential Human Services for the Poorest and Most Vulnerable Improved
<b>Linkage(s) to other Results Statements (be specific):</b>
<b>Number/Name of Performance Indicator:</b> 2-4: Percent of poor and most vulnerable who report satisfaction with delivery of essential services
<b>Performance Plan and Report Indicator:</b> No <input type="checkbox"/> X <input checked="" type="checkbox"/> Yes <input type="checkbox"/> If yes, for which Fiscal Year(s): Insert years If yes, link to foreign assistance framework: Indicator Type: Outcome, Custom
<b>PERFORMANCE INDICATOR DESCRIPTION</b>
<p><b>Precise Definitions:</b> For USAID/Indonesia the focus on USG-assisted sub-national entities improved performance is based on the public’s satisfaction with service delivery. Generally, this indicator often focuses on the direct provision of essential public services, such as water and utilities; however, in Indonesia the focus is on capacity building of administrative and managerial functions of local government and private sector provides, in conjunction with civil society engagement. This is why an approach based on public satisfaction is appropriate for Indonesia.</p> <p>“Targeted population” is intended to capture “the poor and most vulnerable” in the targeted regions, a unifying theme underlying all activities within Development Objective 2. For the purposes of this indicator measurement, “poor” describes individuals from the bottom two wealth quintiles (lowest 40 percent of wealth distribution). “Most vulnerable” groups may include women, children, disabled individuals, minority groups of social/ethnic or religious affiliation, and migrant populations.</p> <p>Satisfaction will be measured through the following criteria: 1) overall quality of service, 2) unit cost for provision of service, 3) amount of time required for the provision of service, 4) increased confidence in service facilities and 5) perception of the responsiveness by subnational government to provide services demanded by targeted population, all of which will be measured and/or perceived by end users. Services from which satisfaction will be measured from will vary by targeted region, but may include water, electricity, waste management, public sanitation, public health, maternal and child health, post-primary and vocational education activities.</p> <p>A survey tool will be designed to capture data across all 5 criteria using simple binary responses; survey respondents can only chose between “being satisfied” and “not being satisfied” for each criteria. Satisfaction will be deemed positive for surveys where at least 3 out of the 5 criteria report satisfaction.</p> <p><b>Numerator:</b> Total number of individuals reporting satisfaction <b>Denominator:</b> Total number of individuals surveyed</p>
<b>Unit of Measure:</b> Percentage
<b>Disaggregated by:</b> Sex, province, satisfaction criteria
<b>Rationale or Management Utility, Integration Approach (optional):</b> The service delivery role of local governments in decentralized states is fundamental to their legitimacy, and is a key enabling factor for development. Poor governance of public sector services, particularly at the sub-national level, and the need for better capacity within the NGO sector and engagement from the private sector are all critical aspects in achieving satisfactory essential services. This indicator incorporates efforts in improving policy, administration, and citizen involvement in the implementation of improving targeted services. This indicator captures an integration approach across all DO2. Sex disaggregated data for this indicator will be used to inform the DO1 Gender Performance Evaluation on women’s leadership.
<b>PLAN FOR DATA COLLECTION BY USAID</b>
<b>Activities/Implementing Mechanisms:</b> USAID/Indonesia Kinerja Local Governance Service Improvement (KINERJA); USAID/Indonesia Expanding Maternal and Neonatal Survival (EMAS); USAID/Indonesia Indonesia Urban Water, Sanitation and Hygiene (IUWASH); and USAID/Indonesia Workforce Development Activity
<b>Data Source:</b> USAID/Indonesia Development Objective 2 implementing partner (IP). IP will conduct a population-based survey.
<b>Method of Data Acquisition:</b> USAID/Indonesia DO2 Implementing partner (IP)

<b>Frequency and Timing of Data Acquisition:</b> Annual. Commencement of data acquisition will vary by each relevant USAID/Indonesia program. Legacy programs will collect baseline data at the end of each program; KINERJA and IUWASH is expected to begin data acquisition in 2015; EMAS and Workforce Development is expected to begin in begin data acquisition in 2016. By 2017, all activities will have annual data acquisition.
<b>Individual(s) Responsible for Data at USAID:</b> USAID/Indonesia Development Objective 2 M&E staff will conduct initial review of survey data, DO2 Team Lead.
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b> USAID/Indonesia IPs conducting surveys. This could include program IPs or an evaluation IP. If activity IPs: 1) USAID/Indonesia DG KINERJA Project (LOGODEP) Contractor Chief of Party (COP), 2) USAID/Indonesia MCH EMAS Project Contractor COP, 3) USAID/Indonesia IUWASH Project Contractor COP; 4) USAID/Indonesia EDU Workforce Development Project Contractor COP.
<b>Location of Data Storage (optional):</b> Mission PMIS, copies of IP reports maintained by the AOR/COR/AM.
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> Planned for 2014
<b>Date of Future Data Quality Assessments (optional):</b> Planned for 2017
<b>Potential Data Limitations and Significance (optional):</b> The information collected through this survey is subjective as it is based on public perceptions of survey respondents, which are representative of the “poor and most vulnerable” Indonesian population. Additionally, perceptions of public services do not always match the actual service experience, as perceptions of service delivery are often influenced by one’s level of approval of public officials and a potential lack of knowledge on what is expected from the service delivery unit. In the context of Indonesia, cultural norms which hinder free and open expression of ones feeling on services quality, confidence and responsiveness may result in reduced honesty. This may lead to an overly positive perception of satisfaction.
<b>Actions Taken or Planned to Address Data Limitations (optional):</b> USAID/Indonesia Development Objective 2 M&E staff will work with the survey partners to develop an appropriate approach in survey design and implementation which looks to mitigates challenges associated with Indonesian cultural norms.
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis (optional):</b> This indicator should be analyzed in conjunction with DO 1 perception survey.
<b>Mission/Team Review (optional):</b> The broader USAID/Indonesia DO2 Team, as well as the Front Office, will review performance at the DO and project-levels during internal portfolio reviews.
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe (optional):</b> Baselines will need to be conducted on a rolling basis as USAID/Indonesia Legacy Projects closeout and new USAID/Indonesia activities commence. Final evaluations for appropriate Legacy Projects will include satisfaction surveys to be used as baselines for follow on activities. Anticipated baselines for Legacy Projects are: KINERJA 2015; IUWASH 2015. Baselines for MCH and Workforce Development expected by the end of the first year of new program implementation.
<b>Rationale for Targets (optional):</b> Targets should be above the Margin of Error, and above normal trends.
<b>Other Notes (optional):</b>
<b>THIS SHEET WAS LAST UPDATED ON: 4/11/14</b> <b>PIRS Template: 2/21/14</b>

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 2.1-1**

**Goal:** A Stronger Indonesia Advancing National and Global Development

**DO 2:** Essential Human Services for the Poorest and Most Vulnerable Improved

**IR 2.1/Project Purpose:** Preventable Deaths Among Women and Children Reduced

**Linkage(s) to other Results Statements (be specific):**

**Number/Name of Performance Indicator:** 2.1-1: Newborn Mortality Rate

**Performance Plan and Report Indicator:** No  Yes  **If yes, for which Fiscal Year(s):** \_\_\_\_\_ **If yes, link to foreign assistance framework:** \_\_\_\_\_ **Indicator Type:** Outcome, Custom

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** Newborn is defined as infants within the first 28 days of life.

**Numerator:** Number of deaths among infants in the first 28 days of life in the reference year \* 1,000

**Denominator:** Number of live births in the reference year

**Unit of Measure:** Ratio. Neonatal deaths per 1,000 live births

**Disaggregated by:** Location

**Rationale or Management Utility, Integration Approach (optional):** The Newborn Mortality Rate (NMR) is a key outcome indicator for newborn care and directly reflects prenatal, intrapartum, and neonatal care. In Indonesia, the NMR has not declined in 10 years, and now constitutes over half of all under-five deaths. Inequity is a key element to these basic health services: The poorest 25% of Indonesians have an under five mortality over three times higher than the wealthiest 25%. Delivery in a health facility is directly correlated to wealth quintile, and skilled birth attendants at a facility are directly related to maternal and neonatal outcomes.

The indicator will be used for program planning and adjustments and to decide whether budget allocation needs to change for desired impact. This indicator will be used by policy makers, program managers, and development partners.

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** USAID/Indonesia Expanding Maternal and Neonatal Survival (EMAS)

**Data Source:** Population-based DHS (Demographic and Health Survey) and MICS (Multiple Indicator Cluster Survey) studies. DHS and MICS surveys are country-specific and published every 3-5 years. Operating units will decide whether to use DHS, MICS, or a country-level study for reporting purposes.

DHS: <http://www.measuredhs.com/countries/>

Individual operating units will input data during years when new data is available.

**Method of Data Acquisition:** USAID/Indonesia implementing partner (IP) survey report.

**Frequency and Timing of Data Acquisition:** 2016

**Individual(s) Responsible for Data at USAID:** USAID/Indonesia AOR/COR, MCH M&E advisor, DO2 Team Lead

**Individual(s) Responsible for Providing Data to USAID (optional):** USAID/Indonesia EMAS Contractor Chief of Party (COP)

**Location of Data Storage (optional):** Mission PMIS, AOR/COR activity files

**DATA QUALITY ISSUES**

**Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):** TBD

**Date of Future Data Quality Assessments (optional):** TBD

**Potential Data Limitations and Significance (optional):** Often disaggregated neonatal mortality rates are presented for 10-year periods because of the rapid increase in sampling error if multiple categories are used. Censuses and surveys provide such detail; vital registration data usually does not include socio-economic variables but can provide the other disaggregation. However, in most of the developing world VR is of little or no value in looking at child mortality because of extreme incompleteness of both numerators and denominators.

Age-specific mortality rates are calculated from data on births and deaths in vital statistics registries, censuses

<p>and household surveys in developing countries. Estimates based on household surveys data are obtained directly (using birth history, as in Demographic and Health Surveys) or indirectly (Brass method, as in Multiple Indicator Cluster Surveys). The data are then summed for neonates, and the results are expressed as a rate per 1,000 live births. Because rates calculated from DHS-type surveys relate to a time several years prior to the survey date, the “current” ratio may in fact be several years old, a potential drawback in using NMR as a measure of recent change.</p> <p>USAID/Indonesia activities and implementing mechanisms only address services during pregnancy, delivery and 48 hours post-delivery timeframe within this indicator. This indicator is still deemed appropriate as the majority of neonatal deaths occur within this timeframe.</p>
<p><b>Actions Taken or Planned to Address Data Limitations</b> <i>(optional)</i>: TBD</p>
<p style="text-align: center;"><b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b></p>
<p><b>Data Analysis</b> <i>(optional)</i>: This indicator should be reviewed as it becomes available, comparing actuals to baseline and target. The trend over time for this indicator should also be examined. The disaggregation data should also be analyzed, to see if there is a difference between locations. The achievements of this indicator should be compared to the achievements of the other DO 2 indicators to assess whether the Mission is making progress to achieving the DO</p>
<p><b>Mission/Team Review</b> <i>(optional)</i>: The broader USAID/Indonesia MCH team and other Development Objective (DO) teams, as well as the Front Office, will review performance at the DO and Goal-levels during internal annual portfolio reviews.</p>
<p style="text-align: center;"><b>BASELINE AND TARGETS</b></p>
<p><b>Baseline Timeframe</b> <i>(optional)</i>: The year in which baseline data is collected for this indicator is determined by individual operating units.</p>
<p><b>Rationale for Targets</b> <i>(optional)</i>: TBD</p>
<p><b>Other Notes</b> <i>(optional)</i>: This indicator is consistent with the Foreign Assistance Framework 3.1.6 Maternal and Child Health indicator 3.1.6-60, which was archived in fiscal year 2013. USAID/Indonesia will continue to use the standard definition as a custom indicator as it best captures the desired result under this Intermediate Result.</p>
<p style="text-align: center;"><b>THIS SHEET WAS LAST UPDATED ON: 4/11/14</b>  <b>PIRS Template: 2/21/14</b></p>

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 2.1-2**

**Goal:** A Stronger Indonesia Advancing National and Global Development

**DO 2:** Essential Human Services for the Poorest and Most Vulnerable Improved

**IR 2.1/Project Purpose:** Preventable Deaths Among Women and Children Reduced

**Linkage(s) to other Results Statements (be specific):**

**Number/Name of Performance Indicator:** 2.1-2: Percentage of targeted facilities that adhere to 80% of international standards for key (high impact) services

**Performance Plan and Report Indicator:** No  Yes  If yes, for which Fiscal Year(s): \_\_\_\_\_ If yes, link to foreign assistance framework: \_\_\_\_\_ **Indicator Type:** Outcome, Custom

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** Targeted hospitals and health centers are those hospitals and puskesmas facilities which receive USG assistance. International health standards are not limited to WHO standards, but may include regional or national standards (EmONC) that are consistent with current international standards and practices. Key (high impact) services relate to maternal, neonatal, infection prevention and clinical governance, and health center services.

EmONC standard is defined as the Standard Performance of Emergency Obstetric and Neonatal Care in Facilities (Hospital and Health Center) and may include the following services:

<b>Maternal:</b>	<b>Neonatal:</b>	<b>Infection Prevention/ Clinical Governance:</b>	<b>Health Center:</b>
1. Emergency Response	1. Emergency Response	1. Clinical Governance in Hospital	1. Emergency Response
2. Active III Stage	2. Neonatal Resuscitation	2. Patient Feedback	2. Skills Assessment
3. Post-Partum Hemorrhage	3. Neonatal Sepsis		3. Referral Standard
4. Pre-Eclampsia/ Eclampsia	4. Steroid Antenatal		4. Poned Equipment
5. Sepsis & Infection	5. IMD & ASI Exclusive		5. Infection Prevention
6. Obstructed Labor	6. Kangaroo Mother Care		

**Numerator:** Number of international standards achieved by an USG-supported facility using the clinical performance monitoring tool

**Denominator:** Number of standards observed at a given USG-supported facility

**Unit of Measure:** Percentage

**Disaggregated by:** Facility (hospital/puskesmas); Technical Area (maternal/neonatal/KMC (subset of neonatal)/infection prevention/clinical governance); Achievement (\* < 49%, \*50-79%, \* > 80 to 100%); **Location**

**Rationale or Management Utility, Integration Approach (optional):** This Intermediate Result (IR) statement targets the reduction of preventable deaths of women during labor and delivery and of newborns and children under five. In order to achieve this result the quality of health services must be improved. To address the need for improved health services, the Mission will target both public and private providers of health services. Wide variation in the quality of care in health facilities is a critical factor in lagging health indicators. Improving adherence to a high quality of health services for the poorest and most vulnerable will reduce maternal and child mortality at both the local and national level.

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** USAID/Indonesia Expanding Maternal and Neonatal Survival (EMAS)

<b>Data Source:</b> USAID/Indonesia IPs will prepare performance reports summarizing number of facilities reached during the reporting period
<b>Method of Data Acquisition:</b> IP Quarterly Report
<b>Frequency and Timing of Data Acquisition:</b> Quarterly
<b>Individual(s) Responsible for Data at USAID:</b> USAID/Indonesia AOR/COR, MCH M&E advisor, DO2 Team Lead
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b> USAID/Indonesia EMAS Chief of Party (COP)
<b>Location of Data Storage (optional):</b> Mission PMIS, AOR/COR activity files
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> TBD
<b>Date of Future Data Quality Assessments (optional):</b> Planned for FY 2014
<b>Potential Data Limitations and Significance (optional):</b> TBD
<b>Actions Taken or Planned to Address Data Limitations (optional):</b> TBD
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis (optional):</b> Performance is disaggregated by the four technical areas for hospitals and by two technical areas for health centers. Results are further stratified based on the category of percentage achievement.
<b>Mission/Team Review (optional):</b> The broader USAID/Indonesia MCH team and other Development Objective (DO) teams, as well as the Front Office, will review performance at the DO and Goal-levels during internal annual portfolio reviews.
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe (optional):</b> The baseline will be the 2014 annual report from EMAS (year 1 of the strategy).
<b>Rationale for Targets (optional):</b> Review of past performance of projects
<b>Other Notes (optional):</b>
<b>THIS SHEET WAS LAST UPDATED ON: 4/11/14</b> <b>PIRS Template: 2/21/14</b>

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 2.1-3 / 3.1.8.2-2**

**Goal:** A Stronger Indonesia Advancing National and Global Development

**DO 2:** Essential Human Services for the Poorest and Most Vulnerable Improved

**IR 2.1/Project Purpose:** Preventable Deaths Among Women and Children Reduced

**Number/Name of Performance Indicator:** 2.1-3: Number of people gaining access to improved sanitation facilities as a result of USG assistance (Investing in People 3.1.8.2-2)

**Performance Plan and Report Indicator:** Yes X **If yes, for which Fiscal Year(s):**  
**If yes, link to foreign assistance framework:** #3.1.8. **Indicator Type:** Standard, Output

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s): USAID standard definition:** An improved sanitation facility is defined as one that hygienically separates human excreta from human contact and includes: a flush or pour/flush facility connected to a piped sewer system; a septic system or a pit latrine; pit latrines with a slab; composting toilets; or ventilated improved pit latrines. Unimproved sanitation includes: flush or pour/flush toilets without a sewer connection; pit latrines without slab/open pit; bucket latrines; or hanging toilets/latrines. Members of households that use a facility shared with other households are not counted as using an “improved sanitation facility.” A household is defined as a person or group of persons that usually live and eat together. Persons are counted as “gaining access” to an improved sanitation facility, either newly established or rehabilitated from a non-functional or unimproved state, as a result of USG assistance if their household did not have similar “access”, i.e., an improved sanitation facility was not available for household use, prior to completion of an improved sanitation facility associated with USG assistance. This assistance may come in the form of hygiene promotion to generate demand. It may also come as programs to facilitate access to supplies and services needed to install improved facilities or improvements in the supply chain(s).

**USAID/Indonesia refined definition:** “Number of people” represents the number of poor and vulnerable people in urban and peri-urban areas who are gaining access and benefit from improved sanitation facilities in the USG-assistance project “zone of influence” (i.e., the sub-national geographic region targeted by USG assistance). “Improved sanitation facilities” are defined as sanitation facilities that use proper technology to ensure both privacy and hygienic conditions. The specific criteria for improved sanitation facility are:

- Safe and environmentally friendly sludge removal and /or treatment
- Availability of clean water for the facility

Types of qualifying sanitation facilities include: 1) New or improved household latrines; 2) Community-based sanitation facilities (household connections to communal septic tank); 3) Public toilet/shared sanitation facilities (community and school); 4) Piped connection to the centralized sewer system (city wide and small). The development of sanitation facilities will include those developed by USAID/Indonesia partners/stakeholders through grant or public private partnership schemes.

Local service providers, either government or private sector, report unit of measure as one household per connection. For each qualifying sanitation facility, a household will be counted when a new/improved latrine is completed or when the household pays to receive a connection to either a communal septic tank or a centralized sewer system. USAID/Indonesia calculates five (5) people per household to determine the number of people benefiting from an improved sanitation facility in the household. For community/shared use sanitation facilities, the individual facility is transcribed into number of people using a multiplier of 20 people for 1 community based sanitation facility. Gender is disaggregated based on the GOI National Statistical data that determines a sex ratio of 3 men to 2 women in the population.

Additionally, USAID/Indonesia will count committed sanitation facility developments which are made through USAID/Indonesia IUWASH support through capital financing programs but whose actual construction of these facilities will not be completed by the end of the USAID/Indonesia IUWASH performance period. The counting of these facilities will be done at the end of performance period in 2016. The committed additional connections will only be counted when the capital expenditure financing is secured. USAID/Indonesia will count these facilities as additional achievements under the Development Objective 2 so long as the financial commitment has been

made by local government or other stakeholder.
<b>Unit of Measure:</b> Number
<b>Disaggregated by:</b> Sex (male/female); <b>Location</b>
<b>Rationale or Management Utility, Integration Approach (optional):</b> Access to sanitation services will be expanded to the poor and most vulnerable through strengthened engagement with and amongst the financial, public, and private sectors. Efforts will help national and local governments and legislatures foster an enabling environment that ensures sustainable sanitation services to the poorest populations through consensus building on targets, policy and regulatory development, and identification of financial sources. Use of an improved sanitation facility by households is strongly linked to decreases in the incidence of waterborne disease among household members, especially among children under age five. Providing “access” does not necessarily guarantee beneficiary “use” of a sanitation facility and thus potential health benefits are not certain to be realized from simply providing “access.” Sex disaggregated data for this indicator will be used to inform the DO1 Gender Performance Evaluation on women’s leadership.
<b>PLAN FOR DATA COLLECTION BY USAID</b>
<b>Activities/Implementing Mechanisms:</b> USAID/Indonesia Indonesia Urban Water, Sanitation and Hygiene (IUWASH)
<b>Data Source:</b> Data sources will capture direct count of beneficiary households and estimates of the number of people living in those households by the USAID/Indonesia contractors or grantees implementing activities in the zone of influence. Data sources depend on the sanitation facilities constructed. 1) For individual sanitation system, source data will be provided through sanitarian reports or other proof of construction such as photos/receipts from key USAID/Indonesia partners; 2) For communal sanitation system, the source is local government institutions, Perusahaan Daerah Air Minum (PDAM), records and grantee managed communal sanitation program records; 3) For sewerage systems, records from local government institutions responsible for managing the city or small sewerage system.
<b>Method of Data Acquisition:</b> Source data will be collected by the appropriate USAID/Indonesia implementing partner regional staff and submitted to USAID/Indonesia IUWASH M&E Assistant. Data will then be uploaded into the IP database for final review by IUWASH M&E Advisor before being uploaded to the USAID/Indonesia share drive.
<b>Frequency and Timing of Data Acquisition:</b> Bi-Annually
<b>Individual(s) Responsible for Data at USAID:</b> USAID/Indonesia AOR/COR, DO2 Team Lead
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b> USAID/Indonesia IUWASH M&E Advisor, IUWASH Chief of Party
<b>Location of Data Storage (optional):</b> Mission PMIS, AOR/COR activity files
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> February 2012
<b>Date of Future Data Quality Assessments (optional):</b> Planned for 2014
<b>Potential Data Limitations and Significance (optional):</b> For PDAM connections, USAID/Indonesia relies on datasets furnished by the PDAM itself. USAID/Indonesia does not independently determine the accuracy of these reports, an action which is done instead by other GOI agencies. The data availability for reporting sometimes depends on the readiness of the data by partners, which may result in some delay in obtaining data in a timely manner.  Gaining access to sanitation facilities does not guarantee actual utilization of the facility. Not all household members may regularly use the noted improved sanitation facility. In particular, in many cultures, young children are often left to defecate in the open, which creates health risks for all household members including themselves. This indicator does not capture such detrimental, uneven sanitation behavior within a household.
<b>Actions Taken or Planned to Address Data Limitations (optional):</b> <b>TBD</b>
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis (optional):</b> <b>TBD</b>
<b>Mission/Team Review (optional):</b> The USAID/Indonesia Development Objective 2 (DO2) team, as well as the Front Office, will review performance indicator during internal portfolio reviews. Semi-annual portfolio reviews may also involve external key partners and stakeholders.

**BASELINE AND TARGETS**

**Baseline Timeframe** (optional): TBD

**Rationale for Targets** (optional): TBD

**Other Notes** (optional):

**THIS SHEET WAS LAST UPDATED ON: 4/14/14**  
**PIRS Template: 2/21/14**

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 2.2-1**

**Goal:** A Stronger Indonesia Advancing National and Global Development

**DO 2:** Essential Human Services for the Poorest and Most Vulnerable Improved

**IR 2.2/Project Purpose:** Quality, Relevance, and Access to Targeted Education Sub-sectors Improved

**Linkage(s) to other Results Statements (be specific):**

**Number/Name of Performance Indicator:** 2.2-1: Number of individuals from poor and most vulnerable groups enrolled in USAID-supported post-primary workforce development programs

**Performance Plan and Report Indicator:** No  Yes  **If yes, for which Fiscal Year(s):** \_\_\_\_\_ **If yes, link to foreign assistance framework:** \_\_\_\_\_ **Indicator Type:** Outcome, Custom

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** “Poor and most vulnerable,” a unifying theme underlying all activities within Development Objective 2. “Poor” groups are defined as any individuals in the bottom two wealth quintiles (lowest 40 percent of wealth distribution). “Most vulnerable” groups may include women, children, orphans, the elderly, disabled individuals, minority groups of social/ethnic or religious affiliation, and migrant groups. Refinement of the definition of poor and most vulnerable will be determined in partnership with USG and Ministry of National Education and Culture (MOEC), Ministry of Social Affairs, and other stakeholders. “Enrolled” specifies that an individual is admitted into a USAID-supported post-primary workforce development program on the first day of instruction. Workforce development programs will be conducted at Indonesian post-primary workforce institutions include polytechnics, academies, advanced schools (sekolah tinggi), community colleges (akademi komunitas), universities, BLK-Balai Latihan Kerja, private training institutions (both private and NGO), and PKBM-Pusat Kegiatan Belajar Masyarakat (community-based learning centers).

**Unit of Measure:** Number

**Disaggregated by:** Sex (male/female), social/ethnic group, economic

**Rationale or Management Utility, Integration Approach (optional):** Despite substantial gains in primary educations in Indonesia, there are still gaps in education quality particularly at post-primary educational institutions serving the poor. Gross and net enrollment rates drop sharply after the junior secondary level with only 58% of students continuing their studies, while the poorest and most vulnerable have almost no access to higher education opportunities. Transition rates to higher education are extremely low with gross enrollment rates of approximately 25%, which highlights a limited ability to train service providers and cultivate a highly educated workforce. Enrollment in vocational school programs tends to reflect labor market gender segmentation with male students concentrated in industry-oriented fields while female students are concentrated in service-oriented programs.

