

# **Guideline for Policy Implementation Planning Analysis In the Integrated Risk Management Perspective (IRM)**

## **A. INTEGRATED RISK MANAGEMENT CONCEPT**

To manage the disaster risks effectively, the risk reduction interventions should address the time scale and geography scale. Climate change is important to become a risk assessment aspect for short-term (weather forecast), mid-term (season prediction) and long term (climate change) that will bring impact to the type, frequency, intensity and prediction of the risks. A wider landscape should be put into consideration, because the place where the risks originate, most of the time are located far from the location where the disaster is manifest. The ecosystem functions as a buffer for hazards such as drought or flood and as community source of livelihoods need to be taken into account. The integration of climate and ecosystem into disaster risk reduction (DRR) is called Integrated Risk Management (IRM).

Through the integration of disaster risk reduction, climate change adaptation and ecosystem management and restoration, IRM has eight important aspects that are translated into variables in this policy assessment. Those aspects are as follow:

1. Put the community at risk as the centre, building resources, local and traditional knowledge in the community.
2. Integrate the humanitarian and development programs with focus on community livelihoods
3. Address risks in a wider landscape scale
4. Ecosystem management and restoration
5. Working in different time scales to ensure adaptive planning towards changes
6. Link the local reality with policy and change processes in global level
7. Integrate different knowledge and approaches to address different risks.

8. Develop cooperation with community, civil society organizations, government, education institutions, private sectors and media

## **B. OBJECTIVE**

The development of the Guideline for the Policy Implementation Plan Analysis aims to provide a guideline for an analysis stages process and as an instrument used to analyse the policy implementation plan with the perspective of integrated risk management (IRM). What is meant the policy in this analysis is the policy in a form of regulations from the national, regional and village government levels.

## **C. EXPECTED OUTPUTS**

The expected outputs from the use of this guideline are as follow:

1. Information on what mandates inside a regulation that should be implemented by the government and other stakeholders as regulated in the regulation.
2. Identification of the government activity planning and budget allocation to implement the mandates given by the regulation.
3. Information on to what extend the IRM perspective has been reflected in the regulation implementation plan.
4. Development of recommendations to monitor the implementation of the regulation based on the IRM perspective.

## **D. USER TARGET**

The Guideline for the Policy Implementation Plan Analysis is especially developed to be used by PfR alliance members and their partners, including the civil society organizations and regional governments and village governments. In general, the guideline can be used by stakeholders like civil society organizations, community members and government institutions who would like to do analysis on a policy implementation plan with the integrated risk management perspective.

## **E. PARTICIPANTS TARGET**

The participants in the policy implementation plan analysis are the stakeholders who are involved in the planning and/or will be involved in the implementation of the policy that will be analysed and/or have interest in the policy implementation. Among those participants are PfR alliance members and their partners, civil society organizations, targeted community groups, partners of village/*kelurahan* governments, partners of regional government institutions and key partners in the national government.

Note: (in Indonesia context: in a city level, a city is divided into several sub-districts and a sub-district is divided into some *kelurahan*).

## **F. METHOD TO USE THE INSTRUMENT**

The use of the instrument for the policy implementation planning analysis is done through a number of activity process as follow:

1. **Determination of the regulation.** The policy that its implementation will be analysed is the policy in a form of a regulation because a regulation provides mandates to be implemented by the government and other regulated stakeholders. The regulation can be from the national level such as legislation, government regulations, president regulations and minister regulations. The selected regulation can also be from the regional government such as regional regulations, governor/district head/major regulations and village government regulations such as village regulations and village head regulations. The implementing organization should first determine specifically which regulation that its implementation planning will be analysed.

The determination of the regulation that will be analysed can be in two categories, i.e.:

- a. A range of main policies and their corresponding policies: for example the selected policy is the Legislation on Disaster Management and some corresponding government regulations as the implementing regulations from the legislation. In the regional level, the selected policy can be a certain regional regulation, for example,

Regional Regulation on Environment and some corresponding governor/district head/major regulations that regulate the implementation of the regional regulation.

- b. Just one type of regulation: for more specific analysis on the policy implementation plan, the assessment can be focused on a certain regulation that has been specific, for example regional regulation on disaster management or district head regulation on emergency response.

2. **Determination of target participants.** Based on the selected regulation that will be analysed, the participants are selected from the stakeholders that include community groups, civil society organizations, government institutions that directly related to the regulation implementation planning. The number of participants who are involved in the analysis process of the policy implementation planning is about 10 – 20 people. Please ensure that the number of participants does not exceed 20 people because it will be difficult to focus the discussion and to develop active participation.
3. **Distribution of regulation document and assessment instrument to the participant candidates.** Before the discussion on the policy implementation planning analysis conducted, it's expected that all participants have read the regulation document that will be assessed and its assessment instrument. The host organization should send the regulation document and assessment instrument to all participant candidates and ensure they receive them prior to the discussion.
4. **Discussion Process.** Discussion is facilitated by 2 facilitators. Below is the discussion flow:

#	ACTIVITIES	OUTPUT	DURATION
1	Introduction: Facilitators introduce the discussion objectives and its flow.	Participants know the discussion objectives and flow.	10 minutes
2	Session I: Discussion on the regulation mandates a. Facilitators ask participants to read the regulation and write	Participants know the mandate points from the assessed regulation	50 minutes

	<p>down the mandates given by the regulation.</p> <p>b. Facilitator facilitate a discussion to formulate mandates from the regulation. Put the formulation of mandates in a regulation mandate matrix.</p> <p>c. Participants agree on the formulation of the mandates from the regulation and use it as a reference in the next discussion session</p>		
3	<p>Session II: Group discussion.</p> <p>a. The participants is divided into two groups, each group will be facilitated by a facilitator and a note taker.</p> <ul style="list-style-type: none"> <li>- The first group discusses the regulation implementation plan.</li> <li>- The second group discusses the budget allocation to implement the regulation.</li> </ul> <p>b. The first group discusses to fill in the Matrix for regulation implementation plan identification (in the instrument part). The references used are the mid-term development planning (RPJM), national/regional/village government working plans (RKP) and strategic plans and also ministry/regional government instrument organizations (OPD) working plans.</p> <p>c. The second group discusses to fill in the Matrix for regulation implementation budget allocation identification (in the instrument part). The references used are the National/Regional/Village Budget (APBN/APBD/APBDesa) that are in effect during the implementation period of the assessed regulation.</p>	<p>A draft on the results of the activity planning identification and budget allocation to implement the assessed regulation.</p>	<p>60 minutes</p>

4	Session III: Presentation from each group. The participants discuss the presentation to conclude a result agreement on the identified activity plan and budget allocation for the implementation of the assessed regulation.	A mutual agreement on the results of the identified activity plan and budget allocation for the regulation implementation	60 minutes
5	Session IV: Discussion to fill in the analysis instrument with IRM perspective. <ul style="list-style-type: none"> <li>a. Based on the mandate formulation from the regulation, activity plan and budget allocation for the regulation implementation, and stakeholders' information, the facilitators facilitate a discussion to answer the questions in the regulation implementation plan analysis instrument with IRM perspective.</li> <li>b. The answers for each question is mutually agreed and completed with evidences from the analysis results gained from the earlier session.</li> </ul>	An analysis result on the regulation implementation plan based on the IRM perspective	60 minutes
6	Session IV: Recommendation Facilitators facilitate a discussion on recommendation points on actions to monitor the regulation implementation	An actions recommendation