An important consideration in Goal 2 of the Education Strategy is opening up access to groups which had hitherto limited opportunity to enter tertiary education or workforce development programs. Some means of measuring improvement in access is needed and will show a direct link of access to the ability of such programs to produce a quality workforce with relevant skills. This is a target that both GOI and USG will focus on expanding.

Sex disaggregated data for this indicator will be used to inform the DO1 Gender Performance Evaluation on women’s leadership.

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** USAID/Indonesia Workforce Development Activity

**Data Source:** Formal: Admission records of USG-supported workforce programs; Informal: First day sign in sheets/records

**Method of Data Acquisition:** USAID/Indonesia Workforce Development implementing partner (IP)

**Frequency and Timing of Data Acquisition:** Quarterly

**Individual(s) Responsible for Data at USAID:** USAID/Indonesia AOR/COR, DO2 Team Lead

**Individual(s) Responsible for Providing Data to USAID (optional):** USAID/Indonesia Workforce Development Activity M&E Specialist, Workforce Development Activity Chief of Party

<b>Location of Data Storage</b> <i>(optional)</i> : USAID/Indonesia PMIS, and AOR/COR activity files
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s)</b> : None
<b>Date of Future Data Quality Assessments</b> <i>(optional)</i> : Planned for 2017
<b>Potential Data Limitations and Significance</b> <i>(optional)</i> : Due to the precise definition of the target audience, varying definitions of poor and most vulnerable may occur between different workforce development institutions and will have an effect on the validity of the data. This indicator fails to adequately capture enrolled trainees who may drop out before completion of the training programs.
<b>Actions Taken or Planned to Address Data Limitations</b> <i>(optional)</i> : USAID/Indonesia will track dropout rates and conduct site visits to best verify that the poor and most vulnerable are being reached.
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis</b> <i>(optional)</i> : The three IR indicators combined under IR 2.2 (Quality, Relevance, and Access to Targeted Education Sub-sectors Improved) are intended to be analyzed together. The three indicators individually capture enrollment, completion and policies designed to improve enrollment and completion rates for the poor and most vulnerable. Analysis by the portfolio of IR 2.2 indicators provides management with a more complete picture in identifying barriers faced by the poor and most vulnerable and would inform planning for further programmatic interventions.
<b>Mission/Team Review</b> <i>(optional)</i> : The USAID/Indonesia Development Objective 2 team, as well as the Front Office, will review performance indicator during internal portfolio reviews. Semi-annual portfolio reviews may also involve external key partners and stakeholders.
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe</b> <i>(optional)</i> : Planned for 2016
<b>Rationale for Targets</b> <i>(optional)</i> : USAID/Indonesia will review past donor experience with workforce development in Indonesia to inform the target setting process. USAID/Indonesia will also rely on additional assessments to compliment the target setting process.
<b>Other Notes</b> <i>(optional)</i> : This indicator is derived from and maintains close similarity to Standard “F” Indicator #3.2.2-41 Number of individuals from underserved and/or disadvantaged groups accessing tertiary education programs; however, due to USAID/Indonesia Development Objective 2 results statement USAID/Indonesia elects to best reflect outcomes through this custom PIRS. The key area of divergence between foreign assistance framework language and this custom language is the differentiation between tertiary and post-primary education. USAID/Indonesia supports improving institutional capacity through the broader pool of post-primary education institutions, which includes but is not limited to tertiary education. Additionally, USAID/Indonesia holds admission paramount over application to a workforce development program and has narrowed the scope of the data source.
<b>THIS SHEET WAS LAST UPDATED ON: 4/11/14</b> <b>PIRS Template: 2/21/14</b>

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 2.2-2**

<b>Goal:</b> A Stronger Indonesia Advancing National and Global Development
<b>DO 2:</b> Essential Human Services for the Poorest and Most Vulnerable Improved
<b>IR 2.2/Project Purpose:</b> Quality, Relevance, and Access to Targeted Education Sub-sectors Improved
<b>Linkage(s) to other Results Statements (be specific):</b>
<b>Number/Name of Performance Indicator:</b> 2.2-2: Percentage of the poor and most vulnerable who complete USAID-supported post-primary workforce development programs
<b>Performance Plan and Report Indicator:</b> No <input checked="" type="checkbox"/> Yes <input type="checkbox"/> <b>If yes, for which Fiscal Year(s):</b> _____ <b>If yes, link to foreign assistance framework:</b> _____ <b>Indicator Type:</b> Outcome, Custom
<b>PERFORMANCE INDICATOR DESCRIPTION</b>
<b>Precise Definition(s):</b> “Poor and most vulnerable,” is a unifying theme underlying all activities within Development Objective 2. “Poor” groups are defined as any individuals in the bottom two wealth quintiles (lowest 40 percent of wealth distribution). “Most vulnerable” groups may include women, children, orphans, the elderly, disabled individuals, minority groups of social/ethnic or religious affiliation, and migrant groups. Refinement of the definition of poor and most vulnerable will be determined in partnership with USG and Ministry of National Education and Culture (MOEC), Ministry of Social Affairs, and other stakeholders. “Complete” means participants have met the minimum requirements of the program and who have graduated from USAID-assisted post-primary workforce development programs. Only those students who have successfully completed a targeted workforce development program will be counted. Workforce development programs will be conducted at Indonesian post-primary workforce institutions including polytechnics, academies, advanced schools (sekolah tinggi), community colleges (akademi komunitas), universities, BLK-Balai Latihan Kerja, private training institutions (both private and NGO), and PKBM-Pusat Kegiatan Belajar Masyarakat (community-based learning centers). Priority education sub sectors include midwifery programs, ecotourism and manufacturing.
<b>Numerator:</b> Total number of individuals who complete a USAID-supported workforce development program <b>Denominator:</b> Total number of individuals enrolled on the first day of a USAID-supported workforce development program
<b>Unit of Measure:</b> Percentage
<b>Disaggregated by:</b> Sex (male/female), social/ethnic group, economic
<b>Rationale or Management Utility, Integration Approach (optional):</b> While Indonesia has made great strides in advancing access to and the quality of primary education, a large unmet need exists in helping Indonesian students make the transition to attend either academic programs to obtain higher level skills, or vocational/practical job skills training to effectively enter the workforce. More must be done to reduce the dropout rates, improve the graduation advancement rates, and increase employment rates of post-primary educational institutions serving the poor. This indicator captures the completion rate for workforce development programs that demonstrate success by the individual student and recognition in attaining the skills and workforce training.
<b>PLAN FOR DATA COLLECTION BY USAID</b>
<b>Activities/Implementing Mechanisms:</b> USAID/Indonesia Workforce Development Activity
<b>Data Source:</b> Certificate of completion (or diploma certificates) records
<b>Method of Data Acquisition:</b> USAID/Indonesia Workforce Development implementing partner (IP)
<b>Frequency and Timing of Data Acquisition:</b> Quarterly
<b>Individual(s) Responsible for Data at USAID:</b> USAID/Indonesia AOR/COR, DO2 Team Lead
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b> USAID/Indonesia Workforce Development Activity M&E Specialist, Workforce Development Activity Chief of Party
<b>Location of Data Storage (optional):</b> USAID/Indonesia PMIS; AOR/COR activity files
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> None
<b>Date of Future Data Quality Assessments (optional):</b> Planned for 2017
<b>Potential Data Limitations and Significance (optional):</b> Validity - Data represent the desired result, the

<p>numbers of individuals completing workforce development programs. The validity of data will vary by region, and is dependent on avoiding double counting the same trainees more than once for each program.</p> <p>USAID/Indonesia will verify the validity of the lists and numbers of trainees prior to reporting results. Integrity - Reporting on trainees has been systematized across USAID/Indonesia partners. USAID/Indonesia will continue to work with GOI and private institutions to reinforce the importance of integrity in reporting of results.</p> <p>Timeliness - Most USG-supported projects keep careful records of individuals trained, and these are readily available on demand. In cases where the data are not available in keeping with USAID/Indonesia needs, USAID/Indonesia will work with partners to revise data collection and availability timelines.</p>
<p><b>Actions Taken or Planned to Address Data Limitations</b> (optional): <b>TBD</b></p>
<p align="center"><b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b></p>
<p><b>Data Analysis</b> (optional): The three IR indicators combined under IR 2.2 Quality, Relevance, and Access to Targeted Education Sub-sectors Improved are intended to be analyzed together. The three indicators individually capture enrollment, completion and policies designed to improve enrollment and completion rates for the poor and most vulnerable. Analysis by the portfolio of IR2.2 indicators provides management with a more complete picture in identifying barriers faced by the poor and most vulnerable and would inform planning for further programmatic interventions.</p>
<p><b>Mission/Team Review</b> (optional): The USAID/Indonesia Development Objective 2 team, as well as the Front Office, will review performance indicator during internal portfolio reviews. Semi-annual portfolio reviews may also involve external key partners and stakeholders.</p>
<p align="center"><b>BASELINE AND TARGETS</b></p>
<p><b>Baseline Timeframe</b> (optional): Planned for 2016</p>
<p><b>Rationale for Targets</b> (optional): USAID/Indonesia will review past donor experience in Indonesia to inform the target setting process. USAID/Indonesia will also rely on assessments to compliment the target setting process.</p>
<p><b>Other Notes</b> (optional):</p>
<p align="center"><b>THIS SHEET WAS LAST UPDATED ON: 4/11/14</b> <b>PIRS Template: 2/21/14</b></p>

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 2.2-3**

**Goal:** A Stronger Indonesia Advancing National and Global Development

**DO 2:** Essential Human Services for the Poorest and Most Vulnerable Improved

**IR 2.2/Project Purpose:** Quality, Relevance, and Access to Targeted Education Sub-sectors Improved

**Linkage(s) to other Results Statements (be specific):**

**Number/Name of Performance Indicator:** 2.2-3: Number of USG-supported post-primary workforce development programs that adopt policies to increase access of the poor and most vulnerable groups

**Performance Plan and Report Indicator:** No  Yes  **If yes, for which Fiscal Year(s):** \_\_\_\_\_ **If yes, link to foreign assistance framework:** \_\_\_\_\_ **Indicator Type:** Outcome, Custom

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** “Poor and most vulnerable” is a unifying theme underlying all activities within Development Objective 2. “Poor” groups are defined as any individuals in the bottom two wealth quintiles (lowest 40 percent of wealth distribution). “Most vulnerable” groups may include women, children, orphans, the elderly, disabled individuals, minority groups of social/ethnic or religious affiliation, and migrant groups. Refinement of the definition of poor and most vulnerable will be determined in partnership with USG and Ministry of National Education and Culture (MOEC), Ministry of Social Affairs, and other stakeholders. Policies and/or procedures must be written down and official and must also be implemented. Policies that support increased access to workforce development programs by poor and most vulnerable groups include, but are not limited to: transparent admissions, external or internal admissions tests, and conditional admission dependent on performance, and remedial programs and courses, all with the goal of opening up to the poor and vulnerable.

Adoption and implementation of policies and procedures are an outcome that will have a long-term impact on training institutions, making them able to draw on a wider range of talent across society.

**Unit of Measure:** Number of programs

**Disaggregated by:** Four ways: by policy (1) and procedure (2) to strengthen transparency of admissions (3) and to increase access of poor and most vulnerable groups (4).

**Rationale or Management Utility, Integration Approach (optional):** Despite substantial gains in primary education outcomes, there remain gaps in education access particularly at post-primary educational institutions serving the poor. The GOI is currently assessing different strategies to expand access to secondary and vocational education by bringing more services to remote and underserved areas. The GOI, with assistance from USG, will increase school operational budgets for senior secondary education, provide scholarships for students from poor families, build new schools, and provide incentives to educators. This indicator strived to measure the preconditions in the way of policies and procedures lead to greater access. Results will be used to improve interventions in this area.

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** USAID/Indonesia Workforce Development Activity

**Data Source:** Partner workforce development institutions admission procedures records

**Method of Data Acquisition:** USAID/Indonesia Workforce Development implementing partner (IP)

**Frequency and Timing of Data Acquisition:** Quarterly

**Individual(s) Responsible for Data at USAID:** USAID/Indonesia AOR/COR, DO2 Team Lead

**Individual(s) Responsible for Providing Data to USAID (optional):** USAID/Indonesia Workforce Development Activity M&E Specialist, Workforce Development Activity Chief of Party

**Location of Data Storage (optional):** USAID/Indonesia PMIS, and AOR/COR activity files

**DATA QUALITY ISSUES**

**Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):** None

**Date of Future Data Quality Assessments (optional):** Planned for 2017

**Potential Data Limitations and Significance (optional):** Validity - definition of written policy and procedure may vary across institutions; Integrity – post-primary institution officials may want to make their institutions look good; Precision - measuring improvements is subjective

<b>Actions Taken or Planned to Address Data Limitations</b> <i>(optional)</i> : Adoption of explicit measurement standards
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis</b> <i>(optional)</i> : The three IR indicators combined under IR 2.2 Quality, Relevance, and Access to Targeted Education Sub-sectors Improved are intended to be analyzed together. The three indicators individually capture enrollment, completion and policies designed to improve enrollment and completion rates for the poor and most vulnerable. Analysis by the portfolio of IR2.2 indicators provides management with a more complete picture in identifying barriers faced by the poor and most vulnerable and would inform planning for further programmatic interventions.
<b>Mission/Team Review</b> <i>(optional)</i> : The USAID/Indonesia Development Objective 2 team, as well as the Front Office, will review performance indicator during internal portfolio reviews. Semi-annual portfolio reviews may also involve external key partners and stakeholders.
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe</b> <i>(optional)</i> : Planned for 2016
<b>Rationale for Targets</b> <i>(optional)</i> : USAID/Indonesia will review past donor experience with workforce development in Indonesia to inform the target setting process. USAID/Indonesia will also rely on additional assessments to compliment the target setting process.
<b>Other Notes</b> <i>(optional)</i> : This indicator is derived from and maintains close similarity to Standard “F” Indicator #3.2.2-38 Number of USG-supported tertiary education programs that adopt policies and/or procedures to strengthen transparency of admission and/or to increase access for underserved ad disadvantaged groups; however, due to USAID/Indonesia Development Objective 2 results statement USAID/Indonesia elects to best reflect outcomes through this custom PIRS. The key area of divergence between foreign assistance framework language and this custom language is the differentiation between tertiary and post-primary education. USAID/Indonesia supports improving institutional capacity through the broader institutional pool of post-primary education institutions, which includes but is not limited to tertiary education.
<b>THIS SHEET WAS LAST UPDATED ON: 3/30/14</b> <b>PIRS Template: 2/21/14</b>

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 2.3-1**

<b>Goal:</b> A Stronger Indonesia Advancing National and Global Development
<b>DO 2:</b> Essential Human Services for the Poorest and Most Vulnerable Improved
<b>IR 2.3/Project Purpose:</b> Local Governance of Essential Services Strengthened
<b>Linkage(s) to other Results Statements (be specific):</b> Links to DO 1 (IR 1.4 in particular)
<b>Number/Name of Performance Indicator:</b> 2.3-1: Percent of local government funding for health and education services
<b>Performance Plan and Report Indicator:</b> No <input checked="" type="checkbox"/> Yes <input type="checkbox"/> <b>If yes, for which Fiscal Year(s):</b> _____ <b>If yes, link to foreign assistance framework:</b> _____ <b>Indicator</b>
<b>Type:</b> Custom, Outcome
<b>PERFORMANCE INDICATOR DESCRIPTION</b>
<b>Precise Definition(s):</b> An increase in local government funding for health and education services demonstrates a clear linkage between district budgets and locally provided services. Local government refers to district level government units administratively responsible for specific sub-areas within the targeted provinces. Funding is captured by the allocation of financial resources for health and education services. Health services may include those addressing family health, health promotion, infectious disease, and water/sanitation by way of public works, bappeda, housing, and environment services. Education services may include post primary education and vocational instruction provided through formal and non-formal education institutions. Any funding allocated for public administration of health and education services is also included. Only allocated funds are reported under this indicator, not disbursements based on the budget.
<b>Numerator:</b> Total amount of rupiah allocated in the fiscal year <b>Denominator:</b> Total amount in rupiah budgeted in the fiscal year
<b>Unit of Measure:</b> Percentage
<b>Disaggregated by:</b> Province/District; Service type (e.g., health)
<b>Rationale or Management Utility, Integration Approach (optional):</b> Ensuring that local governments have sufficient capacity to continue to deliver services in the face of political changes, or other upheavals is an important component of local government capacity. USAID/Indonesia DO2 will provide technical assistance to increase the accountability, supervision, and adherence of local government institutions that provide services, with special attention to how those services reach the poor and most vulnerable. The allocation of district budgets determines adequacy of potential services provided by local government. This indicator will also serve as verification that district governments meets their constitutionally mandated budget requirements (20% for Education constitutionally mandated, and 15% for health, government regulation mandated). This indicator measures the extent to which skills in planning and budgeting and financial management are increasing.
<b>PLAN FOR DATA COLLECTION BY USAID</b>
<b>Activities/Implementing Mechanisms:</b> USAID/Indonesia Kinerja Local Governance Service Improvement (KINERJA); USAID/Indonesia Expanding Maternal and Neonatal Survival (EMAS); USAID/Indonesia Indonesia Urban Water, Sanitation and Hygiene (IUWASH); USAID/Indonesia Workforce Development Activity
<b>Data Source:</b> USAID/Indonesia Development Objective 2 local government partners' district budgets, APBD – Anggaran Pembangunan dan Belanja Daerah
<b>Method of Data Acquisition:</b> USAID/Indonesia DO2 Implementing partners (IPs)
<b>Frequency and Timing of Data Acquisition:</b> Annual
<b>Individual(s) Responsible for Data at USAID:</b> USAID/Indonesia DO 2 Team Leader
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b> USAID/Indonesia Development Objective 2 activity(s) Chief of Party(s)
<b>Location of Data Storage (optional):</b> Mission PMIS; Activity Manager files
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> None
<b>Date of Future Data Quality Assessments (optional):</b> 2014
<b>Potential Data Limitations and Significance (optional):</b> The APBD may be difficult to access due to various

political factors, whereby potentially limiting the number of district budgets reporting into this indicator.
<b>Actions Taken or Planned to Address Data Limitations</b> <i>(optional)</i> : Increased coordination and consultation with local government, specifically focusing on the Satuan Kerja Pemerintah Daerah (working units, SKPD) would likely increase the number of district APBD available for review.
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis</b> <i>(optional)</i> : This indicator should be analyzed in conjunction with DO2 satisfaction survey and DO1 perception survey and should link with transparency and civil society engagement indicators from DO1.
<b>Mission/Team Review</b> <i>(optional)</i> : The broader USAID/Indonesia DO2 Team, as well as the Front Office, will review performance at the DO and project-levels during internal portfolio reviews.
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe</b> <i>(optional)</i> : Baselines will need to be conducted on a rolling basis as USAID/Indonesia Legacy Projects closeout and new USAID/Indonesia activities commence. Anticipated baselines for Legacy Projects are: KINERJA 2015; IUWASH 2015. Baselines for MCH and Workforce Development are expected by the end of the first year of new program implementation.
<b>Rationale for Targets</b> <i>(optional)</i> : In Indonesia, local government budgets are expected to increase by 10 percent, annually. USAID/Indonesia DO2 will set targets with the expectation that targeted budgets will increase at a greater rate than the norm and that by reviewing allocation of funds this indicator will provide a check on the political commitment for improving services.
<b>Other Notes</b> <i>(optional)</i> :
<b>THIS SHEET WAS LAST UPDATED ON: 4/11/14</b> <b>PIRS Template: 2/21/14</b>

**DEVELOPMENT OBJECTIVE NO. 3**

<b>USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 3-1</b>	
<b>Goal:</b>	A stronger Indonesia advancing national and global development
<b>DO 3:</b>	Global development priorities of mutual interest advanced
<b>Linkage(s) to other Results Statements (be specific):</b>	
<b>Number/Name of Performance Indicator:</b>	3-1 Number of new multi-drug resistant-TB (MDR-TB) patients diagnosed and initiated on treatment
<b>Performance Plan and Report Indicator:</b>	Yes, reporting data for fiscal years 2014, 2015, 2016, 2017, and 2018
<b>Foreign Assistance Framework:</b>	3.1.2.3 Multi Drug Resistant TB <span style="float: right;"><b>Indicator Type:</b> Custom, Outcome</span>
<b>PERFORMANCE INDICATOR DESCRIPTION</b>	
<b>Precise Definition(s):</b>	Number of new Multi Drug Resistance (MDR)-Tuberculosis (TB) patients receiving diagnosed and receiving treatment.
<b>Unit of Measure:</b>	Number of patients
<b>Disaggregated by:</b>	Sex (Female/Male)
<b>Rationale or Management Utility, Integration Approach (optional):</b>	Sex disaggregated data for this indicator will be used to inform the DO1 Gender Performance Evaluation on women’s leadership.
<b>PLAN FOR DATA COLLECTION BY USAID</b>	
<b>Activities/Implementing Mechanisms:</b>	USAID/Indonesia Community Empowerment of People Against Tuberculosis (CEPAT) activity, USAID/Washington TB CARE II activity
<b>Data Source:</b>	Government of Indonesia (GOI) National TB Program Reporting System (e-TB)
<b>Method of Data Acquisition:</b>	USAID/Indonesia Health Office implementing partner (IP) records. IP review and analysis of the GOI e-TB system
<b>Frequency and Timing of Data Acquisition:</b>	Annual
<b>Individual(s) Responsible for Data at USAID:</b>	USAID/Indonesia Health Office TB Program Manager and M&E Coordinator
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b>	USAID/Indonesia TB program awardees Chiefs of Parties
<b>Location of Data Storage (optional):</b>	USAID/Indonesia’s Performance Management (PM) Database
<b>DATA QUALITY ISSUES</b>	
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b>	None. (However, note that in March 2014 Phil Hopewell of the American Thoracic Society conducted a DQA-like exercise)
<b>Date of Future Data Quality Assessments (optional):</b>	October 2014
<b>Potential Data Limitations and Significance (optional):</b>	Data are not representative of all TB cases, but to a subset of MDR. As such, this is not representative of the full outcome of USAID/Indonesia’s TB investments.
<b>Actions Taken or Planned to Address Data Limitations (optional):</b>	
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>	
<b>Data Analysis (optional):</b>	
<b>Mission/Team Review (optional):</b>	This indicator data will be analyzed in early November of each year, in preparation for the Mission’s Portfolio Review focused on performance and on the PPR.
<b>BASELINE AND TARGETS</b>	
<b>Baseline Timeframe (optional):</b>	
<b>Rationale for Targets (optional):</b>	
<b>Other Notes (optional):</b>	
<b>THIS SHEET WAS LAST UPDATED ON: 3/30/14</b>	
<b>PIRS Template: 2/21/14</b>	

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 3-2 / 4.8-7**

**Goal:** A stronger Indonesia advancing national and global development

**DO 3:** Global development priorities of mutual interest advanced

**Linkage(s) to other Results Statements (be specific):**

**Number/Name of Performance Indicator:** 3-2 Greenhouse gas (GHG) emissions, estimated in metric tons of CO<sub>2</sub>e, reduced, sequestered, and/or avoided as a result of USG assistance (4.8-7)

**Performance Plan and Report Indicator:** Yes, reporting data for fiscal years

**Foreign Assistance Framework:** 4.8 Environment Impact

**Indicator Type:** Standard,

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s): USAID standard definition:** This indicator reports the quantity of greenhouse gas (GHG) emissions, estimated in metric tons of CO<sub>2</sub>-equivalent, reduced, sequestered, and/or avoided, as a result of USG activities, as compared to a baseline level of GHG emissions. The baseline is the “business-as-usual” reference for GHG emissions that would have occurred during the reporting period if there had been no USG intervention. This indicator is a calculated estimate, and typically not a result of direct emissions measurements. Many projects to which this indicator applies may result in GHG emissions reductions from carbon dioxide (CO<sub>2</sub>), methane (CH<sub>4</sub>), nitrous oxide (N<sub>2</sub>O), and other GHG gasses. Relevant sectors for projects that may apply this indicator include, but are not limited to, climate change, natural resource management, agriculture, biodiversity, energy, industry, urban, and transport.

Note for USAID Programs: For USAID funded activities where the result is either zero or poses significant challenges in calculating (e.g., capacity building activities), OUs should consult with Bureau contacts in Washington to justify why this required indicator is not applicable and which alternative GCC Standard Indicator the project will apply.

Additional tools and guidance related to data collection for USAID funded projects may be found at: [http://inside.usaid.gov/E3/offices/enviro\\_sci/climate/resources/GHGtools.cfm](http://inside.usaid.gov/E3/offices/enviro_sci/climate/resources/GHGtools.cfm).

**USAID/Indonesia’s use of this standard indicator:** USAID/Indonesia’s forestry and energy programs will contribute data for performance management and reporting purposes on this performance indicator. For the USAID/Indonesia forestry program, all USAID-funded interventions in the land use sector that could potentially reduce GHG emissions and/or sequester GHG will be required to report data on this performance indicator. Relevant activities affecting GHG include: improved forest management, improved forest protection, and afforestation. Improved forest protection includes supporting activities that protect and conserve existing forests against forest clearing (deforestation), fire, or illegal logging pressures. Improved forest management includes the use of technical forestry principles, or Best Management Practices (BMPs), to sustainably manage production forests reducing collateral damage and/or enhancing forests’ productive and renewal capacities that augment sequestration capacity. Activities include reduced impact logging (RIL) to reduce forest degradation. Afforestation refers to activities that plant trees on land that is not currently forested.

Metric tons of carbon dioxide equivalent (or CO<sub>2</sub>e) reported under this performance indicator should be a result of *direct contributions* from USAID/Indonesia-funded interventions towards improved forestry management. Partners will use the number of hectares under improved forest management, protection and/or afforestation to calculate the amount of GHG emissions reduced, sequestered or avoided. The value reported represents the annual emissions reduced, sequestered or avoided. If a USAID/Indonesia-funded activity continues to conserve the same hectares of land as in a previous year, those hectares should be included in the calculations for the current year to determine the annual emission reductions of the activity.

For USAID/Indonesia’s energy program, all USAID-funded interventions in the clean energy sector initiated, attracted financing from other sources, or provided technical assistance in order to ensure their construction or operations and maintenance will be required to report data on this performance indicator. USAID/Indonesia will use the standard methodology indicated by the carbon calculator for renewable energy reporting. GHG reduced emissions should be calculated based on one of the following three methods: 1) actual annual production and use; 2) cumulative production and use over the Indonesia Clean Energy Development (ICED) reporting years; and 3) total production over the expected life of the renewable energy production source. In calculating reduced GHG emissions, USAID uses reference emission factors from the Intergovernmental Panel on Climate Change or other well-accepted published sources. The reported indicator value is based on USAID assistance.

- CO<sub>2</sub>e avoided from kilowatt-hours of electricity generated from renewable energy resources (i.e., biomass, hydropower, geothermal energy, wind power, solar energy) applying the emissions factor of the local Perusahaan Listrik Negara (PLN) grid.
- CO<sub>2</sub>e avoided from energy conservation and efficiency applying the emissions factor of the local PLN grid (generation, as well as transmission and distribution losses)
- CO<sub>2</sub>e avoided from bio-ethanol and bio-diesel transportation fuel based on blending content applying published emissions factor from the Intergovernmental Panel on Climate Change
- CO<sub>2</sub>e avoided from displaced transportation fuel (gasoline, diesel) from improved vehicle efficiency and/or public transportation systems applying published emissions factor from the Intergovernmental Panel on Climate Change
- CO<sub>2</sub>e avoided from methane capture (e.g., wastewater treatment) applying the GHG factor for methane (factor of 23)

Emissions factor is the measure of the average amount of specific pollutant or material discharged into the atmosphere by a specific process, fuel equipment, or source. It is expressed as number of pounds (or kilograms) of particulate per ton (or metric ton) of the material or fuel. USAID/Indonesia will follow Government of Indonesia updated emissions factor for the electricity grid whenever it is available for targeted areas.

**Unit of Measure:** Metric tons CO<sub>2</sub> equivalent (CO<sub>2</sub>e)

Global Warming Potential (GWP) of gases from the IPCC Second Assessment Report should be used for calculations, and are as follows:

Gas	GWP
CH <sub>4</sub>	21
N <sub>2</sub> O	310

**Disaggregated by:** Clean Energy, Sustainable Landscapes. Under Sustainable Landscapes, disaggregated by Land use practices, as defined in the USAID Carbon Calculator to be: (i) Forest Protection; (ii) Forest Management; and (iii) Forest Restoration/Plantations; district and landscape. For the purposes of calculating this indicator, only those areas within each activity landscape that benefit from USAID/Indonesia funding will be included.

**Rationale or Management Utility, Integration Approach (optional):** Reducing, sequestering, or avoiding GHG emissions will slow the rate of climate change and reduce the impacts. Reducing GHG emissions can also have strong ancillary benefits for air and water pollution, energy security, health, and gender issues. Implementing partners use this indicator to monitor and report on activities with GHG mitigation outcomes. The USG uses this indicator to monitor and evaluate programs with GHG mitigation outcomes and to document and communicate the GHG mitigation results of the USG Global Climate Change initiative to domestic stakeholders and international audiences, including the United Nations Framework Convention on Climate Change (UNFCCC).

#### PLAN FOR DATA COLLECTION BY USAID

**Activities/Implementing Mechanisms:** TBD

**Data Source:** For USAID/Indonesia Forestry activities: USAID partners will report only emissions reduced, sequestered, and/or avoided, for the reporting period, not project lifetime. The data source will be implementing partners' reports, maps, and management/action plans (e.g., CMMP, national park management plans, etc.).

**Resources and Tools**

GHG Emissions/CLEER Protocol: [http://inside.usaid.gov/E3/offices/enviro\\_sci/climate/resources/GHGtools.cfm](http://inside.usaid.gov/E3/offices/enviro_sci/climate/resources/GHGtools.cfm).

GHG Reductions/ Agriculture, Forestry and Other Land Use (AFOLU) Calculator:

[http://inside.usaid.gov/E3/offices/enviro\\_sci/climate/resources/GHGtools.cfm](http://inside.usaid.gov/E3/offices/enviro_sci/climate/resources/GHGtools.cfm).

For USAID/Indonesia Energy activities: Data sources are project developers and/or sponsors (e.g., PLN, Pertamina, Ministry of Energy and Mineral Resources, Ministry of National Development Planning (BAPPENAS), Environmental Impact Management Agency (BAPEDAL), local governments, independent power producers and energy managers).

**Method of Data Acquisition:** The USAID Carbon Calculator will be used to estimate CO<sub>2</sub>e reductions for the land use sector as follows: (i) for land practice areas classified as "Forest Protection"; (ii) for land practice areas classified as "Forest Management" (i.e., concession intervention areas); and (iii) for land practice areas classified as "Forest Restoration/Plantations." The USAID Carbon Calculator functions on two levels: Level A and Level B. Under Level A, the common data required to generate a CO<sub>2</sub> impact result are the location of the

<p>activity and the number of hectares. For the Forest Protection and Afforestation Calculator, additional data will be required to rate management effectiveness. The USAID Carbon Calculator provides a series of questions to be answered that will result in a percentage of management effectiveness. Considering data availability for Level B, USAID/Indonesia will primary use data for Level A and default data for Level B.</p> <p>USAID/Indonesia's energy program will use the standard, internationally-accepted electricity and fuel emission factors explained below.</p> <p>IEA CO<sub>2</sub> from Fossil Fuel Highlights: <a href="http://www.iea.org/co2highlights/co2highlights.pdf">http://www.iea.org/co2highlights/co2highlights.pdf</a></p> <p>Fuel emission factors – IPCC 2006 Guidelines for National Greenhouse Gas Inventories: <a href="http://www.ipcc-nggip.iges.or.jp/public/2006gl/vol2.html">http://www.ipcc-nggip.iges.or.jp/public/2006gl/vol2.html</a></p>
<p><b>Frequency and Timing of Data Acquisition:</b> Annual, September</p>
<p><b>Individual(s) Responsible for Data at USAID:</b> USAID/Indonesia Environment Office Forestry and Energy Activity Contracting Officer's Representative (COR) / Activity Officer's Representative (AOR) / Activity Manager (AM)</p>
<p><b>Individual(s) Responsible for Providing Data to USAID (optional):</b> USAID/Indonesia Environment Office Forestry and Energy Activity Chief of Party(s)</p>
<p><b>Location of Data Storage (optional):</b> USAID/Indonesia's Performance Management (PM) Database</p>
<p><b>DATA QUALITY ISSUES</b></p>
<p><b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> 2012, Hannah Jung</p>
<p><b>Date of Future Data Quality Assessments (optional):</b> 2015</p>
<p><b>Potential Data Limitations and Significance (optional):</b> The USAID Carbon Calculator estimates only above-ground carbon stocks. In many of the project landscapes, there are extensive peat lands. The carbon stocks below ground in these peat lands may be six or more times greater than those above ground. This underestimation of carbon is very significant. The calculator is not meant to provide the level of accuracy needed for carbon financing, but may provide early indication of areas that have potential for such financing. The data for reporting clean energy contributions to this indicator depend on engineering studies calculating the estimated annual energy production (supply) and use (demand) from a variety of government, electric utility, independent power producers, and energy consumers. Actual energy supply and demand may vary from estimates due to equipment life, performance, and facility/vehicle operating conditions.</p>
<p><b>Actions Taken or Planned to Address Data Limitations (optional):</b> The data collection methodology and process that would be required to capture below ground peat emissions is intensive and potentially massive. USAID will use the Carbon Calculator methodology and will not capture below ground emissions. We are only capturing emissions from non-peat land areas. If peat is added to the Carbon Calculator, we will add in these data.</p>
<p><b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b></p>
<p><b>Data Analysis (optional):</b> This indicator will be analyzed comparing actuals to the baseline and targets. It will also be analyzed in conjunction with the other DO 3 performance (and, if relevant, context) indicators to determine the extent to which the DO results statement is being achieved.</p>
<p><b>Mission/Team Review (optional):</b> This indicator data will be analyzed in early November of each year, in preparation for the Mission's Portfolio Review focused on performance and on the PPR.</p>
<p><b>BASELINE AND TARGETS</b></p>
<p><b>Baseline Timeframe (optional):</b> The value of this indicator, i.e. emissions reduced, is zero at the start of the reporting period, and emissions reductions can continue to be determined on an annual basis. The target for this indicator is set as an <i>accumulative</i> target.</p>
<p><b>Rationale for Targets (optional):</b></p>
<p><b>Other Notes (optional):</b></p>
<p><b>THIS SHEET WAS LAST UPDATED ON:</b> 10/29/14 <b>PIRS Template:</b> 2/21/14</p>

USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 3-3
<b>Goal:</b> A stronger Indonesia advancing national and global development
<b>DO 3:</b> Global development priorities of mutual interest advanced
<b>Linkage(s) to other Results Statements (be specific):</b>
<b>Number/Name of Performance Indicator:</b> 3-3 Number of milestones reached to advance South-South and Triangular Cooperation (SSTC) with USG assistance
<b>Performance Plan and Report Indicator:</b> Yes, reporting data for fiscal years 2015, 2016, 2017, and 2018.
<b>Foreign Assistance Framework:</b> Outcome <span style="float: right;"><b>Indicator Type:</b> Custom,</span>
PERFORMANCE INDICATOR DESCRIPTION
<p><b>Precise Definition(s):</b> South-South Cooperation is defined as cooperation among developing countries on development issues. Government of Indonesia (GOI) capacity building will include <b>but not be limited to</b> topics such as strategic planning, vision, communications, development theory and practice, monitoring and evaluation, financial systems development. USAID/Indonesia interventions could include activities such as technical assistance, staff exchanges, study tours, and training. <b>In later years of the 2014-2018 CDCS when GOI capacity has increased, USAID/Indonesia activities may include direct funding.</b> Triangular Cooperation involves two or more developing countries in collaboration with a third benefiting country. Milestones may include the approval of the Grand Design; development and/or implementation of a public financial management system, <b>development of an outreach strategy for GOI’s House of Representatives – Dewan Perwakilan Rakyat (DPR), development and/or implementation of an institutional capacity assessment tool for the GOI’s National Coordination Team (NCT), and reaching advanced stages on the Agency’s Public Financial Management Risk Assessment Framework (PFMRAF).</b> Note that the process of conducting the institutional capacity assessment with the NCT and then on the basis of that assessment preparing a work plan with specific milestones will in itself define specific milestones that USAID/Indonesia-funded assistance is meant to help achieve.</p>
<b>Unit of Measure:</b> Number of milestones
<b>Disaggregated by:</b> None
<b>Rationale or Management Utility, Integration Approach (optional):</b> This performance indicator represents tracking progress towards the long-term goal of supporting South-South and Triangular Cooperation SSTC as an identified global development priority. The establishment of Official Development Assistance (ODA), or termed “development cooperation” by the GOI, will allow Indonesia to more effectively track and implement its international development cooperation program; accountable and transparent in delivering trilateral, in line with the spirit of the aid effectiveness, playing a central role as the emerging country.
PLAN FOR DATA COLLECTION BY USAID
<b>Activities/Implementing Mechanisms:</b> <b>TBD – Direct USAID/Indonesia SSTC implementing mechanisms (IMs)</b>
<b>Data Source:</b> <b>NCT or other designated GOI body reports, letters, and other documents stating that milestones were achieved</b>
<b>Method of Data Acquisition:</b> <b>USAID/Indonesia DO 3 IR 4 SSTC team initiating periodic meetings with the GOI to determine and document milestones achieved. Additional fora to correspond with annual portfolio reviews and other learning opportunities may also occur.</b>
<b>Frequency and Timing of Data Acquisition:</b> <b>Annual, end of fiscal year portfolio review</b>
<b>Individual(s) Responsible for Data at USAID:</b> <b>USAID/Indonesia DO 3 IR 4 SSTC Coordinator</b>
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b> <b>TBD – GOI NCT Coordinator/Liaison and/or team members (MOFA, MOF, and State Secretariat)</b>
<b>Location of Data Storage (optional):</b> <b>USAID/Indonesia’s Performance Management (PM) Database</b>
DATA QUALITY ISSUES
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> None
<b>Date of Future Data Quality Assessments (optional):</b> 2014, Quarter 4
<b>Potential Data Limitations and Significance (optional):</b> Relies on the availability and reliability of data provided by the GOI. USAID/Indonesia staff providing capacity building technical assistance should ensure that GOI are chronicling the milestone achievements sufficiently.

<b>Actions Taken or Planned to Address Data Limitations</b> <i>(optional)</i> : Trainings and direct engagement with the NCT will increase the reliability of the information being reported from the NCT. Triangulation of data from other development partners will also help with data availability issues.
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis</b> <i>(optional)</i> : This indicator will be analyzed comparing actuals to the baseline and targets. It will also be analyzed in conjunction with the other DO 3 performance (and, if relevant, context) indicators to determine the extent to which the DO results statement is being achieved.
<b>Mission/Team Review</b> <i>(optional)</i> : This indicator data will be analyzed in early November of each year, in preparation for the Mission's Portfolio Review focused on performance and on the PPR. Analysis should include NCT participation.
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe</b> <i>(optional)</i> : N/A
<b>Rationale for Targets</b> <i>(optional)</i> : N/A
<b>Other Notes</b> <i>(optional)</i> :
<b>THIS SHEET WAS LAST UPDATED ON: 3/30/14</b> <b>PIRS Template: 2/21/14</b>

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 3.1-1**

<b>Goal:</b> A stronger Indonesia advancing national and global development
<b>DO 3:</b> Global development priorities of mutual interest advanced
<b>IR 3.1/Project Purpose:</b> Control of infectious diseases of regional and global importance improved
<b>Linkage(s) to other Results Statements (be specific):</b>
<b>Number/Name of Performance Indicator:</b> 3.1-1 Percent of testing facilities (laboratories) that are accredited according to national or international standards
<b>Performance Plan and Report Indicator:</b> Yes, reporting data for fiscal years for 2014, 2015, 2016, 2017, and 2018
<b>Foreign Assistance Framework:</b> Outcome <span style="float: right;"><b>Indicator Type:</b> Custom,</span>
<b>PERFORMANCE INDICATOR DESCRIPTION</b>
<b>Precise Definition(s):</b> The performance indicator will measure quality assurance for lab techniques. Measurement includes EQA for culture and DST, QA and cross check for AFB. GeneXpert will be quality assured through routine monitoring visits by external experts and a process for EQA developed. <b>Numerator:</b> Number of laboratories that are accredited according to national or international standards due to USG assistance. <b>Denominator:</b> Total number of laboratories that receive USG support aimed at meeting accreditation standards. Targets are set annually in work planning sessions with national programs for TB and EPT.
<b>Unit of Measure:</b> Percentage
<b>Disaggregated by:</b> N/A
<b>Rationale or Management Utility, Integration Approach (optional):</b>
<b>PLAN FOR DATA COLLECTION BY USAID</b>
<b>Activities/Implementing Mechanisms:</b> USAID/Indonesia EPT activity, USAID/Washington TB CARE II activity;
<b>Data Source:</b> Accreditation certificates/documentation
<b>Method of Data Acquisition:</b> Documents review and USAID supervisory assessment
<b>Frequency and Timing of Data Acquisition:</b> Annual
<b>Individual(s) Responsible for Data at USAID:</b> USAID/Indonesia Health Office TB Program Manager and M&E Coordinator
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b> USAID/Indonesia TB activity(ies) awardee M&E Manager(s)
<b>Location of Data Storage (optional):</b> USAID/Indonesia's Performance Management (PM) Database
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> March 2014; Richard Lumb, Phil Hopewell, October 27, 2014 Ria Wardani, Alia Hartono.
<b>Date of Future Data Quality Assessments (optional):</b> October 2017
<b>Potential Data Limitations and Significance (optional):</b>
<b>Actions Taken or Planned to Address Data Limitations (optional):</b>
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis (optional):</b> This indicator will be analyzed comparing actuals to the baseline and targets. It will also be analyzed in conjunction with the other DO 3 IR 1 performance (and, if relevant, context) indicators to determine the extent to which the IR results statement is being achieved. Analysis may be conducted on an ongoing basis to validate assessments conducted by independent experts.
<b>Mission/Team Review (optional):</b> This indicator data will be analyzed in early November of each year, in preparation for the Mission's Portfolio Review focused on performance and on the PPR.
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe (optional):</b> N/A
<b>Rationale for Targets (optional):</b> N/A

**Other Notes** *(optional)*:

**THIS SHEET WAS LAST UPDATED ON:** October 29, 2014  
**PIRS Template:** 2/21/14

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 3.1-2**

<b>Goal:</b> A stronger Indonesia advancing national and global development
<b>DO 3:</b> Global development priorities of mutual interest advanced
<b>IR 3.1/Project Purpose:</b> Control of infectious diseases of regional and global importance improved
<b>Linkage(s) to other Results Statements (be specific):</b>
<b>Number/Name of Performance Indicator:</b> 3.1-2 Number of USG-supported national disease control programs meeting control or elimination targets
<b>Performance Plan and Report Indicator:</b> Yes, reporting data for fiscal years 2014, 2015, 2016, 2017, and 2018
<b>Foreign Assistance Framework:</b> Outcome <span style="float: right;"><b>Indicator Type:</b> Custom,</span>
<b>PERFORMANCE INDICATOR DESCRIPTION</b>
<b>Precise Definition(s):</b> Number of USG-supported national disease control programs meeting control or elimination targets as defined in the global health standards per reporting period. USG-supported national disease control programs include tuberculosis (TB), Human Immunodeficiency Virus Infection / Acquired Immunodeficiency Syndrome (HIV/AIDS), Neglected Tropical Diseases (NTD), and EPT. Global health standards are not limited to World Health Organization (WHO), but may include regional or national standards that are consistent with current international standards and practices. USG programs will be counted as meeting control or elimination targets when they have produced results that match the targets set by either national or international bodies. This could mean that they have achieved a reduction in the incidence of a disease or that the disease has been completely eliminated.
<b>Unit of Measure:</b> Number of USG-supported programs
<b>Disaggregated by:</b> Program type (TB, HIV/AIDS, NTD, EPT)
<b>Rationale or Management Utility, Integration Approach (optional):</b>
<b>PLAN FOR DATA COLLECTION BY USAID</b>
<b>Activities/Implementing Mechanisms:</b> TBD
<b>Data Source:</b> Publically available data published by Indonesia’s national disease control programs.
<b>Method of Data Acquisition:</b> National registry/accreditation review and supervision
<b>Frequency and Timing of Data Acquisition:</b> Annual
<b>Individual(s) Responsible for Data at USAID:</b> USAID/Indonesia Health Office Infectious Disease Program Manager and M&E Coordinator
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b> USAID/Indonesia Infectious Disease activity(ies) awardee M&E Manager(s)
<b>Location of Data Storage (optional):</b> USAID/Indonesia’s Performance Management (PM) Database
<b>DATA QUALITY ISSUES produced by each nat</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> 2013, USAID/Indonesia Health Office team – Mary Linehan, Irene Koek, Kendra Chittenden, Artha Camellia, Tetty Rachmawati
<b>Date of Future Data Quality Assessments (optional):</b> 2017
<b>Potential Data Limitations and Significance (optional):</b>
<b>Actions Taken or Planned to Address Data Limitations (optional):</b>
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis (optional):</b> This indicator will be analyzed comparing actuals to the baseline and targets. It will also be analyzed in conjunction with the other DO 3 IR 1 performance (and, if relevant, context) indicators to determine the extent to which the IR results statement is being achieved. Analysis may be conducted on an ongoing basis to validate assessments conducted by independent experts. Analysis will involve Ministry of

health (MOH) based on their ability to adopt and incorporate international infectious disease standards as they become formalized or recognized as best practices.

**Mission/Team Review (optional):** This indicator data will be analyzed in early November of each year, in preparation for the Mission's Portfolio Review focused on performance and on the PPR.

**BASELINE AND TARGETS**

**Baseline Timeframe (optional):**

**Rationale for Targets (optional):**

**Other Notes (optional):**

**THIS SHEET WAS LAST UPDATED ON: 3/30/14**  
**PIRS Template: 2/21/14**

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 3.2-1**

**Goal:** A stronger Indonesia advancing national and global development

**DO 3:** Global development priorities of mutual interest advanced

**IR 3.2/Project Purpose:** Marine and terrestrial biodiversity conservation enhanced

**Linkage(s) to other Results Statements (be specific):**

**Number/Name of Performance Indicator:** 3.2-1 Number of hectares of biological significance and/or natural resources under improved natural resource management as a result of USG assistance (4.8.1-26)

**Performance Plan and Report Indicator:** Yes, reporting data for fiscal years 2014, 2015, 2016, 2017, and 2018

**Foreign Assistance Framework:** 4.8.1 Natural Resources and Biodiversity      **Indicator Type:** Standard, Outcome

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s): USAID standard definition:** “Improved natural resource management” includes activities that promote enhanced management of natural resources for one or more objectives, such as conserving biodiversity, sustaining soil or water resources, mitigating climate change, and/or promoting sustainable agriculture. Management should be guided by a stakeholder-endorsed process following principles of sustainable natural resource management (NRM) and conservation, improved human and institutional capacity for sustainable NRM and conservation, access to better information for decision-making, and/or adoption of sustainable NRM and conservation practices.

An area is considered under “improved management” when any one of the following occurs: management planning and actions are informed by local site assessments, stakeholder participation and other best management practices; human and institutional capacity is developed; management actions are implemented; ongoing monitoring and evaluation is established; adaptive management is demonstrated; or on-the-ground management impacts are demonstrated (e.g., illegal roads closed, snares removed, no-fishing zones demarcated).

Reported as total number of hectares improved during the fiscal year in question, which can include maintained improvement in previously reported hectares and/or new, additional hectares.

Improved management should be reported for activities where the USAID supported program was plausibly linked to the improvements observed. Partners should articulate clearly the milestones that are being used within the program to gauge success, and provide a short narrative to describe the milestones that have been reached in the past year. The conversion to hectares of some management activities can be challenging. The guiding principle in these cases should be based on the theory of change behind the management activity, or in other words how the management activity in question affects the threat to biodiversity.

**USAID/Indonesia’s use of this standard indicator:** USAID/Indonesia has a long history of support for terrestrial and marine conservation. Past USAID activities have contributed to placing many areas under improved natural resource management. Therefore, all USAID/Indonesia-funded activities must demonstrate how the marine and terrestrial areas counted under this indicator are under *improved* management, must demarcate how the recent undertaken interventions improved the management were “additional” to the activities from past USAID/Indonesia-funded activities. That is, if a geographical area was “conserved” or put “under improved management” in a previous project, these hectares cannot be counted again under this performance indicator unless new measures go above and beyond the measures that were claimed under past projects. For example, if a community designates an area as a protected community forest, and formalizes this designation through an appropriate process, establishing a community forest in this same area is not a viable intervention. However, in the future, providing technical assistance (TA) to manage this community forest, demarcating its borders, or developing a management plan for the forest, could be claimed as a deliverable.

**Unit of Measure:** Number of hectares

**Disaggregated by:** *Biologically significant areas.* Areas identified as important for biodiversity through national, regional, or global priority-setting processes. Biodiversity-funded components of activities should report on this category regardless of overlap with other categories.

*All other natural resource areas.* Areas with natural resources which are outside of biologically significant areas and targeted for management interventions, in particular with non-biodiversity funds. These may include areas characterized by forest production, watersheds, wild fisheries, sustainable agriculture/ aquaculture areas, areas with tree crop or agroforestry systems, etc.

Further disaggregation should occur by the following broad categories: national conservation area (marine protected area (MPA), national park, or wildlife reserve), district managed areas, areas under private sector management, and areas under community management/co-management.
<b>Rationale or Management Utility, Integration Approach</b> (optional): A spatial indicator is an appropriate measure of the scale of impact of biodiversity conservation and/or NRM interventions. Good management of natural resources is a prerequisite for achieving improved biophysical condition of natural resources. Measures of this indicator demonstrate progress towards sustainable natural resources governance and institutions, and can inform adaptive management of programs. This indicator is a reliable annual measure that demonstrates the magnitude of USG investments in biodiversity conservation and other natural resource sectors.
<b>PLAN FOR DATA COLLECTION BY USAID</b>
<b>Activities/Implementing Mechanisms:</b> USAID/Indonesia Forestry and Marine current activities (APS, IFACS, IMACS, MPAG, SLP, UPs) and future activities (IFACS II, SEA)
<b>Data Source:</b> USAID/Indonesia Environment Office implementing partner (IP) site visit assessment report
<b>Method of Data Acquisition:</b> IP(s) report the number of hectares of natural resources and biologically significant resources under improved natural resources management based on the spatial impact of management improvements which were designed, adopted or implemented, including monitoring and adaptive management practices.
<b>Frequency and Timing of Data Acquisition:</b> Annual
<b>Individual(s) Responsible for Data at USAID:</b> USAID/Indonesia Environment Office, Land and Seascapes Team, Marine and Forestry Activity Contracting Officer's Representative (COR) / Activity Officer's Representative (AOR) / Activity Manager (AM)
<b>Individual(s) Responsible for Providing Data to USAID</b> (optional): USAID/Indonesia Environment Office Marine and Forestry Activity awardee M&E Managers
<b>Location of Data Storage</b> (optional): USAID/Indonesia's Performance Management (PM) Database
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> 2012, Hannah Jung
<b>Date of Future Data Quality Assessments</b> (optional): 2015
<b>Potential Data Limitations and Significance</b> (optional): Validity, integrity and reliability of data are high but regular data quality analysis is necessary. Precision is low: "improved management" is a relative term, and narrative is required to explain the quality of this management improved. Equal weight is given to unequal improvements along a continuum: e.g., creating, adopting and implementing management plans may each be an improvement over a baseline. Likewise, a small management improvement across a large area may be as important as a large improvement across a small area. This indicator does not provide any information on the sustainability of the improved management.
<b>Actions Taken or Planned to Address Data Limitations</b> (optional): Additional monitoring or evaluation will be conducted within each project to ensure that the areas being reported under this indicator are indeed under improved management.
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis</b> (optional): This indicator will be analyzed comparing actuals to the baseline and targets. It will also be analyzed in conjunction with the other DO 3 IR 2 performance (and, if relevant, context) indicators to determine the extent to which the IR results statement is being achieved. In addition, at the end of each flagship project, the COR/AOR will conduct an in depth assessment of the quality of the results reported. For those areas reported with improved management, additional analysis will be conducted to better understand what type of management was improved, what role USAID-funded interventions played in bringing about the improved management, and examining the sustainability of these efforts.
<b>Mission/Team Review</b> (optional): This indicator data will be analyzed in early November of each year, in preparation for the Mission's Portfolio Review focused on performance and on the PPR.
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe</b> (optional): Baseline needs to be established at the beginning of each project indicating total potential hectares available for improved management, and which of these hectares will be targeted for improvement over the life of the project. This baseline should indicate whether or not these hectares are "new" to USAID assistance or represent areas that USAID has already invested in for improved management actions.

This will allow AOR/CORs to ascertain whether the project is initiating management improvements in the area for the first time, versus building on a foundation already laid by USAID investment.

**Rationale for Targets** *(optional)*:

**Other Notes** *(optional)*:

**THIS SHEET WAS LAST UPDATED ON: 10/29/14**  
**PIRS Template: 2/21/14**

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 3.2-2**

**Goal:** A stronger Indonesia advancing national and global development

**DO 3:** Global development priorities of mutual interest advanced

**IR 3.2/Project Purpose:** Marine and terrestrial biodiversity conservation enhanced

**Linkage(s) to other Results Statements (be specific):**

**Number/Name of Performance Indicator:** 3.2-2 Population of orangutans in USG-supported landscapes.

**Performance Plan and Report Indicator:** Yes, reporting data for fiscal years 2014, 2015, 2016, 2017, and 2018

**Foreign Assistance Framework:** 4.8.1 Natural Resources and Biodiversity      **Indicator Type:** Custom, Impact

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** Population size is the actual number of individual orangutans in specified USAID/Indonesia targeted landscapes. At this time, two National Parks in Aceh and Kalimantan are supported by the United States Government (USG). Population density is a measurement of population size per unit area (i.e., population size divided by total land area). Distribution refers to the spatial arrangement or pattern of a species within an area, such as a national park, where they are located. Distribution should not be confused with dispersal, which can be defined as the movement of individuals away from an existing population or parent. The data include analysis of population size, density and distribution of orangutan in two national parks as key habitat in USAID/Indonesia landscapes in Aceh and Kalimantan.

**Unit of Measure:** Number of orangutan

**Disaggregated by:** Targeted landscape, National Park Unit

**Rationale or Management Utility, Integration Approach (optional):** Orangutans have been classified as “critically endangered” by the International Union for Conservation of Nature (IUCN). USAID/Indonesia has continuously supported orangutan conservation in Indonesia. Orangutan population, distribution, and density are essential for conservation and reflective of habitat conditions. Further, collection of this information is the only adequate method of assessing a species risk of extinction. It is important to obtain distribution and density data for all orangutan populations in target landscapes. Improving and maintaining orangutan numbers serve as the basis for reflecting forest cover, deforestation rate, and high conservation value forest condition.

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** TBD

**Data Source:** Orangutan species count surveys (Convention on International Trade in Endangered Species (CITES Report))

**Method of Data Acquisition:** Public document and site measurement gathered by USAID/Indonesia implementing partners (IPs) through the annual CITES report

**Frequency and Timing of Data Acquisition:** Annual

**Individual(s) Responsible for Data at USAID:** USAID/Indonesia Environment Office Biodiversity Team Activity Contracting Officer’s Representative (COR) / Activity Officer’s Representative (AOR) / Activity Manager (AM)

**Individual(s) Responsible for Providing Data to USAID (optional):** USAID/Indonesia Environment Office Biodiversity Activity M&E Managers

**Location of Data Storage (optional):** USAID/Indonesia’s Performance Management (PM) Database

**DATA QUALITY ISSUES**

**Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):** None

**Date of Future Data Quality Assessments (optional):** 2015

**Potential Data Limitations and Significance (optional):** While the performance indicator does gauge the population of a key species, it has limited applicability of broad improvements in terrestrial biodiversity throughout Indonesia. However, it is (or, can be) indicative of the health of environments supporting orangutan populations. The indicator is only applicable to terrestrial landscapes.

**Actions Taken or Planned to Address Data Limitations (optional):**

**PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING**

<b>Data Analysis</b> <i>(optional)</i> : This indicator will be analyzed comparing actuals to the baseline and targets. It will also be analyzed in conjunction with the other DO 3 IR 2 performance (and, if relevant, context) indicators to determine the extent to which the IR results statement is being achieved.
<b>Mission/Team Review</b> <i>(optional)</i> : This indicator data will be analyzed in early November of each year, in preparation for the Mission's Portfolio Review focused on performance and on the PPR.
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe</b> <i>(optional)</i> :
<b>Rationale for Targets</b> <i>(optional)</i> :
<b>Other Notes</b> <i>(optional)</i> :
<b>THIS SHEET WAS LAST UPDATED ON: 3/30/14</b> <b>PIRS Template: 2/21/14</b>

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 3.2-3**

**Goal:** A stronger Indonesia advancing national and global development

**DO 3:** Global development priorities of mutual interest advanced

**IR 3.2/Project Purpose:** Marine and terrestrial biodiversity conservation enhanced

**Linkage(s) to other Results Statements (be specific):**

**Number/Name of Performance Indicator:** 3.2-3 Average score of Marine Protected Area (MPA) Management Effectiveness Index for USG-supported MPAs

**Performance Plan and Report Indicator:** Yes, reporting data for fiscal years 2015, 2016, 2017, 2018 and 2019  
**Foreign Assistance Framework:** 4.8.1 Natural Resources and Biodiversity      **Indicator Type:** Custom, Outcome

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** The performance indicator reflects MPA management effectiveness and will be applied to both USAID/Indonesia-funded existing and newly established MPA sites. USAID/Indonesia will use the Government of Indonesia (GOI) MPA Effectiveness tool (E-KP3K), which is an index of MPA Management Effectiveness based on the following five stages of development for MPAs:

Stage 1 – Conservation Initiated: MPA Area is designated by government/local governments;

Stage 2 – Conservation established: Completion of management and zoning plan;

Stage 3 – Conservation area managed minimally: Establishment of management unit/co-management and infrastructure;

Stage 4 – Conservation area managed optimally: Development of sustainable financing mechanism; Human and institutional capacity is developed; Management actions are implemented;

Stage 5 – Self-reliant conservation area: Monitoring and evaluation is established; or Adaptive management is demonstrated.

While the E-KP3K instrument utilizes a protected area’s score to assign it to one of five stages of development, USAID/Indonesia will only use the raw scores as the basis for understanding the extent to which MPAs improve their management effectiveness (i.e., the stages will not be factored into this performance indicator). This allows for an increasingly nuanced understanding of MPAs’ management effectiveness rather than using the stages of development. **Numerator:** Total number of points that USG-supported MPAs achieve. **Denominator:** Total number of possible points that USG-supported MPAs could have received.

**Unit of Measure:** Index average score

**Disaggregated by:** None

**Rationale or Management Utility, Integration Approach (optional):**

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** TBD

**Data Source:** Ministry of Marine Affairs and Fisheries Conservation Database (Refer to: <http://kkji.kp3k.kkp.go.id>)

**Method of Data Acquisition:** MMAF and Implementing Partner regular review with MPA management unit

**Frequency and Timing of Data Acquisition:** Annual

**Individual(s) Responsible for Data at USAID:** USAID/Indonesia Environment Office Marine Team Activity Contracting Officer’s Representative (COR) / Activity Officer’s Representative (AOR) / Activity Manager (AM)

**Individual(s) Responsible for Providing Data to USAID (optional):** USAID/Indonesia Environment Office Marine Activity M&E Managers

**Location of Data Storage (optional):** USAID/Indonesia’s Performance Management (PM) Database

**DATA QUALITY ISSUES**

**Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):** None

**Date of Future Data Quality Assessments (optional):** 2015

**Potential Data Limitations and Significance (optional):** Scoring of whether individual sub-components have been obtained is somewhat subjective and, in addition, the same criteria should be applied over multiple assessments (throughout the life of the CDCS) to ensure consistent scoring.

<b>Actions Taken or Planned to Address Data Limitations</b> <i>(optional)</i> :
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis</b> <i>(optional)</i> : This indicator will be analyzed comparing actuals to the baseline and targets. It will also be analyzed in conjunction with the other DO 3 IR 2 performance (and, if relevant, context) indicators to determine the extent to which the IR results statement is being achieved.
<b>Mission/Team Review</b> <i>(optional)</i> : This indicator data will be analyzed in early November of each year, in preparation for the Mission's Portfolio Review focused on performance and on the PPR.
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe</b> <i>(optional)</i> :
<b>Rationale for Targets</b> <i>(optional)</i> :
<b>Other Notes</b> <i>(optional)</i> :
<b>THIS SHEET WAS LAST UPDATED ON: 3/30/14</b> <b>PIRS Template: 2/21/14</b>

## USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 3.3-1

**Goal:** A stronger Indonesia advancing national and global development

**DO 3:** Global development priorities of mutual interest advanced

**IR 3.3/Project Purpose:** Climate change mitigation and resilience to support a green economy strengthened

**Linkage(s) to other Results Statements (be specific):**

**Number/Name of Performance Indicator:** 3.3-1 Amount of investment leveraged in U.S. dollars, from private and public sources, for climate change and biodiversity conservation as a result of USG assistance (4.8.2-10)

**Performance Plan and Report Indicator:** Yes, reporting data for fiscal years 2014, 2015, 2016, 2017, and 2018

**Foreign Assistance Framework:** 4.8.2 Clean Productive Environment, 4.8.1 Natural Resources and Biodiversity

**Indicator Type:** Standard, Output

### PERFORMANCE INDICATOR DESCRIPTION

**Precise Definition(s): USAID standard definition:** Funding leveraged, as a result of USAID assistance, for climate change programs, including REDD+, that support actions, activities, projects or programs that reduce or sequester GHGs or increase capacity to adapt to the impacts of climate variability and change. Funding may be leveraged from the public sector (e.g., other donors) or private sector financing (e.g., corporate investments) and must be additional to USG funds invested in a program and must advance the objectives established by the USG-supported program. Leveraged funds can include funding transferred to a common funding instrument, delivered in parallel or provided in-kind. Examples of what leveraged funds may support include improving the enabling environment necessary for the program to succeed, funding the costs of activities advanced by the program, publicizing program results, monitoring program progress and/or outcomes, or sensitizing stakeholders to climate risks, REDD+ issues and opportunities addressed through the program.

The indicator narrative should indicate the source of funds, for example, ODA or Non-ODA, partner government, private sector, multilateral, other bilateral, foundation, etc.]

**USAID/Indonesia's use of this standard indicator:** Funds counted against this indicator include money leveraged for clean energy, marine conservation, LEDS, sustainable forest management, spatial planning, conservation, and climate change adaptation and mitigation activities in USAID/Indonesia supported areas, when they result from USAID funded interventions. Financial resources from various sources can be counted, including district governments' budgets allocated to forest management, private sector sources such as Corporate Social Responsibility (CSR) funds, payment for ecosystem services, assistance provided to local communities through benefit sharing, and other donors' direct assistance to community members and other stakeholders in activities related to climate change, conservation, and spatial planning. Funds may be included if they contribute to sensitizing community members to climate change, conservation, and spatial planning issues and adaptation strategies. In-kind contributions will also be counted, as appropriate, and identified as such.

Government contributions refer to all levels (central, provincial, and district level) of Government of Indonesia (GOI).

US dollar (USD) amounts will be determined on a quarterly basis for all Indonesian rupiah values within the reporting period using a currency converter (<http://www.oanda.com/currency/converter/>).

For the USAID/Indonesia energy program: Leveraged funding is defined as the estimated cash or monetized value of in-kind inputs from ICED project implementation partners. The type of leveraging depends on the activity and includes, but is not limited to, the following:

- Project financing (capital investment – debt, equity and grants from non-ICED sources)
- Pre-development studies (e.g., cost sharing of pre-feasibility and feasibility studies, environmental impact assessments)
- Training and other events (co-sponsorship, value of participant time)

For the USAID/Indonesia marine and terrestrial conservation programs: Non-USG debt and equity capital, donor grants, financial contributions, and in-kind support which are attributable to USG efforts. Examples include direct investment in the project, grants for technical assistance, contributions to a USG-managed fund or Global Development Alliance (GDA), and in-kind support by volunteer experts. Dollars leveraged must be attributable to USG efforts in that they would not have been leveraged without USG involvement.

<b>Unit of Measure:</b> U.S. dollars
<b>Disaggregated by:</b> Funding type (Clean energy, adaptation, sustainable landscapes, biodiversity), Entity (government, private sector, and other donors), Cost share.
<b>Rationale or Management Utility, Integration Approach (optional):</b> USG funds are intended to be catalytic and to have sustainable benefits. Sustained private investment is a positive indicator of a supportive enabling environment. Good programs should attract additional investments, or test hypotheses as to the most effective strategies, techniques, and/or necessary capacities for addressing climate change and biodiversity conservation. If successful, funds for scaling up or replicating results should be mobilized, whether from domestic or international sources.
<b>PLAN FOR DATA COLLECTION BY USAID</b>
<b>Activities/Implementing Mechanisms:</b> USAID/Indonesia current activities (ICED, IFACS, IMACS, MPAG,SLP, Yagasu, and University Partnerships) and future activities (new marine, forestry, energy, and adaptation mechanisms)
<b>Data Source:</b> Financial records/statements verify amounts leveraged and documentation that prices out labor and material per period of time that was used/donated/given to USAID to support efforts in climate change, conservation, and spatial planning.
<b>Method of Data Acquisition:</b> USAID will measure the amount of money allocated in district budgets to forestry issues. The APBD will be reviewed each year to determine amount allocated per district. At a community level, verifying resources leveraged will be provided in the form of: 1) commitments (through MOUs and other formal agreements) and disbursement of funds (through financial statements/records); and 2) in-kind contributions supported with information, including financial documents that verify leveraged amounts or signed documentation with prices of resources leveraged (e.g., cost of meeting room community to participate on USAID training, or cost of tractor used to plant trees) from grantee reports. Review of reports from PLN, Ministry of Energy and Mineral Resources, local governments, independent power producers and other developers/financiers of clean energy facilities, donors and other ICED partners.
<b>Frequency and Timing of Data Acquisition:</b> Quarterly, reported to USAID/Washington annually
<b>Individual(s) Responsible for Data at USAID:</b> USAID/Indonesia Environment Office Contracting Officer's Representative (COR) / Activity Officer's Representative (AOR) / Activity Manager (AM)
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b> USAID/Indonesia Environment Office awardee Chiefs of Party (COPs) and M&E Managers
<b>Location of Data Storage (optional):</b> USAID/Indonesia's Performance Management (PM) Database
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> 2012, Hannah Jung
<b>Date of Future Data Quality Assessments (optional):</b> 2015
<b>Potential Data Limitations and Significance (optional):</b> Proprietary information: Some organizations providing funding may consider some information on their funding support proprietary. Precision: Measuring funding leveraged does not necessarily indicate the magnitude of impact or results achieved. For government funding leveraged, it will be difficult to collect this data across all of the districts where USAID is investing as the information is not reported uniformly or openly across each of these districts.
<b>Actions Taken or Planned to Address Data Limitations (optional):</b> USAID-funded partners should strive to collect the data, however recognizing the cost of counting every last dollar leveraged CORs/AORs/AMs should allow for underreporting in circumstances where the financial and staff costs of getting the data outweighs the benefits.
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis (optional):</b> This indicator will be analyzed comparing actuals to the baseline and targets. It will also be analyzed in conjunction with the other DO 3 IR 3 performance (and, if relevant, context) indicators to determine the extent to which the IR results statement is being achieved.
<b>Mission/Team Review (optional):</b> This indicator data will be analyzed in early November of each year, in preparation for the Mission's Portfolio Review focused on performance and on the PPR.
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe (optional):</b>

**Rationale for Targets** *(optional)*:

**Other Notes** *(optional)*:

**THIS SHEET WAS LAST UPDATED ON: 3/30/14**

**PIRS Template: 2/21/14**

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 3.3-2**

**Goal:** A stronger Indonesia advancing national and global development

**DO 3:** Global development priorities of mutual interest advanced

**IR 3.3/Project Purpose:** Climate change mitigation and resilience to support a green economy strengthened

**Linkage(s) to other Results Statements (be specific):**

**Number/Name of Performance Indicator:** 3.3-2 Number of institutions with improved capacity to address climate change issues as a result of USG assistance (4.8.2-14)

**Performance Plan and Report Indicator:** Yes, reporting data for fiscal years 2014, 2015, 2016, 2017, and 2018

**Foreign Assistance Framework:** 4.8.2 Clean Productive Environment                      **Indicator Type:** Standard, Output

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s): USAID standard definition:** Institutions with improved capacity to address climate change issues have new or increased ability to use new or different approaches, processes, strategies, or methodologies to mitigate and/or adapt to climate change. Measuring improved institutional capacity to address climate change an initial baseline assessment of the targeted capacity(ies) and a post-intervention assessment. Relevant institutions include partner government or regional government institutions (such as ministries, departments, or commissions), private sector entities, local civil society organizations (such as women’s groups, farmers’ or fishing cooperatives), and trade unions, among others. Indications of increased institutional capacity to engage with climate change adaptation, clean energy, or sustainable landscapes include, but are not limited to:

- Generating or using trend data related to climate change projections,
- Using climate-change information or vulnerability assessments to inform decisions and actions,
- Hiring technically qualified staff with responsibility and authority to manage climate change related issues,
- Having access to equipment or other inputs necessary for planning, assessment and management of climate change topics,
- Engaging local-level stakeholders to ensure that policies, plans, budgets, and investments address on-the-ground needs related to climate change,
- Developing a plan of action to respond to and build resilience to climate change impacts,
- Increasing institution funding levels for addressing climate change issues,
- Improving coordination with other key institutions, such as government ministries in non-environment sectors, to address climate change through an economy-wide approach,
- Building networks with other organizations in the country or region to increase opportunities for clean energy trade or investment,
- Building in-house expertise for assessing greenhouse gas sources and trends, and/or analyzing greenhouse gas mitigation options, and
- Developing systems to measure and store data on carbon stocks of forests and other landscapes using improved tools and methodologies.

The narrative accompanying this indicator should identify the institutions with increased capacity and, if possible, the extent to which capacity has been built. An institution can be reported as having its capacity improved in multiple years if it achieves meaningful improvement in more than one year.

This indicator measures both improvements in capacity to address climate change in institutions that do not have an exclusive climate change focus and improvements in general institutional capacity (such as administrative or organizational capacity) of institutions with a primary climate change focus.

Examples of methods for measuring specific climate change capacities of institutions include:

National Climate Change Adaptation Research Facility report “Disaster response and climate change in the Pacific”:

[http://www.nccarf.edu.au/sites/default/files/attached\\_files\\_publications/Gero-WilletsDisaster-Response-Climate-Change-Pacific.pdf](http://www.nccarf.edu.au/sites/default/files/attached_files_publications/Gero-WilletsDisaster-Response-Climate-Change-Pacific.pdf)

<p>“A framework for urban climate resilience”:  <a href="http://www.tandfonline.com/doi/abs/10.1080/17565529.2012.745389#.UZ4I7ldwVWW">http://www.tandfonline.com/doi/abs/10.1080/17565529.2012.745389#.UZ4I7ldwVWW</a>  <b>USAID/Indonesia’s use of this standard indicator:</b> Institutions are defined as community, district government, and national government institutions with the ability to plan and allocate budget.  Adaptive capacity is defined as the ability of communities, governments, and institutions to adopt alternative designs or management practices that may enable them to better cope with climate variability and change. An Adaptation Action Plan is a document that identifies and prioritizes measures (major activities, guidance, interventions, etc.). Capacity will be considered increased when communities, governments, and institutions are implementing all or some actions outlined in these Adaptation Action Plan.</p>
<p><b>Unit of Measure:</b> Number of institutions</p>
<p><b>Disaggregated by:</b> Clean energy capacity, Adaptation capacity, Sustainable Landscapes capacity, Cross-cutting climate change capacity</p>
<p><b>Rationale or Management Utility, Integration Approach (optional):</b> Improved governance and capable institutions are critical elements of the climate change initiative, and it is expected that institutional capacity will contribute to the long-term sustainability of the intervention.</p>
<p style="text-align: center;"><b>PLAN FOR DATA COLLECTION BY USAID</b></p>
<p><b>Activities/Implementing Mechanisms:</b> USAID/Indonesia current activities with climate change and adaptation funding (IFACS, IMACS, MPAG, IUWASH) and future activities.</p>
<p><b>Data Source:</b> Activity implementers should establish a baseline reference of initial institutional capacity to address climate change issues for all target institutions.</p>
<p><b>Method of Data Acquisition:</b> USAID implementing partners will be responsible for assessing an increase in institutional capacity.</p>
<p><b>Frequency and Timing of Data Acquisition:</b> Annual. Activity implementers should measure changes in institutional capacity to address climate change issues for each institution relative to its baseline assessment at regular reporting intervals throughout the life of the program.</p>
<p><b>Individual(s) Responsible for Data at USAID:</b> USAID/Indonesia Environment Office Climate Change and Adaptation activity Contracting Officer’s Representative (COR) / Activity Officer’s Representative (AOR) / Activity Manager (AM)</p>
<p><b>Individual(s) Responsible for Providing Data to USAID (optional):</b> USAID/Indonesia Climate Change and Adaptation activity Chiefs of Party (CoPs) and M&amp;E Managers</p>
<p><b>Location of Data Storage (optional):</b> USAID/Indonesia’s Performance Management (PM) Database</p>
<p style="text-align: center;"><b>DATA QUALITY ISSUES</b></p>
<p><b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> None</p>
<p><b>Date of Future Data Quality Assessments (optional):</b> September 2014</p>
<p><b>Potential Data Limitations and Significance (optional):</b> Integrity: This indicator’s data may depend on a subjective detection of capacity change, which may affect data integrity.  Precision: This indicator does not detect the magnitude of capacity improvement. It will report two institutions with different levels of improvement as both having had their capacity improved.  Accuracy: Accuracy may depend on the quality of an enumerator’s subjective judgment in scoring.  Reliability: If initial and subsequent capacity assessments use different methods, reliability will be degraded.  Timeliness: Many institutional capacity assessments are time-consuming.</p>
<p><b>Actions Taken or Planned to Address Data Limitations (optional):</b></p>
<p style="text-align: center;"><b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b></p>
<p><b>Data Analysis (optional):</b> This indicator will be analyzed comparing actuals to the baseline and targets. It will also be analyzed in conjunction with the other DO 3 IR 3 performance (and, if relevant, context) indicators to determine the extent to which the IR results statement is being achieved.</p>
<p><b>Mission/Team Review (optional):</b> This indicator data will be analyzed in early November of each year, in preparation for the Mission’s Portfolio Review focused on performance and on the PPR.</p>
<p style="text-align: center;"><b>BASELINE AND TARGETS</b></p>
<p><b>Baseline Timeframe (optional):</b> Baseline is start year of project. An initial assessment should be conducted or other sources used to assess institutions’ capabilities to deal with climate change before interventions are initiated.</p>

**Rationale for Targets** *(optional)*:

**Other Notes** *(optional)*:

**THIS SHEET WAS LAST UPDATED ON: 3/30/14**

**PIRS Template: 2/21/14**

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 3.3-3**

**Goal:** A stronger Indonesia advancing national and global development

**DO 3:** Global development priorities of mutual interest advanced

**IR 3.3/Project Purpose:** Climate change mitigation and resilience to support a green economy strengthened

**Linkage(s) to other Results Statements (be specific):**

**Number/Name of Performance Indicator:** 3.3-3 Number of laws, policies, strategies, plans, or regulations addressing climate change (mitigation or adaptation) and/or biodiversity conservation officially proposed, adopted, or implemented as a result of USG assistance (4.8.2-28)

**Performance Plan and Report Indicator:** Yes, reporting data for fiscal years 2014, 2015, 2016, 2017, and 2018

**Foreign Assistance Framework:** 4.8.2 Clean Productive Environment                      **Indicator Type:** Standard, Output

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s): USAID standard definition:** Laws, policies, strategies, plans, agreements or regulations include those measures developed to address climate change and/or biodiversity conservation issues. However, if a measure is not yet adopted, it must at least be formally proposed within an official government process to be reported. “Officially proposed” means that a relevant government official or agency with decision-making authority has proposed the measure publicly. Each piece of legislation can be counted once as “proposed” and once as “adopted,” if applicable. The indicator narrative should include an explanation of when each measure is counted. “Adopted” means officially codified or enacted by the national government entity with decision making authority in their national legal, regulatory, or policy system. Legal, regulatory and policy reform can incentivize investment in clean energy or energy laws, policies, strategies, plans, and regulations that address climate change and/or conservation may be integrated in scope (e.g., at a certain spatial scale or political boundary such as municipal, state, or national), or may address sectors, such as water, marine resources, forests, land use and agriculture, energy, trade, education and urban development. It is essential that the indicator narrative explain the connection between the measure and climate change or biodiversity. The narrative should be specific about what the reported number represents, particularly:

- What is the title of the measure?
- At what stage is it? (officially proposed or adopted)
- What is/are the institution(s) that will be implementing and/or enforcing the measure?
- How does the measure contribute to climate change mitigation or adaptation or biodiversity conservation?

**USAID/Indonesia’s use of this standard indicator:** Each sector (energy, forestry, marine, and climate change and adaptation) will have specific policies, strategies, agreements or regulations that will be reported under this performance indicator. While providing support to develop and implement laws are possible under these four sectors, they are very unlikely because of the time it takes to accomplish. Within each sector program, the individual project PMPs will identify the specific policy, strategy, agreement or regulation to be targeted for USAID/Indonesia assistance. Due to the time it takes to accelerate policy, strategy, agreement, or regulation from establishment to implementation, in each instance that a sector is reporting against this indicator it will be measured as a milestone. The steps along the milestone will be established, as relevant to the sector and policy, strategy, agreement, or regulation.

Within USAID/Indonesia’s marine program, results will focus on:

- National: Laws, ordinances, policies, guidelines, strategies, decrees (Ministerial or Directorate General), action plans and/or agreements among local jurisdictions for marine and coastal resource management
- Local (Province, District, Village): Laws, ordinances, policies, strategies, decrees (Governor or Bupati), action plans, guidelines and/or agreements among jurisdictions for marine and coastal resource management

Illustrations include: Fisheries Management Plan, MPA Management Plan, Marine and Coastal Zone Spatial Plan, Ecosystem Approach to Fisheries Management Guidelines, Marine Endangered Species Management Plan.

**Unit of Measure:** Number of laws, policies, strategies, plans, or regulations

**Disaggregated by:** Clean Energy related measure, Adaptation related measure, Forestry related measure, and Marine related measure. Disaggregated by type of policy measure and milestone, as established under each

sector. Disaggregated by governance level at which the measure takes place (i.e., national, district, private sector, community).
<b>Rationale or Management Utility, Integration Approach</b> (optional): An improved enabling environment through policy reform, strategy development and planning is essential for ensuring that efforts and investments in climate change and biodiversity have legal and strategic backing and institutional ownership. This indicator is used to establish the legal or regulatory framework which ultimately governs climate change and/or biodiversity management.
<b>PLAN FOR DATA COLLECTION BY USAID</b>
<b>Activities/Implementing Mechanisms:</b> All USAID/Indonesia energy, forestry, marine, and climate change and adaptation activities
<b>Data Source:</b> Project partners will collect data from information collected from collaborating governments, communities, private sector partners and other policy change agents. Key ministries include Ministry of Forestry, Ministry of Energy, Ministry of Marine Affairs and Fisheries and other relevant government authorities (Ministry of Home Affairs, Ministry of Finance, Ministry of Environment, Local Governments).
<b>Method of Data Acquisition:</b> Review conducted by USAID/Indonesia implementing partners (IPs) of policies, plans and regulations issued by governments, communities, and private sector partners.
<b>Frequency and Timing of Data Acquisition:</b> Annual
<b>Individual(s) Responsible for Data at USAID:</b> USAID/Indonesia Environment Office Contracting Officer's Representative (COR) / Activity Officer's Representative (AOR) / Activity Manager (AM)
<b>Individual(s) Responsible for Providing Data to USAID</b> (optional): USAID/Indonesia Environment Office awardee Chiefs of Party (COPs) and M&E Managers
<b>Location of Data Storage</b> (optional): USAID/Indonesia's Performance Management (PM) Database
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> None
<b>Date of Future Data Quality Assessments</b> (optional):
<b>Potential Data Limitations and Significance</b> (optional): Validity: If the intended result is an improved enabling environment, then the laws, policies, strategies, plans, and regulations, and procedures provides only a partial measure of success, given that effective implementation and enforcement are also critical. Measures might not be well-designed or effective. Timeliness: Preparatory studies may be required prior to proposal, adoption, or implementation of the measure. Precision: This indicator does not capture progress made along the way in terms of convening stakeholders, drafting, approving, and implementing/enforcing measures. The policy review and approval process from government depends on the government priorities at that time, if the government changes, the process to get the policy approved will be delayed. This has no relationship with the project's effectiveness or success.
<b>Actions Taken or Planned to Address Data Limitations</b> (optional): A clear indicator narrative within the Project level PMPs is critical for interpreting this indicator.
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis</b> (optional): This indicator will be analyzed comparing actuals to the baseline and targets. It will also be analyzed in conjunction with the other DO 3 IR 3 performance (and, if relevant, context) indicators to determine the extent to which the IR results statement is being achieved. Given the nature of this performance indicator, attention will be placed on understanding the significance of the achievements through a narrative.
<b>Mission/Team Review</b> (optional): This indicator data will be analyzed in early November of each year, in preparation for the Mission's Portfolio Review focused on performance and on the PPR.
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe</b> (optional):
<b>Rationale for Targets</b> (optional):
<b>Other Notes</b> (optional):
<b>THIS SHEET WAS LAST UPDATED ON: 3/30/14</b> <b>PIRS Template: 2/21/14</b>



**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 3.4-1**

**Goal:** A stronger Indonesia advancing national and global development

**DO 3:** Global development priorities of mutual interest advanced

**IR 3.4/Project Purpose:** Government of Indonesia (GOI) South-South and Triangular Cooperation strengthened

**Linkage(s) to other Results Statements (be specific):**

**Number/Name of Performance Indicator:** 3.4-1 Institutional Capacity Assessment Average Score

**Performance Plan and Report Indicator:** Yes, reporting data for fiscal years 2015, 2016, 2017, and 2018

**Foreign Assistance Framework:** Cross Cutting – Capacity Building **Indicator Type:** Custom, Outcome

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** This indicator reports the capacity of local organizations measured by changes in scores across seven key capacity areas using the Organizational Capacity Assessment (OCA) tool, which can be found at the following location: J:\Procurement Reform Objective Two\Organizational Capacity Assessment. The key capacity areas include:

- Governance
- Administration
- Human Resources Management
- Financial Management
- Organizational Management
- Program Management
- Project Performance Management

The Institutional Capacity Assessment tool will be developed jointly by USAID/Indonesia, the National Coordination Team (NCT), and other potential stakeholders (if any). It will be based on LOCA and other assessment models that will be decided jointly.

Operating units should record score data for each organization in their performance management plan files so changes in scores for each organization can be monitored over time (it is not necessary to report each organization's score in the PPR). In addition, each operating unit must include in their performance management plan files: the assessment tool used, a description of the methodology employed for its implementation, and the data source identified as the basis for the rating of each factor.

The result entered for this performance indicator is calculated using the following numerator and denominator.

**Numerator:** The total number of points scored. **Denominator:** The total number of points possible, which may vary depending on the inclusion of optional OCA sections where relevant (e.g. the sub-grant management section may or may not be relevant to the organization depending on program).

For purposes of indicator reporting, at the time of the award a "local organization" must,

- Be organized under the laws of the recipient country;
- Have its principal place of business in the recipient country;
- Be majority owned by individuals who are citizens or lawful permanent residents of the recipient country or be managed by a governing body, the majority of whom are citizens or lawful permanent residents of a recipient country; and
- Not be controlled by a foreign entity or by an individual or individuals who are not citizens or permanent residents of the recipient country.

The term "controlled by", means a majority ownership or beneficiary interest as defined above, or the power, either directly or indirectly, whether exercised or exercisable, to control the election, appointment, or tenure of the organization's managers or a majority of the organization's governing body by any means, e.g., ownership, contract, or operation of law. "Foreign entity" means an organization that fails to meet any part of the "local organization" definition. Government controlled and government owned organizations in which the recipient government owns a majority interest or in which the majority of a governing body are government employees,

<p>are included in the above definition of local organization. For regional platforms the definition of a local organization can be expanded to include regional organizations that meet the following criteria:</p> <ul style="list-style-type: none"> <li>• Be organized under the laws of a country in the region served by the platform;</li> <li>• Have its principal place of business in the region;</li> <li>• Be majority owned by individuals who are citizens or lawful permanent residents of the region or be managed by a governing body, the majority of whom are citizens or lawful permanent residents of the region; and</li> <li>• Not be controlled by a foreign entity or by an individual or individuals who are not citizens or permanent residents of the region.</li> </ul> <p>Both direct and indirect awardees should be included, as well as those local organizations who received USG assistance—such as training—to strengthen capacity, without receiving an award.</p>
<b>Unit of Measure:</b> Average score (Percentage)
<b>Disaggregated by:</b> None
<b>Rationale or Management Utility, Integration Approach (optional):</b> This indicator directly tracks the capacity of the designated GOI body in key aspects of its capacity to be able to implement and manage international assistance.
<b>PLAN FOR DATA COLLECTION BY USAID</b>
<b>Activities/Implementing Mechanisms:</b> TBD – Direct USAID/Indonesia SSTC implementing mechanisms (IMs)
<b>Data Source:</b> Assessment score sheet
<b>Method of Data Acquisition:</b> Review of assessment tool conducted by USAID/Indonesia staff. The assessment score sheet by working directly with the GOI designated body to conduct annual organizational capacity assessments. Note: Specific data sources for each score for each factor in the assessment will be documented in the performance management files for each organization being assessed
<b>Frequency and Timing of Data Acquisition:</b> Annual
<b>Individual(s) Responsible for Data at USAID:</b> USAID/Indonesia DO 3 IR 4 SSTC Coordinator
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b> TBD – GOI NCT Coordinator/Liaison and/or team members (MOFA, MOF, and State Secretariat)
<b>Location of Data Storage (optional):</b> USAID/Indonesia's Performance Management (PM) Database
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> None
<b>Date of Future Data Quality Assessments (optional):</b> 2015, Quarter 1
<b>Potential Data Limitations and Significance (optional):</b> While this is the indicator which most closely tracks actual organizational capacity, the variety of collection methods and possible tools present certain data quality issues. There is an issue of reliability. Within each operating unit reliability will depend upon rigorous implementation of a documented methodology for assessment. Records should be kept by each operating unit for each organization assessed and will be aggregated only for reporting purposes. Data is also subject to interpretation bias and there is a possibility that the assessment is intentionally manipulated for political or personal reasons. Therefore USAID/Indonesia must document how it determines what level of capacity has been attained across each of the factors assessed and include data sources that can be verified.
<b>Actions Taken or Planned to Address Data Limitations (optional):</b>
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis (optional):</b> This indicator will be analyzed comparing actuals to the baseline and targets. It will also be analyzed in conjunction with the other DO 3 IR 4 performance (and, if relevant, context) indicators to determine the extent to which the IR results statement is being achieved.
<b>Mission/Team Review (optional):</b> This indicator data will be analyzed in early November of each year, in preparation for the Mission's Portfolio Review focused on performance and on the PPR.
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe (optional):</b>
<b>Rationale for Targets (optional):</b>
<b>Other Notes (optional):</b>

**THIS SHEET WAS LAST UPDATED ON: 3/30/14**  
**PIRS Template: 2/21/14**

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 3.4-2**

**Goal:** A stronger Indonesia advancing national and global development

**DO 3:** Global development priorities of mutual interest advanced

**IR 3.4/Project Purpose:** Government of Indonesia (GOI) South-South and Triangular Cooperation strengthened

**Linkage(s) to other Results Statements (be specific):**

**Number/Name of Performance Indicator:** 3.4-2 Percentage of Government of Indonesia (GOI) Ministries reporting international development assistance to the designated GOI body

**Performance Plan and Report Indicator:** Yes, reporting data for fiscal years 2015, 2016, 2017, 2018

**Foreign Assistance Framework:** Outcome **Indicator Type:** Custom,

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** The designated Government of Indonesia (GOI) body is the National Coordination Team (NCT). The goal is for all GOI assistance to be aligned with their development strategy and priorities. The NCT does not know the total amount of assistance funds across the GOI and, therefore, would rather track the number of Ministries which are reporting assistance through the NCT rather than the percentage of Official Development Assistance (ODA), or development cooperation, sanctioned by the NCT. **Numerator:** Number of GOI Ministries reporting international development assistance to the NCT. **Denominator:** Total number of GOI Ministries involved in providing development assistance.

**Unit of Measure:** Percentage

**Disaggregated by:** None

**Rationale or Management Utility, Integration Approach (optional):**

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** TBD – Direct USAID/Indonesia SSTC implementing mechanisms (IMs)

**Data Source:** Ministry of Finance Development Cooperation report

**Method of Data Acquisition:** USAID/Indonesia DO 3 IR 4 SSTC team initiating NCT review and analysis of annual expenditures compiled by the Ministry of Finance

**Frequency and Timing of Data Acquisition:** Annual

**Individual(s) Responsible for Data at USAID:** USAID/Indonesia DO 3 IR 4 SSTC Coordinator/ DO 3 Team Leader

**Individual(s) Responsible for Providing Data to USAID (optional):** TBD – GOI NCT Coordinator/Liaison and/or team members (MOFA, MOF, and State Secretariat)

**Location of Data Storage (optional):** USAID/Indonesia’s Performance Management (PM) Database

**DATA QUALITY ISSUES**

**Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):** None

**Date of Future Data Quality Assessments (optional):** May/June 2015

**Potential Data Limitations and Significance (optional):** There is a concern about the accuracy and consistency of reporting of international assistance funded through GOI line ministries, however this indicator is only concerned with which Ministries are reporting ODA, or development cooperation, to the NCT.

**Actions Taken or Planned to Address Data Limitations (optional):** Actions to be taken will be informed by the PFMRAF and the institutional Capacity Assessment tool.

**PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING**

**Data Analysis (optional):** This indicator will be analyzed comparing actuals to the baseline and targets. It will also be analyzed in conjunction with the other DO 3 IR 4 performance (and, if relevant, context) indicators to determine the extent to which the IR results statement is being achieved.

**Mission/Team Review (optional):** This indicator data will be analyzed in early November of each year, in preparation for the Mission’s Portfolio Review focused on performance and on the PPR.

**BASELINE AND TARGETS**

**Baseline Timeframe (optional):**

**Rationale for Targets** *(optional)*:

**Other Notes** *(optional)*:

**THIS SHEET WAS LAST UPDATED ON: 3/30/14**

**PIRS Template: 2/21/14**

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 3.4-3**

**Goal:** A stronger Indonesia advancing national and global development

**DO 3:** Global development priorities of mutual interest advanced

**IR 3.4/Project Purpose:** Government of Indonesia (GOI) South-South and Triangular Cooperation strengthened

**Linkage(s) to other Results Statements (*be specific*):**

**Number/Name of Performance Indicator:** 3.4-3 Percentage of investment leveraged in U.S. dollars, from private and public sources, for South-South and triangular Cooperation (SSTC) as a result of USG assistance

**Performance Plan and Report Indicator:** Yes, reporting data for fiscal years 2015, 2016, 2017, 2018

**Foreign Assistance Framework:**  
Outcome

**Indicator Type:** Custom,

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** The National Coordination Team (NCT) defines the importance of South-South Cooperation in supporting and strengthening development cooperation by sharing information, experience and knowledge on the technical, economic, socio-cultural as well as science and technology cooperation among Southern Countries. Together, the Government of Indonesia (GOI), USAID, public and private sectors will collaborate to strengthen and improve Indonesia’s role as an emerging country through cooperation and partnership. The goal is to improve the collaboration and contribution from public and private sectors to the SSTC program led by NCT. **Numerator:** The annual amount of development cooperation funds from the public and private sectors. **Denominator:** The total annual amount of development cooperation funds that have been spent by the public and private sectors.

**Unit of Measure:** Percentage

**Disaggregated by:** Public and Private sectors

**Rationale or Management Utility, Integration Approach (*optional*):** The percentage of assistance program managed by the NCT from the public and private sectors as a result of collaboration effort between the NCT, USAID, and public and private partnership.

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** TBD – Direct USAID/Indonesia SSTC implementing mechanisms (IMs)

**Data Source:** NCT Leveraged Investment Report

**Method of Data Acquisition:** USAID/Indonesia DO 3 IR 4 SSTC team initiating NCT review and analysis of annual expenditures compiled by the Ministry of Finance

**Frequency and Timing of Data Acquisition:** Quarterly

**Individual(s) Responsible for Data at USAID:** USAID/Indonesia DO 3 IR 4 SSTC Coordinator

**Individual(s) Responsible for Providing Data to USAID (*optional*):** TBD – GOI NCT Coordinator/Liaison and/or team members (MOFA, MOF, and State Secretariat)

**Location of Data Storage (*optional*):** USAID/Indonesia’s Performance Management (PM) Database

**DATA QUALITY ISSUES**

**Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):** None

**Date of Future Data Quality Assessments (*optional*):** 2015, Quarter 2

**Potential Data Limitations and Significance (*optional*):** The accuracy and consistency of the data reported by the public and private sectors and the NCT. The determination that the investment from the public and private sectors as a result from USAID intervention.

**Actions Taken or Planned to Address Data Limitations (*optional*):**

**PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING**

**Data Analysis (*optional*):** This indicator will be analyzed comparing actuals to the baseline and targets. It will also be analyzed in conjunction with the other DO 3 IR 4 performance (and, if relevant, context) indicators to determine the extent to which the IR results statement is being achieved.

**Mission/Team Review (*optional*):** This indicator data will be analyzed in early November of each year, in preparation for the Mission’s Portfolio Review focused on performance and on the PPR.

<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe</b> <i>(optional):</i>
<b>Rationale for Targets</b> <i>(optional):</i>
<b>Other Notes</b> <i>(optional):</i>
<b>THIS SHEET WAS LAST UPDATED ON: 3/30/14</b> <b>PIRS Template: 2/21/14</b>

**DEVELOPMENT OBJECTIVE NO. 4**

USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 4-1
<b>Goal:</b> A stronger Indonesia advancing national and global development
<b>DO 4:</b> Collaborative Achievement in Science, Technology, and Innovation
<b>Linkage(s) to other Results Statements (be specific):</b>
<b>Number/Name of Performance Indicator:</b> Average score of Science, Technology, and Innovation (ST&I) Knowledge, Attitudes, and Behaviors (KAB) Survey
<b>Performance Plan and Report Indicator:</b> No <input checked="" type="checkbox"/> Yes <input type="checkbox"/> If yes, for which Fiscal Year(s): _____ If yes, link to foreign assistance framework: _____ <b>Indicator Type:</b>
PERFORMANCE INDICATOR DESCRIPTION
<b>Precise Definition(s):</b> The Knowledge, Attitudes, and Behavior (KAB) Survey is a Mission-designed survey to assess the knowledge, attitudes, and behaviors of science, technology, and innovation across Indonesia. The survey is a relative measure of KAB during the lifetime of the CDCS relative to the initial baseline survey. <b>Numerator:</b> Sum of all scores on KAB survey <b>Denominator:</b> Total number of KAB survey participants
<b>Unit of Measure:</b> Number, average score
<b>Disaggregated by:</b> Age of respondents; Sex of respondents; Geographic location of respondents
<b>Rationale or Management Utility, Integration Approach (optional):</b> This indicator provides a proxy measure of the strength of science, technology, innovation, and partnership that includes and looks beyond the S&T community. As this DO works to change knowledge, attitudes, and behaviors at a national level, this survey will help the Mission understand current strengths, weaknesses, and progress in this environment. Sex disaggregated data for this indicator will be used to inform the DO1 Gender Performance Evaluation on women’s leadership.
PLAN FOR DATA COLLECTION BY USAID
<b>Activities/Implementing Mechanisms:</b> Not applicable
<b>Data Source:</b> Annual KAB Survey data collection
<b>Method of Data Acquisition:</b> To be determined based on survey instrument design
<b>Frequency and Timing of Data Acquisition:</b> Annually; First survey administration to start one year from collection of baseline
<b>Individual(s) Responsible for Data at USAID:</b> DO4 Team Lead (TBD)
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b> N/A
<b>Location of Data Storage (optional):</b> TBD (Mission information system)
DATA QUALITY ISSUES
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> Never

**Date of Future Data Quality Assessments** (optional): During baseline data collection (notionally FY 15), 3 years later

**Potential Data Limitations and Significance** (optional): Ability to collect a representative nationwide survey; Different formats of data collection (survey tool) may introduce bias into the data collection process; Since this is a new survey tool, the questions may need revision between administrations to accurately capture intended information.

**Actions Taken or Planned to Address Data Limitations** (optional): In the survey design process, USAID/Indonesia will consider ways to minimize biases and ensure the data collected are representative of a diverse audience.

**PLAN FOR DATA COLLECTION BY USAID**

**Data Analysis** (optional): TBD

**Mission/Team Review** (optional): Annual Mission portfolio review

**BASELINE AND TARGETS**

**Baseline Timeframe** (optional): As soon as possible in FY 2015. Procurement action required to design and administer the survey. May be coupled with procurement of other opinion surveys across the DOs.

**Rationale for Targets** (optional): The Mission will select a percentage or numerical increase per calendar year (or fiscal year) that seems reasonable and feasible given resource allocation and expected outcomes.

**Other Notes** (optional):

**THIS SHEET WAS LAST UPDATED ON: 3/30/14**  
**PIRS Template: 2/21/14**

## USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 4-2

**Goal:** A stronger Indonesia advancing national and global development

**DO 4:** Collaborative Achievement in Science, Technology, and Innovation

**Linkage(s) to other Results Statements (*be specific*):**

**Number/Name of Performance Indicator:** 4-2: % of USAID mechanisms which support or incorporate science, technology, and innovation

**Performance Plan and Report Indicator:** No  Yes  **If yes, for which Fiscal Year(s):** \_\_\_\_\_ **If yes, link to foreign assistance framework:** \_\_\_\_\_  
**Indicator Type:**

### PERFORMANCE INDICATOR DESCRIPTION

**Precise Definition(s):** USAID mechanisms include contracts or grants awarded by USAID to external parties. Supporting or incorporating science, technology, and innovation requires the use of innovative processes and/or technologies, explicit objectives and interventions aimed at supporting science, technology, and innovation, or specific use of those mechanisms in furthering the goals of DO4.

**Numerator:** Number of USAID mechanisms which support or incorporate science, technology, and innovation  
**Denominator:** Number of USAID contractual or grant mechanisms

**Unit of Measure:** Percent, mechanism

**Disaggregated by:** Sector

**Rationale or Management Utility, Integration Approach (*optional*):** USAID/Indonesia is dedicated to an integrated strategy, which combines DO4 goals with those of other DOs. In order for DO4 to accomplish its objectives, other USAID activities must incorporate elements of science, technology, and innovation. This indicator allows the Mission to measure whether or not, and to what extent, that integration is occurring.

### PLAN FOR DATA COLLECTION BY USAID

**Activities/Implementing Mechanisms:** All

**Data Source:** Documentation of program activities

**Method of Data Acquisition:** USAID review of mechanisms

**Frequency and Timing of Data Acquisition:** Annual

**Individual(s) Responsible for Data at USAID:** DO4 Team Lead (TBD)

**Individual(s) Responsible for Providing Data to USAID (*optional*):**

**Location of Data Storage (*optional*):** TBD (Mission information system)

### DATA QUALITY ISSUES

**Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):** Never

**Date of Future Data Quality Assessments (*optional*):**

**Potential Data Limitations and Significance** (*optional*): This indicator counts the percentage of mechanisms incorporating ST&I rather than the number of individual uses. This means that one mechanism which supports or incorporates ST&I in a large and substantive way will be counted equally as those which are smaller or less substantial in nature.

**Actions Taken or Planned to Address Data Limitations** (*optional*):

**PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING**

**Data Analysis** (*optional*):

**Mission/Team Review** (*optional*):

**BASELINE AND TARGETS**

**Baseline Timeframe** (*optional*): As soon as possible

**Rationale for Targets** (*optional*):

**Other Notes** (*optional*):

**THIS SHEET WAS LAST UPDATED ON: 3/30/14**  
**PIRS Template: 2/21/14**

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 4-3**

**Goal:** A stronger Indonesia advancing national and global development

**DO 4:** Collaborative Achievement in Science, Technology, and Innovation

**Linkage(s) to other Results Statements (*be specific*):**

**Number/Name of Performance Indicator:** 4-3: US Dollar value of resources leveraged by non-USG sources in support of science, technology, and innovation

**Performance Plan and Report Indicator:** No  Yes  **If yes, for which Fiscal Year(s):** \_\_\_\_\_ **If yes, link to foreign assistance framework:** \_\_\_\_\_  
**Indicator Type:**

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** "Leverage" is defined as private sector contributions and resources (either cash and in-kind) aimed at expanding the reach, efficiency, effectiveness and/or sustainability of USAID interventions. "Non-USG sources" are any organizations or individuals outside of the US government, Indonesian or otherwise. "Science, technology, and innovation" includes all activities captured under this Development Objective.

**Numerator:** N/A **Denominator:** N/A

**Unit of Measure:** Money or value of in-kind contributions, USD

**Disaggregated by:** Type of source (government versus non-government); Type of contribution (financial versus in-kind)

**Rationale or Management Utility, Integration Approach (*optional*):** This indicator measures the level of commitment and support by other partners related to DO 4. An increase in leverage is also a proxy for more efficient use of USG resources to increase impact and for a more sustainable partnership or program.

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** Activities Mission-wide and across all technical sectors that include ST&I as part of their portfolio.

**Data Source:** Reporting by AOR/COR of USAID activities

**Method of Data Acquisition:** Routine data collection by M&E POC

**Frequency and Timing of Data Acquisition:** Annually, at the end of the Fiscal year

**Individual(s) Responsible for Data at USAID:** DO4 Team Lead (TBD)

**Individual(s) Responsible for Providing Data to USAID (*optional*):** N/A

**Location of Data Storage (*optional*):** TBD (Mission information system)

**DATA QUALITY ISSUES**

**Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):** Never

**Date of Future Data Quality Assessments (*optional*):** During baseline data collection (notionally FY 15), 3

years later

**Potential Data Limitations and Significance** *(optional)*: Consistency in reporting in-kind contributions; Practicality of identifying whether an activity includes support for ST&I across technical sectors

**Actions Taken or Planned to Address Data Limitations** *(optional)*: USAID/Indonesia will develop standardized collection process to ensure each AOR/COR reports leverage in the same way.

**PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING**

**Data Analysis** *(optional)*: TBD

**Mission/Team Review** *(optional)*: Annual Mission portfolio review

**BASELINE AND TARGETS**

**Baseline Timeframe** *(optional)*: As soon as possible in FY 2015.

**Rationale for Targets** *(optional)*: The Mission will select a percentage or numerical increase per calendar year (or fiscal year) that seems reasonable and feasible given resource allocation and expected outcomes.

**Other Notes** *(optional)*:

**THIS SHEET WAS LAST UPDATED ON: 3/30/14**  
**PIRS Template: 2/21/14**

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No.4-4**

**Goal:** A stronger Indonesia advancing national and global development

**DO 4:** Collaborative Achievement in Science, Technology, and Innovation

**Linkage(s) to other Results Statements (*be specific*):** TBD

**Number/Name of Performance Indicator:** 4-4: # of partnerships formed or strengthened which support science, technology, and innovation

**Performance Plan and Report Indicator:** No  Yes  **If yes, for which Fiscal Year(s):** \_\_\_\_\_ **If yes, link to foreign assistance framework:** \_\_\_\_\_  
**Indicator Type:**

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** “Partnerships” are arrangements (i.e. formal understanding, letter of support, MOU) between two or more entities committed to achieve mutual objectives using ST&I. A “strengthened” partnership is one that is expanding due to increases in funding or other types of contributions (in-kind, human resources). “Science, technology, and innovation” includes all Mission activities related to ST&I.

**Numerator:** N/A **Denominator:** N/A

**Unit of Measure:** #, partnerships

**Disaggregated by:** Geographic location of partners; technical sector focus (education, health, DG, environment, other)

**Rationale or Management Utility, Integration Approach (*optional*):** This indicator is a direct measure of collaborative achievement, the main DO-level result for DO 4.

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** Activities Mission-wide and across all technical sectors that include ST&I as part of their portfolio.

**Data Source:** Reporting by AOR/COR of USAID activities

**Method of Data Acquisition:** Routine data collection by M&E POC

**Frequency and Timing of Data Acquisition:** Annually, at the end of the Fiscal year

**Individual(s) Responsible for Data at USAID:** DO4 Team Lead (TBD)

**Individual(s) Responsible for Providing Data to USAID (*optional*):** N/A

**Location of Data Storage (*optional*):** TBD (Mission information system)

**DATA QUALITY ISSUES**

**Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):** Never

**Date of Future Data Quality Assessments (*optional*):** During baseline data collection (notionally FY 15), 3 years later

**Potential Data Limitations and Significance** (*optional*): This indicator does not fully capture the sustainability of the partnerships and looks only at the number (not quality). There are potential data collection inconsistencies with how a partnership is captured (organizational or individual levels).

**Actions Taken or Planned to Address Data Limitations** (*optional*): The Mission needs to determine whether to count partnerships at organizational and/or individual levels and remain consistent in how it is measured.

**PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING**

**Data Analysis** (*optional*): TBD

**Mission/Team Review** (*optional*): Annual Mission portfolio review

**BASELINE AND TARGETS**

**Baseline Timeframe** (*optional*): As soon as possible in FY 2015.

**Rationale for Targets** (*optional*): The Mission will select a percentage or numerical increase per calendar year (or fiscal year) that seems reasonable and feasible given resource allocation and expected outcomes.

**Other Notes** (*optional*):

**THIS SHEET WAS LAST UPDATED ON: 3/30/14  
PIRS Template: 2/21/14**

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 4.1-1**

**Goal:** A stronger Indonesia advancing national and global development

**DO 4:** Collaborative Achievement in Science, Technology, and Innovation

**IR 1/Project Purpose:** : Increased supply of high quality research

**Linkage(s) to other Results Statements (*be specific*):** TBD

**Number/Name of Performance Indicator:** 4.1-1: % of USG-supported articles published in peer review journals with at least one Indonesian author

**Performance Plan and Report Indicator:** No  Yes  **If yes, for which Fiscal Year(s):**  
**If yes, link to foreign assistance framework:** \_\_\_\_\_  
**Indicator Type:**

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** “USG-support” includes financial backing for research or publication as well as technical assistance in conducting, analyzing or publishing research. “Articles” may be based on primary or secondary data. A “peer reviewed journal” can be domestic or internationally focused; and refers to a publication which requires a rigorous review process to determine the validity and quality of findings and conclusions prior to publication. “Indonesian authors” are citizens of Indonesia or diaspora members; and are typically affiliated with an Indonesian institution.

**Numerator:** # of articles published **Denominator:** # of submitted articles

**Unit of Measure:** Percent articles

**Disaggregated by:** sex of author; institutional affiliation (each institution); technical sector (education, environment, health, DG, other); domestic/international publication

**Rationale or Management Utility, Integration Approach (*optional*):** This indicator reflects the both the quality of research being done (numerator) as well as the quantity of article submission (denominator). These two components have been identified as crucial to the achievement of an increased supply of research in Indonesia. Sex disaggregated data for this indicator will be used to inform the DO1 Gender Performance Evaluation on women’s leadership.

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** SHEA (University Partnerships); HELM; PRESTASI; PEER Science; PEER Health

**Data Source:** Document review of IP forms.

**Method of Data Acquisition:** Implementing partners will provide data based on communication from individual authors/researchers. This will typically take place through authors filling out a form with information regarding the titles, dates, and location of submission and publication.

**Frequency and Timing of Data Acquisition:** Annually at end of each calendar year

**Individual(s) Responsible for Data at USAID:** DO4, IR1 Designee (TBD)

<b>Individual(s) Responsible for Providing Data to USAID</b> <i>(optional)</i> : COPs for Implementing Mechanisms
<b>Location of Data Storage</b> <i>(optional)</i> : TBD (Mission information system)
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s)</b> : Never
<b>Date of Future Data Quality Assessments</b> <i>(optional)</i> : Prior to first time reporting on indicator; No more than 3 years after first DQA
<b>Potential Data Limitations and Significance</b> <i>(optional)</i> : Consistency of reporting among implementing mechanisms may vary, particularly given current activities with no reporting requirement on this indicator. Validity of this indicator also depends on authors reporting accurately. Biases may be introduced if authors are hesitant to report their submissions without them being published.
<b>Actions Taken or Planned to Address Data Limitations</b> <i>(optional)</i> : Will create standardized template to be used across mechanisms. Where possible, incorporate reporting requirement into new award agreements. Have strong communication with authors and IPs regarding utility of data and importance of accurate reporting.
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis</b> <i>(optional)</i> : Analyze in conjunction with 4.1.2 indicator on # studies published and conferences given to understand correlation between the two measures.
<b>Mission/Team Review</b> <i>(optional)</i> : Conducted in conjunction with Portfolio Review (particularly with education portfolio). Q1 annually.
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe</b> <i>(optional)</i> : December 2014
<b>Rationale for Targets</b> <i>(optional)</i> : Based on the baseline data, the Mission will select a percentage increase per calendar year that seems reasonable and feasible given resource allocation and expected outcomes.
<b>Other Notes</b> <i>(optional)</i> :
<b>THIS SHEET WAS LAST UPDATED ON: 3/30/14</b> <b>PIRS Template: 2/21/14</b>

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 4.1-2**

**Goal:** A stronger Indonesia advancing national and global development

**DO 4:** Collaborative Achievement in Science, Technology, and Innovation

**IR 1/Project Purpose:** Increased supply of high quality research

**Linkage(s) to other Results Statements (*be specific*):** TBD

**Number/Name of Performance Indicator:** 4.1-2: Average score of organizational capacity assessment for targeted institutions

**Performance Plan and Report Indicator:** No  Yes  If yes, for which Fiscal Year(s):  
**If yes, link to foreign assistance framework:** \_\_\_\_\_  
**Indicator Type:**

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** Organizational capacity assessment will be measured through the “*Organizational Capacity Assessment Tool (OCAT)*” scores of civil society and other institutions along 7 dimensions that are critical to effective organizations (governance, management practices, human resources, financial resources, service delivery, external relations, & sustainability). “*Targeted institutions*” are those that have been selected by USAID for financial or technical assistance.

**Numerator:** Sum of scores across all targeted institutions **Denominator:** Total number of targeted institutions

**Unit of Measure:** Average Score (To be determined based on review of tool prior to administration)

**Disaggregated by:** Type of institution; Location of institution

**Rationale or Management Utility, Integration Approach (*optional*):** Increasing institutional capacity across a variety of types of institutions is essential to achieving the outcomes under DO 4 and IR 1 specifically. The baseline scores will help determine the training and technical assistance needs of each institution and across all targeted institutions. Follow-up data collection will measure the growth in capacity during the course of USAID assistance and ensure USAID assistance is targeted towards the areas in most need of support.

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** SHEA (University Partnerships); HELM; Additional mechanisms TBD

**Data Source:** Completed scorecards for each targeted institution

**Method of Data Acquisition:** The first year of implementation the OCAT will be conducted for every targeted institution supported to collect the baseline OCAT score. The OCAT will be conducted annual from the date of previous assessment. If an institution is supported for more than one year, the OCAT will be conducted annually for each following fiscal year.  
 Once the OCAT has been scored, the original or scanned copies (or soft copies) of the scorecards with evidence of the “proof” of the answers should be collected and reviewed by the COP of the implementing mechanism to assess the quality and completeness of the scoring. The final scores and correctly totaled and averaged score will then be documented in the implementing mechanism’s M&E

database and/or data tracking system. The completed scorecards should then be filed in secure locations.
<b>Frequency and Timing of Data Acquisition:</b> Annually
<b>Individual(s) Responsible for Data at USAID:</b> DO4, IR1 Designee (TBD)
<b>Individual(s) Responsible for Providing Data to USAID</b> <i>(optional)</i> : COPs of implementing mechanisms
<b>Location of Data Storage</b> <i>(optional)</i> : TBD (Mission information system)
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> Never
<b>Date of Future Data Quality Assessments</b> <i>(optional)</i> : Prior to first time reporting on indicator; No more than 3 years after first DQA
<b>Potential Data Limitations and Significance</b> <i>(optional)</i> : There is a possibility of bias and/or there may be issues with recall by the targeted institution. Completeness of the assessment may depend on who from the targeted institution participates in the OCAT evaluation. Consistency across yearly assessments could be an issue, especially if the implementer conducting the self-assessment has high staff turnover. A key decision point is whether to collect data on all 7 dimensions or only areas where USAID is specifically working, as this will have implications for attribution.
<b>Actions Taken or Planned to Address Data Limitations</b> <i>(optional)</i> : Limitations can be mitigated by selecting experienced OCAT evaluators to conduct the assessments and standardizing methodology, scoring, and data collection for all targeted institutions. USAID must select the dimensions to be analyzed in advance of starting data collection and baselines to ensure consistency.
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis</b> <i>(optional)</i> : TBD
<b>Mission/Team Review</b> <i>(optional)</i> : Conducted in conjunction with Portfolio Review (particularly with education portfolio). Q1 annually.
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe</b> <i>(optional)</i> : December 2014
<b>Rationale for Targets</b> <i>(optional)</i> : Based on the baseline data, the Mission will designate a targeted increase in score per calendar year that seems reasonable and feasible given resource allocation and expected outcomes.
<b>Other Notes</b> <i>(optional)</i> :
<b>THIS SHEET WAS LAST UPDATED ON: 3/30/14</b> <b>PIRS Template: 2/21/14</b>

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 4.1-3**

**Goal:** A stronger Indonesia advancing national and global development

**DO 4:** Collaborative Achievement in Science, Technology, and Innovation

**IR 1/Project Purpose:** Increased supply of high quality research

**Linkage(s) to other Results Statements (be specific):** 4.1-1

**Number/Name of Performance Indicator:** 4.1-3: Ratio of citations to publications produced through USG-supported programs

**Performance Plan and Report Indicator:** No  Yes  **If yes, for which Fiscal Year(s):**  
**If yes, link to foreign assistance framework:** \_\_\_\_\_  
**Indicator Type:**

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** “*Publication*” (taken from 4.1-1): USG-support includes financial backing for research or publication as well as technical assistance in conducting, analyzing or publishing research. “*Citation*”: reference to a publication made in another peer-reviewed article. Such article can be published in domestic or international journal. Reference is made at any time after publication of article.

**Numerator:** Number of times publications produced by Indonesian researcher is cited **Denominator:** Number of publications produced by Indonesian researchers

**Unit of Measure:** Number of citations, Number of publications (captured from 4.1-1)

**Disaggregated by:** Citations/Publications made in domestic/international journals; sex of Indonesian researcher (or both researchers publishing and whose work is being cited); sector (education, environment, health, DG, other)

**Rationale or Management Utility, Integration Approach (optional):** This indicator reflects acceptance of the research taken place in Indonesia (numerator) and both the quality/quantity of article submissions (denominator). These two components have been identified as crucial to the achievement of an increased supply of research in Indonesia. Sex disaggregated data for this indicator will be used to inform the DO1 Gender Performance Evaluation on women’s leadership.

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** SHEA (University Partnerships), HELM; PRESTASI; PEER Science; PEER Health

**Data Source:** Citations will be captured from

**Method of Data Acquisition:** Implementing partners will provide data based on communication from individual authors/researchers. This will typically take place through authors filling out a form with information regarding the titles, dates, and location of submission and publication. Citations will be captured from

**Frequency and Timing of Data Acquisition:** Annual, at the end of the calendar year

**Individual(s) Responsible for Data at USAID:** DO4, IR1 Designee (TBD)

<b>Individual(s) Responsible for Providing Data to USAID</b> <i>(optional)</i> : COPs for Implementing Partners
<b>Location of Data Storage</b> <i>(optional)</i> : TBD (Mission information system)
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s)</b> : Never
<b>Date of Future Data Quality Assessments</b> <i>(optional)</i> : Prior to first time reporting on indicator; No more than 3 years after first DQA
<b>Potential Data Limitations and Significance</b> <i>(optional)</i> : Consistency of reporting among implementing mechanisms may vary, particularly given current activities with no reporting requirement on this indicator. Validity of this indicator also depends on authors reporting accurately. Biases may be introduced if authors are hesitant to report their submissions without them being published. Capturing citations may be difficult, depending on methods/sites used to capture citation records.
<b>Actions Taken or Planned to Address Data Limitations</b> <i>(optional)</i> : Will create standardized template to be used across mechanisms. Where possible, incorporate reporting requirement into new award agreements. Have strong communication with authors and IPs regarding utility of data and importance of accurate reporting. Will need to share with IPs which site IPs should use to record their article citation history (for consistency, among publications produced/cited in the various sectors).
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis</b> <i>(optional)</i> :
<b>Mission/Team Review</b> <i>(optional)</i> : Conducted by xxx in conjunction with Portfolio Review (particularly with education portfolio). Q1 annually.
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe</b> <i>(optional)</i> : December 2014
<b>Rationale for Targets</b> <i>(optional)</i> : Based on the baseline data, the mission will select a percentage increase per calendar year that seems reasonable and feasible given resource allocation and expected outcomes.
<b>Other Notes</b> <i>(optional)</i> :
<b>THIS SHEET WAS LAST UPDATED ON: 3/30/14</b> <b>PIRS Template: 2/21/14</b>

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 4.1-4**

**Goal:** A stronger Indonesia advancing national and global development

**DO 4:** Collaborative Achievement in Science, Technology, and Innovation

**IR 1/Project Purpose:** Increased supply of high quality research

**Linkage(s) to other Results Statements (*be specific*):**

**Number/Name of Performance Indicator:** 4.1-4: Number of scientific studies published or conference presentations given as a result of USG assistance for research programs (STIR-6)

**Performance Plan and Report Indicator:** No  Yes  **If yes, for which Fiscal Year(s):**  
**If yes, link to foreign assistance framework:** \_\_\_\_\_  
**Indicator Type:**

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):**

**STANDARD**

The indicator defines “*scientific studies*” broadly to include all fields of science, technology, engineering, and mathematics. “*Published*” is defined broadly to include publication in such formats as peer reviewed journals and non-peer reviewed technical reports, including traditional paper or electronic formats. “*Conference presentations*” is defined widely to include formal presentations at workshops, meetings, and other gathering of professional within a specific discipline of study. *USG assistance* is defined to include grants or other awards of funding to support scientific studies, as defined above, where the purpose of the award is to directly support research and the distribution of the outcomes of this research – whether through publication or presentations – is a logical and expected outcome.

“*Research programs*” is defined to include applied, development, or basic research.

- “*Applied research*” is defined as a systematic study to gain knowledge or understanding necessary to determine the means by which a recognized and specific need may be met.
- “*Development research*” is defined as the systematic application of knowledge or understanding, directed toward the production of useful materials, devices, and systems or methods, including design, development, and improvement of prototypes

**Numerator:** N/A **Denominator:** N/A

**Unit of Measure:** Number, studies published or conference presentations

**Disaggregated by:** Type of research (applied, development, and basic), studies published or conference presentations given

**Rationale or Management Utility, Integration Approach (*optional*):** The number of published scientific reports or conference presentations is a useful proxy to the state of science and technological development. High rates of publications and presentations suggest a healthy environment for science in which empirical data is presented, challenged, confirmed or rejected often leading to increased scientific enterprise output.

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** SHEA (University Partnerships); HELM; PRESTASI; PEER Science; PEER Health

**Data Source:** The data source will come from results reporting documentation from implementers of

USG-funded programs or activities. Publication records are additionally available through journal databases including Science Direct (www.sciencedirect.com), JSTOR (www.jstor.org), and PubMed (www.pubmed.com). These records are updated in real-time as new articles are published.
<b>Method of Data Acquisition:</b> Reporting by COP of implementing mechanism and/or searches in select journal databases.
<b>Frequency and Timing of Data Acquisition:</b> Annually
<b>Individual(s) Responsible for Data at USAID:</b> DO4, IR1 Designee (TBD)
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b> COPs of implementing mechanisms
<b>Location of Data Storage (optional):</b> TBD (Mission information system)
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> Never
<b>Date of Future Data Quality Assessments (optional):</b> Prior to first time reporting on indicator; No more than 3 years after first DQA
<b>Potential Data Limitations and Significance (optional):</b> The lag time between when research is conducted and findings are published or presented may make it difficult for implementing partners to capture results during the life of an activity, resulting in an under reporting of the actual number of papers or presentations that result from USG investments in research. This indicator may not differentiate between the same data published in multiple venues versus publications revealing new data. This may result in incorrect attribution of the impact of USG research funding on the reporting of results of research. The same applies to conference presentations to distinguish between multiple presentations about the same dataset.
<b>Actions Taken or Planned to Address Data Limitations (optional):</b> USAID/Indonesia will be careful to request information from the COP that reduces the issues in data collection outlined above.
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis (optional):</b> TBD
<b>Mission/Team Review (optional):</b> Conducted by xxx in conjunction with Portfolio Review (particularly with education portfolio). Q1 annually.
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe (optional):</b> Indicator baseline will be established by the operating unit within the first months of activity start-up.
<b>Rationale for Targets (optional):</b> TBD
<b>Other Notes (optional):</b>
<b>THIS SHEET WAS LAST UPDATED ON: 3/30/14 PIRS Template: 2/21/14</b>

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 4.1.1-1**

**Goal:** A stronger Indonesia advancing national and global development

**DO 4:** Collaborative Achievement in Science, Technology, and Innovation

**IR 1/Project Purpose:** Increased supply of high quality research

**Sub-IR 1.1/Project Sub-Purpose:** Improved environment for merit-based research

**Linkage(s) to other Results Statements (*be specific*):**

**Number/Name of Performance Indicator:** 4.1.1-1: Ranking of Indonesian universities

**Performance Plan and Report Indicator:** No  Yes  **If yes, for which Fiscal Year(s):**

**If yes, link to foreign assistance framework:** \_\_\_\_\_

**Indicator Type:**

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** Given several global university ranking that exist and the unavailable national higher education ranking, this indicator will adopt the Webometrics University Ranking which annually publish the Global University Ranking. Each university is assigned an overall index of ranking at global, regional and country levels. Every six months an independent, objective, free, open scientific exercise is performed by the Cybermetrics Lab which promotes scientific publications and other academic materials at universities. Indicators include measuring the impact, presence, openness, and excellence to research activity. The Webometrics was developed to incorporate internationally comparable data, allowing for aggregation of research program outcomes across multiple countries.

**Unit of Measure:** Ranking Index

**Disaggregated by:** Country vs Regional vs Global Ranking

**Rationale or Management Utility, Integration Approach (*optional*):**

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** SHEA/University Partnerships; HELM; PRESTASI II and III; PEER Science and Health; Research Innovation Fellowship

**Data Source:** The data source for this indicator is The Ranking Web University (<http://www.webometrics.info/en>). It is an annual indicator.

**Method of Data Acquisition:** Implementing partners to fill out template describing changes in the university ranking during the calendar year.

**Frequency and Timing of Data Acquisition:** Two times/per fiscal year

**Individual(s) Responsible for Data at USAID:** M&E Specialist (PRO) and/or designee from EDU

**Individual(s) Responsible for Providing Data to USAID (*optional*):** Implementing Partner (Project Director/M&E Specialist)

**Location of Data Storage (*optional*):** TBD

**DATA QUALITY ISSUES**

<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b>
<b>Date of Future Data Quality Assessments</b> (optional): Prior to first time reporting on indicator; No more than 3 years after first DQA
<b>Potential Data Limitations and Significance</b> (optional):
<b>Actions Taken or Planned to Address Data Limitations</b> (optional):
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis</b> (optional):
<b>Mission/Team Review</b> (optional):
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe</b> (optional):
<b>Rationale for Targets</b> (optional):
<b>Other Notes</b> (optional):
<b>THIS SHEET WAS LAST UPDATED ON: 3/30/14</b> <b>PIRS Template: 2/21/14</b>

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 4.1.1-2**

**Goal:** A stronger Indonesia advancing national and global development

**DO 4:** Collaborative Achievement in Science, Technology, and Innovation

**IIR 1/Project Purpose:** Increased supply of high quality research

**Sub-IR 1.1/Project Sub-Purpose:** Improved environment for merit-based research

**Linkage(s) to other Results Statements (be specific):**

**Number/Name of Performance Indicator:** 4.1.1-2: Amount of money available for research

**Performance Plan and Report Indicator:** No  Yes  If yes, for which Fiscal Year(s):

If yes, link to foreign assistance framework:

Indicator Type:

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** The funding made available to support research activity in the area of science and social science. This includes all funding made available by business enterprises, governments, universities and other institutions of higher learning, and not-for-profit research institutes irrespective of funding sources. The amount unit should be in USD. Other currency needs to be converted to USD (e.g. IDR).

**Unit of Measure:** \$ amount

**Disaggregated by:** government vs non-government institutions; central vs local government; foundations; higher education institutions

**Rationale or Management Utility, Integration Approach (optional):**

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** SHEA/University Partnerships; HELM; PRESTASI II and III; PEER Science and Health; Research Innovation Fellowship

**Data Source:** Review of annual reports from Implementing Partners

**Method of Data Acquisition:** Implementing partners to fill out template describing amount available for the research activities during calendar year (TBD based on requests from other indicators)

**Frequency and Timing of Data Acquisition:** Two times/per fiscal year (September and March)

**Individual(s) Responsible for Data at USAID:** M&E Specialist (PRO) and/or designee from EDU

**Individual(s) Responsible for Providing Data to USAID (optional):** Implementing Partner (Project Director/M&E Specialist)

**Location of Data Storage (optional):** TBD

**DATA QUALITY ISSUES**

**Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):** Not Applicable

**Date of Future Data Quality Assessments (optional):** Prior to first time reporting on indicator; No more than 3 years after first DQA

**Potential Data Limitations and Significance (optional):**

**Actions Taken or Planned to Address Data Limitations (optional):**

**PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING**

**Data Analysis (optional):**

**Mission/Team Review (optional):**

**BASELINE AND TARGETS**

**Baseline Timeframe (optional):**

**Rationale for Targets (optional):**

**Other Notes (optional):**

**THIS SHEET WAS LAST UPDATED ON: 3/30/14  
PIRS Template: 2/21/14**

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 4.1.1-3**

**Goal:** A stronger Indonesia advancing national and global development

**DO 4:** Collaborative Achievement in Science, Technology, and Innovation

**IR 1/Project Purpose:** Increased supply of high quality research

**Sub-IR 1.1/Project Sub-Purpose:** Improved environment for merit-based research

**Linkage(s) to other Results Statements (*be specific*):**

**Number/Name of Performance Indicator:** 4.1.1-3: % of merit-based research proposals which are awarded to USG-supported authors

**Performance Plan and Report Indicator:** No \_\_\_ Yes \_\_\_ If yes, for which Fiscal Year(s):  
**If yes, link to foreign assistance framework:** \_\_\_\_\_  
**Indicator Type:**

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** This indicator measures the number of awards given to the successful proposals by business enterprises, governments, universities and other institutions of higher learning, and not-for-profit research institutes that pass the peer-review process, to be compared to the accepted applications, both individual and joint research. The successful proposals include in the area of science and social science. **Numerator:** awarded proposal; **Denominator:** accepted application

**Unit of Measure:**

**Disaggregated by:** sex of authors; institutions; government vs private organizations; geographic locations (focus on 14 provinces within CDCS priority areas)

**Rationale or Management Utility, Integration Approach (*optional*):**

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** SHEA/University Partnerships; HELM; PRESTASI II and III, PEER Science and Health; Research Innovation Fellowship

**Data Source:** Review of annual reports from Implementing Partners

**Method of Data Acquisition:** Implementing partners to fill out template describing number and percentage of awarded proposals, during the calendar year (TBD based on requests from other indicators)

**Frequency and Timing of Data Acquisition:** Two times/per fiscal year (September and March)

**Individual(s) Responsible for Data at USAID:** M&E Specialist (PRO) and/or designee from EDU

**Individual(s) Responsible for Providing Data to USAID (*optional*):** Implementing Partner (Project Director/M&E Specialist)

<b>Location of Data Storage</b> <i>(optional)</i> : TBD
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s)</b> : Not Applicable
<b>Date of Future Data Quality Assessments</b> <i>(optional)</i> : Prior to first time reporting on indicator; No more than 3 years after first DQA
<b>Potential Data Limitations and Significance</b> <i>(optional)</i> :
<b>Actions Taken or Planned to Address Data Limitations</b> <i>(optional)</i> :
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis</b> <i>(optional)</i> :
<b>Mission/Team Review</b> <i>(optional)</i> :
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe</b> <i>(optional)</i> :
<b>Rationale for Targets</b> <i>(optional)</i> :
<b>Other Notes</b> <i>(optional)</i> :
<b>THIS SHEET WAS LAST UPDATED ON: 3/30/14</b> <b>PIRS Template: 2/21/14</b>

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 4.1.2-1**

**Goal: A stronger Indonesia advancing national and global development**

**DO 4: Collaborative Achievement in Science, Technology, and Innovation**

**IIR 1/Project Purpose: Increased supply of high quality research**

**Sub-IR 1.2/Project Sub-Purpose: Domestic and global scientific knowledge exchange strengthened**

**Linkage(s) to other Results Statements (be specific):**

**Number/Name of Performance Indicator: 4.1.2-1 : # of scientific studies published or conference presentations given as a result of USG assistance for research programs**

**Performance Plan and Report Indicator: No      Yes      If yes, for which Fiscal Year(s):**  
**If yes, link to foreign assistance framework:**  
**Indicator Type:**

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):**The indicator defines “scientific studies” broadly to include all fields of science, technology, engineering, and mathematics. “Published” is defined broadly to include publication in such formats as peer reviewed journals and non-peer reviewed technical reports, including traditional paper or electronic formats.

“Conference presentations” is defined widely to include formal presentations at workshops, meetings, and other gathering of professional within a specific discipline of study.

USG assistance is defined to include grants or other awards of funding to support scientific studies, as defined above, where the purpose of the award is to directly support research and the distribution of the outcomes of this research – whether through publication or presentations – is a logical and expected outcome.

“Research programs” is defined to include applied, development, or basic research.

- “Applied research” is defined as a systematic study to gain knowledge or understanding necessary to determine the means by which a recognized and specific need may be met.

- “Development research” is defined as the systematic application of knowledge or understanding, directed toward the production of useful materials, devices, and systems or methods, including design, development, and improvement of prototypes and new processes to meet specific requirements.

- “Basic research” is defined as the systematic study directed toward fuller knowledge or understanding of the fundamental aspects of phenomena and of observable facts without specific applications toward processes or products in mind.

**Unit of Measure:** Number of scientific studies published, both individual or as a group, that include domestic and international publications. Publications can be in the form of journal articles, books, or electronic version for public and/or intended only for subscribers. Scientific studies publications include research paper result, case study, article review, theory research paper. Number of individual providing presentation on scientific studies at conferences domestic and international.

**Disaggregated by:** Individual vs group published journal; domestic vs international; journal article, books or electronic version; type of publications.

**Rationale or Management Utility, Integration Approach (optional):** The large number of scientific

education published and individual presenting result of their scientific studies in domestic or international level are indication of the domestic and global scientific knowledge exchange strengthened.

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** SHEA/University Partnerships; HELM; PRESTASI II and III; PEER Science and Health; Research Innovation Fellowship; and future program related to Science and Technology.

**Data Source:** Review of annual reports from Implementing Partners

**Method of Data Acquisition:** Implementing partners to fill out template describing number of number of scientific publications, during the fiscal/calendar year.

**Frequency and Timing of Data Acquisition:** Two times/per fiscal year (September and March)

**Individual(s) Responsible for Data at USAID:** M&E Specialist (PRO) and/or designee from EDU

**Individual(s) Responsible for Providing Data to USAID (optional):** Implementing Partner (Project Director/M&E Specialist)

**Location of Data Storage (optional):** TBD

**DATA QUALITY ISSUES**

**Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):** Never

**Date of Future Data Quality Assessments (optional):** Prior to first time reporting on indicator; No more than 3 years after first DQA

**Potential Data Limitations and Significance (optional):**

**Actions Taken or Planned to Address Data Limitations (optional):**

**PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING**

**Data Analysis (optional):**

**Mission/Team Review (optional):**

**BASELINE AND TARGETS**

**Baseline Timeframe (optional):**

**Rationale for Targets (optional):**

**Other Notes (optional):**

**THIS SHEET WAS LAST UPDATED ON: 3/30/14  
PIRS Template: 2/21/14**

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 4.1.2-2**

**Goal:** A stronger Indonesia advancing national and global development

**DO 4:** Collaborative Achievement in Science, Technology, and Innovation

**IR 1/Project Purpose:** Increased supply of high quality research

**Sub-IR 1.2/Project Sub-Purpose:** Domestic and global scientific knowledge exchange strengthened

**Linkage(s) to other Results Statements (*be specific*):**

**Number/Name of Performance Indicator:** 4.1.2-2: # of individual USAID-supported exchanges

**Performance Plan and Report Indicator:** No  Yes  **If yes, for which Fiscal Year(s):**

**If yes, link to foreign assistance framework:** \_\_\_\_\_

**Indicator Type:**

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** Number of individual exchanges, both in-person and virtual, include domestic and international. In-person exchanges can be both short-term (2 days minimum to 6 months) and long-term (more than 6 months) assignments. Exchanges are between individuals in which data, research results, lessons learned, best practices, human resources and/or curriculum is shared. The exchange can be reciprocal or one-sided (i.e. in the case of internships, fellowships, etc.). USAID support include both financial and technical support.

**Unit of Measure:** Number

**Disaggregated by:** In-person vs virtual; domestic vs international; long-term vs short-term; sex ; institution; geographic locations (focus on 14 provinces within CDCS priority areas)

**Rationale or Management Utility, Integration Approach (*optional*):**

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** SHEA/University Partnerships; HELM; PRESTASI II and III; PEER Science and Health; Research Innovation Fellowship; and future program related to Science and Technology.

**Data Source:** Review of annual reports from Implementing Partners

**Method of Data Acquisition:** Implementing partners to fill out template describing number of exchanges occurred, during the calendar year (TBD based on requests from other indicators)

**Frequency and Timing of Data Acquisition:** Two times/per fiscal year (September and March)

**Individual(s) Responsible for Data at USAID:** M&E Specialist (PRO) and/or designee from EDU

**Individual(s) Responsible for Providing Data to USAID (*optional*):** Implementing Partner (Project Director/M&E Specialist)

**Location of Data Storage (*optional*):** TBD

**DATA QUALITY ISSUES**

<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> Never
<b>Date of Future Data Quality Assessments</b> (optional): Prior to first time reporting on indicator; No more than 3 years after first DQA
<b>Potential Data Limitations and Significance</b> (optional):
<b>Actions Taken or Planned to Address Data Limitations</b> (optional):
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis</b> (optional):
<b>Mission/Team Review</b> (optional):
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe</b> (optional):
<b>Rationale for Targets</b> (optional):
<b>Other Notes</b> (optional):
<b>THIS SHEET WAS LAST UPDATED ON: 3/30/14</b> <b>PIRS Template: 2/21/14</b>

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 4.1.2-3**

**Goal:** A stronger Indonesia advancing national and global development

**DO 4:** Collaborative Achievement in Science, Technology, and Innovation

**IR 1/Project Purpose:** Increased supply of high quality research

**Sub-IR 1.2/Project Sub-Purpose:** Domestic and global scientific knowledge exchange strengthened

**Linkage(s) to other Results Statements (*be specific*):**

**Number/Name of Performance Indicator:** 4.1.2-3: % of funding coming from USG versus non-USG sources for domestic and global knowledge exchanges

**Performance Plan and Report Indicator:** No  Yes  **If yes, for which Fiscal Year(s):**  
**If yes, link to foreign assistance framework:** \_\_\_\_\_  
**Indicator Type:**

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** Measuring the source of funding from USAID to compare the source from non USAID sources to increase the exchange knowledge for domestic and international level. The assumption of this indicator is that increasing funding to support scientific research and related activities will strengthen domestic and global scientific knowledge exchanges.

**Unit of Measure:** Percentage

**Disaggregated by:** USG funding especially USAID fund vs non-USG fund source including funding from private sectors

**Rationale or Management Utility, Integration Approach (*optional*):**

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** SHEA/University Partnerships; HELM; PRESTASI II and III; PEER Science and Health; Research Innovation Fellowship; and future program related to Science and Technology.

**Data Source:** : Review of annual reports from Implementing Partners

**Method of Data Acquisition:** : Implementing partners to fill out template describing amount of funding from USAID and non-USAID resources including funding from private sector, during the calendar year (TBD based on requests from other indicators)

**Frequency and Timing of Data Acquisition:** Two times/per fiscal year (September and March)

**Individual(s) Responsible for Data at USAID:** M&E Specialist (PRO) and/or designee from EDU

**Individual(s) Responsible for Providing Data to USAID (*optional*):** Implementing Partner (Project Director/M&E Specialist)

**Location of Data Storage (*optional*):** TBD

**DATA QUALITY ISSUES**

<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> Never
<b>Date of Future Data Quality Assessments</b> (optional): Prior to first time reporting on indicator; No more than 3 years after first DQA
<b>Potential Data Limitations and Significance</b> (optional):
<b>Actions Taken or Planned to Address Data Limitations</b> (optional):
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis</b> (optional):
<b>Mission/Team Review</b> (optional):
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe</b> (optional):
<b>Rationale for Targets</b> (optional):
<b>Other Notes</b> (optional):
<b>THIS SHEET WAS LAST UPDATED ON: 3/30/14</b> <b>PIRS Template: 2/21/14</b>

USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 4.1.3-1
<b>Goal:</b> A stronger Indonesia advancing national and global development
<b>DO 4:</b> Collaborative Achievement in Science, Technology, and Innovation
<b>IIR 1/Project Purpose:</b> Increased supply of high quality research
<b>Sub-IR 1.3/Project Sub-Purpose:</b> Opportunity for science* in higher education improved *science refers to ST&I's definition of science, which includes social sciences
<b>Linkage(s) to other Results Statements (be specific):</b>
<b>Number/Name of Performance Indicator:</b> 4.1.3-2: % of USAID/Indonesia-supported graduates entering the science and technology field
<b>Performance Plan and Report Indicator:</b> No <input checked="" type="checkbox"/> Yes <input type="checkbox"/> If yes, for which Fiscal Year(s): If yes, link to foreign assistance framework: _____ <b>Indicator Type:</b> Output/Outcome
PERFORMANCE INDICATOR DESCRIPTION
<b>Precise Definition(s):</b> USAID-support includes academic degree for Master's and PhD's degree related to fields that USAID/Indonesia working for. After graduates the participants who are supported by USAID working as in the field of science and technology. <b>Numerator:</b> # of scholarship received academic degree <b>Denominator:</b> # of USAID/I's scholarship doing research in science and technology.
<b>Unit of Measure:</b> Percent of USAID/I scholarship recipients working in science and technology field
<b>Disaggregated by:</b> Gender, geographical focus, private or public university
<b>Rationale or Management Utility, Integration Approach (optional):</b> This indicator reflects both quality for the individual for gaining more knowledge and skills as well as quantity for sending more people to achieve the academic degree.
PLAN FOR DATA COLLECTION BY USAID
<b>Activities/Implementing Mechanisms:</b> Program that has academic degree activities such as PRESTASI, E2J, UPS and future degree granting activities.
<b>Data Source:</b> USAID TraiNet system,
<b>Method of Data Acquisition:</b> Implementing partners will provide data information into the TraiNet system for all academic degree scholars.
<b>Frequency and Timing of Data Acquisition:</b> Annually at the end of the calendar year
<b>Individual(s) Responsible for Data at USAID:</b> DO4, IR1 Designee (TBD)
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b> Implementing Partner and COR
<b>Location of Data Storage (optional):</b> Implementing partner

<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> Never
<b>Date of Future Data Quality Assessments</b> (optional): Prior to first time reporting on indicator; No more than 3 years after first DQA
<b>Potential Data Limitations and Significance</b> (optional): Consistency with the data entry into the TraiNet system with each implementing partner who has academic degree activity. Validity of this indicator also depends with the implementing partner in entering the participant's data information into the TraiNet system.
<b>Actions Taken or Planned to Address Data Limitations</b> (optional): Makes sure will incorporate wording to include TraiNet data entry in the contract/grant/CA etc.
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis</b> (optional): Analyze in conjunction with the # 4.3.3 of participants which is entered into the TraiNet system.
<b>Mission/Team Review</b> (optional):
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe</b> (optional): FY 2013
<b>Rationale for Targets</b> (optional): Based on the baseline data, the Mission will select a percentage increase per calendar year that seems reasonable and feasible given resource allocation and expected outcomes.
<b>Other Notes</b> (optional):
<b>THIS SHEET WAS LAST UPDATED ON: 3/30/14</b> <b>PIRS Template: 2/21/14</b>

<b>USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 4.1.3-2</b>
<b>Goal:</b> A stronger Indonesia advancing national and global development
<b>DO 4:</b> Collaborative Achievement in Science, Technology, and Innovation
<b>IR 1/Project Purpose:</b> Increased supply of high quality research
<b>Sub-IR 1.3/Project Sub-Purpose:</b> Opportunity for science* in higher education improved *science refers to ST&I's definition of science, which includes social sciences
<b>Linkage(s) to other Results Statements (be specific):</b>
<b>Number/Name of Performance Indicator:</b> 4.1.3-2: # of participants in USAID/Indonesia-supported science-related trainings (degree and non-degree)
<b>Performance Plan and Report Indicator:</b> No ___ Yes ___ If yes, for which Fiscal Year(s): If yes, link to foreign assistance framework: _____ <b>Indicator Type:</b> Output/Outcome
<b>PERFORMANCE INDICATOR DESCRIPTION</b>
<b>Precise Definition(s):</b> USAID-support includes long- and short-term training related to fields that USAID/Indonesia working for. <b>Numerator:</b> # of long- and short-term training in the field of science and technology <b>Denominator:</b> # of USAID/I's recipients doing research in science and technology.
<b>Unit of Measure:</b> Number of participants in the field of science and technology
<b>Disaggregated by:</b> Gender, geographical focus, private and public universities
<b>Rationale or Management Utility, Integration Approach (optional):</b> This indicator reflects both quality for the individual to gain more knowledge and skills as well as quantity for sending more people to attend long- and short-term training.
<b>PLAN FOR DATA COLLECTION BY USAID</b>
<b>Activities/Implementing Mechanisms:</b> Program that has long- and short-term training activities in the field of science and technology such as PRESTASI, and future degree granting activities.
<b>Data Source:</b> TraiNet system
<b>Method of Data Acquisition:</b> Implementing partners will provide data information into the TraiNet system for all training activities in the U.S., third-country or in-country training. A report on all training activities which has been entered into the TraiNet system will be reported annually.
<b>Frequency and Timing of Data Acquisition:</b> Annually at the end of the calendar year
<b>Individual(s) Responsible for Data at USAID:</b> DO4, IR1 Designee (TBD)
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b> Implementing partner and COR/AOR
<b>Location of Data Storage (optional):</b> Implementing partner

<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> Never
<b>Date of Future Data Quality Assessments</b> (optional): Prior to first time reporting on indicator; No more than 3 years after first DQA
<b>Potential Data Limitations and Significance</b> (optional): Consistency with the data entry into the TraiNet system for each implementing partner who has training activity in the U.S., third-country and in-country. Validity of this indicator also depends with the implementing partner in entering the training data information into the TraiNet system.
<b>Actions Taken or Planned to Address Data Limitations</b> (optional): Makes sure will incorporate wording to include TraiNet data entry in the contract/grant/CA etc.
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis</b> (optional): Analyze in conjunction with the # of participants which has been entered into the TraiNet system and how often the implementing partner entered the training data information into the system.
<b>Mission/Team Review</b> (optional):
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe</b> (optional): FY 2013
<b>Rationale for Targets</b> (optional): Based on the baseline data, the Mission will select a percentage increase per calendar year that seems reasonable and feasible given resource allocation and expected outcomes.
<b>Other Notes</b> (optional):
<b>THIS SHEET WAS LAST UPDATED ON: 3/30/14</b> <b>PIRS Template: 2/21/14</b>

## USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 4.1.3-3

**Goal:** A stronger Indonesia advancing national and global development

**DO 4:** Collaborative Achievement in Science, Technology, and Innovation

**IIR 1/Project Purpose:** Increased supply of high quality research

**Sub-IR 1.3/Project Sub-Purpose:** Opportunity for science\* in higher education improved  
 \*science refers to ST&I's definition of science, which includes social sciences

**Linkage(s) to other Results Statements (*be specific*):** DO2 Indicator (workforce development); IR 4.2

**Number/Name of Performance Indicator:** 4.1.3-3: # of USAID-funded tertiary education and workforce development programs which include experiential and/or applied learning opportunities

**Performance Plan and Report Indicator:** No  Yes  If yes, for which Fiscal Year(s):  
 If yes, link to foreign assistance framework: \_\_\_\_\_  
 Indicator Type:

### PERFORMANCE INDICATOR DESCRIPTION

**Precise Definition(s):** Tertiary education development programs are programs aimed at providing training/learning to individuals at the tertiary level (post-secondary/university level). **Workforce development programs - need to get exact definition from DO2 team**

**Unit of Measure:** Number

**Disaggregated by:** Sex and age-disaggregation of participants, Sector, Source of Training (University, Private Sector, Foundation), Location of program

**Rationale or Management Utility, Integration Approach (*optional*):** Capturing the number workforce development and tertiary education development programs will provide insight into how well USAID is providing opportunities for individuals to learn science and science-related disciplines. If there are not opportunities available to learn/train, we cannot/should expect to see a significant change in our other indicators.

### PLAN FOR DATA COLLECTION BY USAID

**Activities/Implementing Mechanisms:** SHEA/University Partnerships, PRESTASI, activities under DO 4.2, workforce development activities under DO2

**Data Source:** Review of annual reports from Implementing Partners

**Method of Data Acquisition:** CORs of various activities will provide the number of programs to person responsible for collecting data

**Frequency and Timing of Data Acquisition:** End of every calendar year

**Individual(s) Responsible for Data at USAID:** Designee within DO4 Team or Education Office

**Individual(s) Responsible for Providing Data to USAID (*optional*):** Implementing Partners/COPs or M&E Specialists (as part of the Workplan)

<b>Location of Data Storage</b> <i>(optional)</i> : TBD
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s)</b> : Never
<b>Date of Future Data Quality Assessments</b> <i>(optional)</i> : Prior to first time reporting on indicator; No more than 3 years after first DQA
<b>Potential Data Limitations and Significance</b> <i>(optional)</i> :
<b>Actions Taken or Planned to Address Data Limitations</b> <i>(optional)</i> :
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis</b> <i>(optional)</i> :
<b>Mission/Team Review</b> <i>(optional)</i> :
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe</b> <i>(optional)</i> :
<b>Rationale for Targets</b> <i>(optional)</i> :
<b>THIS SHEET WAS LAST UPDATED ON: 3/30/14</b> <b>PIRS Template: 2/21/14</b>

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 4.2-1**

**Goal:** A stronger Indonesia advancing national and global development

**DO 4:** Collaborative Achievement in Science, Technology, and Innovation

**IR 2/Project Purpose:** Improved capacity to use evidence in decision-making

**Linkage(s) to other Results Statements (be specific):** XXX

**Number/Name of Performance Indicator:** 4.2-1: # of decisions made by select organizations based on evidence

**Performance Plan and Report Indicator:** No  Yes  **If yes, for which Fiscal Year(s):**  
**If yes, link to foreign assistance framework:** \_\_\_\_\_  
**Indicator Type:**

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** “Decisions” include policy adaptation, guidelines, action plans, strategic plans, or implementation. “Organizations” include government institutions, professional associations, private sector, and civil society organizations. “Evidence” refers to the body of evidence, no individual research findings.

**Numerator:** N/A **Denominator:** N/A

**Unit of Measure:** #, decisions

**Disaggregated by:** Type of organization; Type of decision (i.e. policy adaptation, guideline, etc.)

**Rationale or Management Utility, Integration Approach (optional):** This indicator seeks to measure the use of evidence in the decision making process, the ultimate goal of this IR. By capturing the number of decisions made.

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** TBD - Will include all activities at the Mission contributing to this IR

**Data Source:** Self-reported information by members of select organizations.

**Method of Data Acquisition:** Annual survey will be sent to members of select organizations asking about the decisions made in the past year and how they came to the decision.

**Frequency and Timing of Data Acquisition:** Annually at end of each calendar year

**Individual(s) Responsible for Data at USAID:** DO4, IR2 Designee (TBD)

**Individual(s) Responsible for Providing Data to USAID (optional):** COP of Implementing mechanism(s)

**Location of Data Storage (optional):** TBD (Mission information system)

**DATA QUALITY ISSUES**

**Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):** Never

**Date of Future Data Quality Assessments** (optional): Prior to first time reporting on indicator; No more than 3 years after first DQA

**Potential Data Limitations and Significance** (optional): This indicator is measured through self-reporting and therefore there will be limitations with recall bias that must be considered.

**Actions Taken or Planned to Address Data Limitations** (optional): USAID/Indonesia can limit recall bias by informing select organizations that this survey will be administered yearly and that members should track and document their decisions made with evidence for reporting at the end of the calendar year. The survey tool can be designed to request information on the nature of the decision made and source of evidence, rather than asking participants to merely choose a number of decisions made.

**PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING**

**Data Analysis** (optional): Analyze with indicator 4.2.3-1 to understand the demand and if that is related to the use in the decision making process.

**Mission/Team Review** (optional): Conducted in conjunction with Portfolio Review (particularly with education portfolio). Q1 annually.

**BASELINE AND TARGETS**

**Baseline Timeframe** (optional): January 2015

**Rationale for Targets** (optional): Based on the baseline data, the Mission will select a percentage increase per calendar year that seems reasonable and feasible given resource allocation and expected outcomes.

**Other Notes** (optional):

**THIS SHEET WAS LAST UPDATED ON: 3/30/14**  
**PIRS Template: 2/21/14**

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 4.2.1-1**

**Goal:** A stronger Indonesia advancing national and global development

**DO 4:** Collaborative Achievement in Science, Technology, and Innovation

**IR 2/Project Purpose:** Improved capacity to use evidence in decision-making

**Sub-IR 2.1/Project Sub-Purpose:** Mechanisms for influence of evidence on policy and programs strengthened

**Linkage(s) to other Results Statements (be specific):** XXXXXXXXXXXX

**Number/Name of Performance Indicator:** 4.2.1-1: # of consultations between policy stakeholders designed to use evidence which are not convened solely by USG-supported projects

**Performance Plan and Report Indicator:** No  Yes  If yes, for which Fiscal Year(s):  
 If yes, link to foreign assistance framework: Outcome, Custom Indicator Type:

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** Consultation is a mean that gives people a stronger voice in the policy-making process.

**Numerator:** [Insert when applicable] **Denominator:** [Insert when applicable]

**Unit of Measure:**

**Disaggregated by:**

**Rationale or Management Utility, Integration Approach (optional):**

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:**

**Data Source:**

**Method of Data Acquisition:**

**Frequency and Timing of Data Acquisition:**

**Individual(s) Responsible for Data at USAID:**

**Individual(s) Responsible for Providing Data to USAID (optional):**

**Location of Data Storage (optional):**

**DATA QUALITY ISSUES**

**Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):**

**Date of Future Data Quality Assessments (optional):** Prior to first time reporting on indicator; No more than 3 years after first DQA

**Potential Data Limitations and Significance (optional):**

**Actions Taken or Planned to Address Data Limitations (optional):**

**PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING**

**Data Analysis (optional):**

**Mission/Team Review (optional):**

**BASELINE AND TARGETS**

**Baseline Timeframe (optional):**

**Rationale for Targets (optional):**

**Other Notes (optional):**

**THIS SHEET WAS LAST UPDATED ON: 3/30/14  
PIRS Template: 2/21/14**

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 4.2.1-2**

**Goal:** A stronger Indonesia advancing national and global development

**DO 4:** Collaborative Achievement in Science, Technology, and Innovation

**IR 2/Project Purpose:** Improved capacity to use evidence in decision-making

**Sub-IR 2.1/Project Sub-Purpose:** Mechanisms for influence of evidence on policy and programs strengthened

**Linkage(s) to other Results Statements (be specific):** XXX

**Number/Name of Performance Indicator:** 4.2.1-2: % of targeted institutions which have an established mechanism in place to solicit and receive evidence for decision-making

**Performance Plan and Report Indicator:** No \_\_\_ Yes \_\_\_ If yes, for which Fiscal Year(s):  
**If yes, link to foreign assistance framework:** \_\_\_\_\_  
**Indicator Type:**

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** [Insert definition] **Numerator:** [Insert when applicable] **Denominator:** [Insert when applicable]

**Unit of Measure:**

**Disaggregated by:**

**Rationale or Management Utility, Integration Approach (optional):**

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:**

**Data Source:**

**Method of Data Acquisition:**

**Frequency and Timing of Data Acquisition:**

**Individual(s) Responsible for Data at USAID:**

**Individual(s) Responsible for Providing Data to USAID (optional):**

**Location of Data Storage (optional):**

**DATA QUALITY ISSUES**

**Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):**

**Date of Future Data Quality Assessments (optional):** Prior to first time reporting on indicator; No more than 3 years after first DQA

**Potential Data Limitations and Significance (optional):**

**Actions Taken or Planned to Address Data Limitations** *(optional)*:

**PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING**

**Data Analysis** *(optional)*:

**Mission/Team Review** *(optional)*:

**BASELINE AND TARGETS**

**Baseline Timeframe** *(optional)*:

**Rationale for Targets** *(optional)*:

**Other Notes** *(optional)*:

**THIS SHEET WAS LAST UPDATED ON: 3/30/14**  
**PIRS Template: 2/21/14**

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 4.2.2-1**

**Goal:** A stronger Indonesia advancing national and global development

**DO 4:** Collaborative Achievement in Science, Technology, and Innovation

**IR 2/Project Purpose:** Improved capacity to use evidence in decision-making

**Sub-IR 2.2/Project Sub-Purpose:** Enhanced ability of organizations to provide high-quality analytic products

**Linkage(s) to other Results Statements (be specific):** XXX

**Number/Name of Performance Indicator:** 4.2.2-1: # of institutions with increased analytic capacity (measured by analytic capacity assessment tool)

**Performance Plan and Report Indicator:** No  Yes  **If yes, for which Fiscal Year(s):**  
**If yes, link to foreign assistance framework:** \_\_\_\_\_  
**Indicator Type:** Custom, Outcome

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** Institutions refers to establishment, foundation, or organization created to pursue a particular type of endeavour or objectives. This include government and non-governmental both at national and local level. Analytic capacity refers to the ability to visualize, articulate, and solve problems and concepts into a decision that are sensible and based on available information.

**Numerator:** [Insert when applicable] **Denominator:** [Insert when applicable]

**Unit of Measure:** Number

**Disaggregated by:** Type of institutions - government and non-government; sectors in which the institutions works on (education, environment, health, DG, etc).

**Rationale or Management Utility, Integration Approach (optional):** Sound analytic skill is an important factor in policy making process. The skills include demonstration of the ability to apply logical thinking to gathering and analyzing information and data (primary or secondary), designing and testing solution to problems that could determine the quality of the policy produced.

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** TBD

**Data Source:** Review of progress report from implementing partners

**Method of Data Acquisition:** Analytic Capacity Assessment Tool??? Help!

**Frequency and Timing of Data Acquisition:** Annually?

**Individual(s) Responsible for Data at USAID:** C/AOR, PMP Specialist

**Individual(s) Responsible for Providing Data to USAID (optional):** Implementing Partners

**Location of Data Storage (optional):** USAID Indonesia

**DATA QUALITY ISSUES**

<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> Never
<b>Date of Future Data Quality Assessments</b> (optional): TBD
<b>Potential Data Limitations and Significance</b> (optional): Prior to first time reporting on indicator; No more than 3 years after first DQA
<b>Actions Taken or Planned to Address Data Limitations</b> (optional):
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis</b> (optional):
<b>Mission/Team Review</b> (optional): will be conducted in junction with Mission's portfolio review which are important monitoring event that brings together Mission leadership, Program Office and DO Team to determine whether the CDCS goal, DO and Projects are on tracks to meet their targets or if adjustments are needed.
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe</b> (optional): Baseline will be established before project and activity implementations begin. If some reasons it is not feasible to secure baseline data for the chosen time period, alternative measure should be taken to estimate baseline values (e.g. using recent comparative data)
<b>Rationale for Targets</b> (optional): Target will be considered once the baseline has been established. Once baseline data has been collected, Team will set performance targets.
<b>Other Notes</b> (optional):
<b>THIS SHEET WAS LAST UPDATED ON: 3/30/14</b> <b>PIRS Template: 2/21/14</b>

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 4.2.2-2**

**Goal:** A stronger Indonesia advancing national and global development

**DO 4:** Collaborative Achievement in Science, Technology, and Innovation

**IR 2/Project Purpose:** Improved capacity to use evidence in decision-making

**Sub-IR 2.2/Project Sub-Purpose:** Enhanced ability of organizations to provide high-quality analytic products

**Linkage(s) to other Results Statements (be specific):** XXX

**Number/Name of Performance Indicator:** 4.2.2-2: # of USG-supported evidence-based reports produced

**Performance Plan and Report Indicator:** No  Yes  **If yes, for which Fiscal Year(s):** \_\_\_\_\_  
**If yes, link to foreign assistance framework:** \_\_\_\_\_  
**Indicator Type:** Custom, Outcome

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** USG-support includes financial and technical support in planning, conducting and producing evidence-based report. Report is a self-explanatory statement of facts relating to specific subject and serves the purpose of providing information for decision making and follow-up action. Reports, among other, includes analysis, memo, white paper, policy recommendations, etc  
**Numerator:** [Insert when applicable] **Denominator:** [Insert when applicable]

**Unit of Measure:** Number

**Disaggregated by:** Sectors and institutions produced the reports: government or non-governmental (??)

**Rationale or Management Utility, Integration Approach (optional):** This indicators intend to capture the number of evidence-based reports produced with financial or technical support from USG.

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** TBD

**Data Source:** Review of progress report from Implementing partners

**Method of Data Acquisition:** Implementing partners report will describe the type of assistance, the frequency and on which quarter the supports are provided.

**Frequency and Timing of Data Acquisition:** Quarterly

**Individual(s) Responsible for Data at USAID:** C/AOR, PMP Specialist

**Individual(s) Responsible for Providing Data to USAID (optional):** Implementing Partners

**Location of Data Storage (optional):** USAID Indonesia

**DATA QUALITY ISSUES**

**Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):** Never

**Date of Future Data Quality Assessments** (optional): Prior to first time reporting on indicator; No more than 3 years after first DQA

**Potential Data Limitations and Significance** (optional):

**Actions Taken or Planned to Address Data Limitations** (optional):

**PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING**

**Data Analysis** (optional):

**Mission/Team Review** (optional): Will be conducted in conjunction with Mission Portfolio Reviews which are important event that brings together Mission leadership, Program Office, DO Teams and others to determine whether the CDCS goals, DO and Project are on track to meet their target or if an adjustment is needed.

**BASELINE AND TARGETS**

**Baseline Timeframe** (optional): Baseline will be established before project and activity implementation begins. if for some reasons it is not feasible to secure baseline data for the chosen period of time, alternative measure should be taken to estimate baseline values (e.g. using recent comparable data)

**Rationale for Targets** (optional): targets will be considered once the baseline has been established. Once baseline data has been collected, team will set performance targets.

**Other Notes** (optional):

**THIS SHEET WAS LAST UPDATED ON: 3/30/14**  
**PIRS Template: 2/21/14**

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 4.2.3-1**

**Goal:** A stronger Indonesia advancing national and global development

**DO 4:** Collaborative Achievement in Science, Technology, and Innovation

**IR 2/Project Purpose:** Improved capacity to use evidence in decision-making

**Sub-IR 2.3/Project Sub-Purpose:** Increased demand for use of evidence in policies and programs

**Linkage(s) to other Results Statements (be specific):** XXX

**Number/Name of Performance Indicator:** 4.2.3-1: Average score of ‘demand for evidence’ portion of the KAB ST&I survey

**Performance Plan and Report Indicator:** No  Yes  If yes, for which Fiscal Year(s):  
**If yes, link to foreign assistance framework:**  
**Indicator Type:**

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** The Science, Technology, and Innovation (ST&I) Knowledge, Attitudes, and Behaviors (KAB) Survey is a Mission-designed survey instrument designed to capture XXX. One module of the KAB survey will capture ‘Demand for Evidence.’

**Numerator:** Sum of all scores on the ‘demand for evidence’ portion of the KAB ST&I survey

**Denominator:** Total number of participants in the ‘demand for evidence’ portion of the KAB ST&I survey

**Unit of Measure:** score (scale TBD)

**Disaggregated by:** Sex of respondent; geographic location of respondent

**Rationale or Management Utility, Integration Approach (optional):**

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** TBD

**Data Source:** Survey results

**Method of Data Acquisition:** The ST&I KAB survey will include a module to capture ‘Demand for Evidence’. The data will be collected on the same timeframe as the overall KAB survey for DO 4.

**Frequency and Timing of Data Acquisition:** TBD- pull from DO 4 indicator

**Individual(s) Responsible for Data at USAID:** DO4, IR2 Designee (TBD)

**Individual(s) Responsible for Providing Data to USAID (optional):** TBD- pull from DO 4 indicator

**Location of Data Storage (optional):** TBD (Mission information system)

**DATA QUALITY ISSUES**

**Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):** Never

**Date of Future Data Quality Assessments (optional):** Prior to first time reporting on indicator; No more than 3 years after first DQA

**Potential Data Limitations and Significance (optional):** TBD- pull from DO 4 indicator

**Actions Taken or Planned to Address Data Limitations (optional):** TBD- pull from DO 4 indicator

**PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING**

**Data Analysis (optional):** TBD

**Mission/Team Review (optional):** Conducted by xxx in conjunction with Portfolio Review (particularly with education portfolio). Q1 annually.

**BASELINE AND TARGETS**

**Baseline Timeframe (optional):** TBD- pull from DO 4 indicator

**Rationale for Targets (optional):** TBD- pull from DO 4 indicator

**Other Notes (optional):**

**THIS SHEET WAS LAST UPDATED ON: 3/30/14  
PIRS Template: 2/21/14**

## USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 4.2.3-2

**Goal:** A stronger Indonesia advancing national and global development

**DO 4:** Collaborative Achievement in Science, Technology, and Innovation

**IR 2/Project Purpose:** Improved capacity to use evidence in decision-making

**Sub-IR 2.3/Project Sub-Purpose:** Increased demand for use of evidence in policies and programs

**Linkage(s) to other Results Statements (be specific):** XXX

**Number/Name of Performance Indicator:** 4.2.3-2: # of USG-supported media products published based on scientific evidence.

**Performance Plan and Report Indicator:** No  Yes  If yes, for which Fiscal Year(s):  
If yes, link to foreign assistance framework: \_\_\_\_\_  
Indicator Type:

### PERFORMANCE INDICATOR DESCRIPTION

**Precise Definition(s):** *USG-support* includes financial backing for research or publication, training programs and workshops, as well as technical assistance in researching or publishing media products. *Media products* include written articles, video, radio clips that appear in a form of media (online or printed press, video, television, radio, social media). *Scientific data* refers to XXX. In line with the DO 4 definition for science, this includes social sciences.

**Numerator:** N/A **Denominator:** N/A

**Unit of Measure:** #, products

**Disaggregated by:** Type of media product; Location of published media product

**Rationale or Management Utility, Integration Approach (optional):** This indicator serves as a proxy for demand of evidence by both journalists and the general public.

### PLAN FOR DATA COLLECTION BY USAID

**Activities/Implementing Mechanisms:** TBD

**Data Source:** Survey? Have someone review media sources?

**Method of Data Acquisition:** TBD based on above

**Frequency and Timing of Data Acquisition:** Annually? Quarterly?

**Individual(s) Responsible for Data at USAID:** O4, IR2 Designee (TBD)

**Individual(s) Responsible for Providing Data to USAID (optional):** TBD

**Location of Data Storage (optional):** TBD (Mission information system)

### DATA QUALITY ISSUES

**Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):** Never

**Date of Future Data Quality Assessments** (optional): Prior to first time reporting on indicator; No more than 3 years after first DQA

**Potential Data Limitations and Significance** (optional): TBD

**Actions Taken or Planned to Address Data Limitations** (optional): The Mission will need criteria for evaluating what counts as being “published based on evidence.”

**PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING**

**Data Analysis** (optional): TBD

**Mission/Team Review** (optional): TBD

**BASELINE AND TARGETS**

**Baseline Timeframe** (optional): TBD

**Rationale for Targets** (optional): TBD

**Other Notes** (optional):

**THIS SHEET WAS LAST UPDATED ON: 3/30/14  
PIRS Template: 2/21/14**

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 4.3-1**

**Goal:** A stronger Indonesia advancing national and global development

**DO 4:** Collaborative Achievement in Science, Technology, and Innovation

**IR 3/Project Purpose:** Mechanisms for use of innovative approaches in development strengthened

**Linkage(s) to other Results Statements (be specific):** XXX

**Number/Name of Performance Indicator:** 4.3-1: Amount of money obtained through non-USG sources via cost share.

**Performance Plan and Report Indicator:** No  Yes  **If yes, for which Fiscal Year(s):**  
**If yes, link to foreign assistance framework:** \_\_\_\_\_  
**Indicator Type:**

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** “*Cost share*” is any instance where USAID or its partner identifies and arranges financial or in-kind support from counterpart organizations or independent non-governmental organizations. “*Non-USG sources*” include any source of funding that does not come from funding streams of the US government.

**Numerator:** N/A **Denominator:** N/A

**Unit of Measure:** Total value of cost share, in USD

**Disaggregated by:** Source of cost share; Financial versus in-kind contributions

**Rationale or Management Utility, Integration Approach (optional):** This indicator captures the resources our partners have committed to support our activities. It serves as a proxy for measuring contributions of new partners that have not previously been engaged.

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** Innovation platform mechanism- TBD, e-Mitra, SHEA, University Partnerships, all relevant additional USAID activities (TBD)

**Data Source:** COP of implementing mechanisms, USAID Designee

**Method of Data Acquisition:** Annual reporting by COP of each implementing mechanism to USAID

**Frequency and Timing of Data Acquisition:** Annually ( at the end of the calendar year or fiscal year - TBD)

**Individual(s) Responsible for Data at USAID:** DO4, IR3 Designee (TBD)

**Individual(s) Responsible for Providing Data to USAID (optional):** COPs for Implementing Mechanisms

**Location of Data Storage (optional):** TBD (Mission information system)

**DATA QUALITY ISSUES**

<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b>
<b>Date of Future Data Quality Assessments</b> (optional): Prior to first time reporting on indicator; No more than 3 years after first DQA
<b>Potential Data Limitations and Significance</b> (optional): It may be difficult to gauge the extent to which DO 4 activities are impacting this indicator. Additionally, this indicator does not capture leverage which is an important component to understand.
<b>Actions Taken or Planned to Address Data Limitations</b> (optional): IR3 will also look at the indicators at the DO and Mission-levels which provides a more complete picture of financial contributions.
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis</b> (optional): This indicator will be analyzed in conjunction with other indicators at the DO and Mission-level that report on leverage to gain a more complete understanding of financial contributions.
<b>Mission/Team Review</b> (optional): Annual Mission portfolio review, along with technical sector reviews
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe</b> (optional): Baseline is notionally set at zero. This will be confirmed at project outset.
<b>Rationale for Targets</b> (optional): The Mission will select a percentage or numerical increase per calendar year (or fiscal year) that seems reasonable and feasible given resource allocation and expected outcomes.
<b>Other Notes</b> (optional):
<b>THIS SHEET WAS LAST UPDATED ON: 3/30/14</b> <b>PIRS Template: 2/21/14</b>

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 4.3-2**

**Goal:** A stronger Indonesia advancing national and global development

**DO 4:** Collaborative Achievement in Science, Technology, and Innovation

**IR 3/Project Purpose:** Mechanisms for use of innovative approaches in development strengthened

**Linkage(s) to other Results Statements (be specific):** XXX

**Number/Name of Performance Indicator:** 4.3-2: # of tools, technologies, or practices introduced to commercial sector (Standard - STIR-2)

**Performance Plan and Report Indicator:** No    X    Yes        **If yes, for which Fiscal Year(s):**  
**If yes, link to foreign assistance framework:**  
**Indicator Type:**

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):**

**USAID STANDARD DEFINITION**

The indicator measures the number of inventions, tools, or ideas made available to the commercial sector in a country as a result of USG programs or interventions specifically focused on technology commercialization. “Tools and technologies” are broadly defined to include hardware and software across all disciplines (for example, a new form of micro-irrigation that could lead to greater water efficiency and higher crop yields, or improving the energy efficiency of a machine used in manufacturing). “Practices” are also broadly defined to encompass all types of innovation, ranging from management approaches, to processes and applications, to uses of tools and technologies. “Commercial sector” is defined as formal private sector businesses.

**USAID/INDONESIA’S USE OF THIS STANDARD INDICATOR**

USAID/Indonesia will capture only innovations introduced as a result of new USAID investment. An innovation is considered to be “introduced” if it is presented through a pitch competition with the commercial sector in attendance, through consultations, through educational and/or training opportunities, and pilots. The “commercial sector” includes civil society organizations and educational institutions, as well as informal private sector businesses.

**Unit of Measure:** #, tools, technologies or practices

**Disaggregated by:** Type of innovation introduced; technical sector application

**Rationale or Management Utility, Integration Approach (optional):** The information generated by this indicator serves as a proxy for the contribution of USG science, technology and innovation assistance programs towards the commercialization of new technologies and innovations

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** Innovation platform mechanism- TBD, e-Mitra, SHEA, University Partnerships, all relevant additional USAID activities (TBD)

**Data Source:** The data source is annual reporting by USG partners engaged in bringing tools, technologies and practices to the formal private sector.

**Method of Data Acquisition:** Annual reporting by COP of each implementing mechanism to USAID

<b>Frequency and Timing of Data Acquisition:</b> Annually ( at the end of the calendar year or fiscal year - TBD)
<b>Individual(s) Responsible for Data at USAID:</b> DO4, IR3 Designee (TBD)
<b>Individual(s) Responsible for Providing Data to USAID (optional):</b> COPs for Implementing Mechanisms
<b>Location of Data Storage (optional):</b> TBD (Mission information system)
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s):</b> Never
<b>Date of Future Data Quality Assessments (optional):</b> Prior to first time reporting on indicator; No more than 3 years after first DQA
<b>Potential Data Limitations and Significance (optional):</b> Tools, technologies and practices introduced to the private sector beyond the grant period will not be reported, as the USG-funded partner will no longer be engaged to report on the outcomes that occur in the longer-term. This indicator depends on timely and accurate reporting by the funded partner.
<b>Actions Taken or Planned to Address Data Limitations (optional):</b> USAID/Indonesia will standardize the reporting requirements across activities to increase accuracy.
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis (optional):</b> This indicator should be analyzed along with the Context Indicator for IR 3 (4.3-CX1) as the context indicator helps provide a measure of the quality of innovations.
<b>Mission/Team Review (optional):</b> Annual Mission portfolio review, along with technical sector reviews
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe (optional):</b> Baseline is notionally set at zero. This will be confirmed at project outset.
<b>Rationale for Targets (optional):</b> The Mission will select a percentage or numerical increase per calendar year (or fiscal year) that seems reasonable and feasible given resource allocation and expected outcomes.
<b>Other Notes (optional):</b>
<b>THIS SHEET WAS LAST UPDATED ON: 3/30/14</b> <b>PIRS Template: 2/21/14</b>

**USAID/Indonesia Performance Indicator Reference Sheet – Indicator No. 4.3-3**

**Goal:** A stronger Indonesia advancing national and global development

**DO 4:** Collaborative Achievement in Science, Technology, and Innovation

**IR 3/Project Purpose:** Mechanisms for use of innovative approaches in development strengthened

**Linkage(s) to other Results Statements (be specific):** XXX

**Number/Name of Performance Indicator:** 4.3-3: # of participants in challenges and prize competitions as a result of USG support

**Performance Plan and Report Indicator:** No  Yes  **If yes, for which Fiscal Year(s):**  
**If yes, link to foreign assistance framework:** \_\_\_\_\_  
**Indicator Type:**

**PERFORMANCE INDICATOR DESCRIPTION**

**Precise Definition(s):** “*Participants*” are individuals, who may also be part of a team, that submit an idea to a designated competition. “*Challenges and prize competitions*” are between individuals, communities, government entities, businesses, institutions, or non-profit organizations to achieve defined goals in a defined time frame. They can use incentives – which can include monetary rewards or non-cash rewards like recognition – to identify the best models, increase participation, or achieve progress in a certain area of need. They are open to all and generate ideas from a broad cross-section of citizens, including many new entrants or unlikely problem-solvers. “*USG Support*” includes financial backing as well as technical assistance. Each competition may target subsets of the population for inclusion.

**Numerator:** N/A **Denominator:** N/A

**Unit of Measure:** #, participants

**Disaggregated by:** Sex of participants; geographic location of participants

**Rationale or Management Utility, Integration Approach (optional):** This indicator is a proxy measure for the culture of innovation in Indonesia.

**PLAN FOR DATA COLLECTION BY USAID**

**Activities/Implementing Mechanisms:** Innovation platform mechanism- TBD, e-Mitra, SHEA, University Partnerships, all relevant additional USAID activities (TBD)

**Data Source:** Reports from implementing partners running the challenge and prize competitions.

**Method of Data Acquisition:** Implementing partners will provide disaggregated data on the number and nature of participants in every challenge or prize competition conducted in the past calendar year (to be confirmed).

**Frequency and Timing of Data Acquisition:** Annually, at end of each calendar year or fiscal year - TBD

**Individual(s) Responsible for Data at USAID:** DO4, IR3 Designee (TBD)

**Individual(s) Responsible for Providing Data to USAID (optional):** COPs of implementing

mechanisms
<b>Location of Data Storage</b> <i>(optional)</i> : TBD (Mission information system)
<b>DATA QUALITY ISSUES</b>
<b>Date of Most Recent Data Quality Assessment and Name(s) of Reviewer(s)</b> : Never
<b>Date of Future Data Quality Assessments</b> <i>(optional)</i> : Prior to first time reporting on indicator; No more than 3 years after first DQA
<b>Potential Data Limitations and Significance</b> <i>(optional)</i> : This indicator does not capture the quality of innovations submitted to the challenge and prize competitions. This indicator also does not capture the level of general interest of Indonesians in participating in these challenges or prize competitions.
<b>Actions Taken or Planned to Address Data Limitations</b> <i>(optional)</i> : USAID/Indonesia can use IR 4.3-2 as a proxy for measuring the quality of ideas over time.
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING</b>
<b>Data Analysis</b> <i>(optional)</i> : USAID/Indonesia will look at this indicator in conjunction with IR 4.3-2 to gauge the quality of ideas submitted. The Mission will look for ways to capture the interest of Indonesians that may not submit ideas to the competition but are still supporting a culture of innovation.
<b>Mission/Team Review</b> <i>(optional)</i> : Annual Mission portfolio review
<b>BASELINE AND TARGETS</b>
<b>Baseline Timeframe</b> <i>(optional)</i> : December 2014
<b>Rationale for Targets</b> <i>(optional)</i> : The Mission will select a percentage or numerical increase per calendar year (or fiscal year) that seems reasonable and feasible given resource allocation and expected outcomes.
<b>Other Notes</b> <i>(optional)</i> :
<b>THIS SHEET WAS LAST UPDATED ON: 3/30/14</b> <b>PIRS Template: 2/21/14</b>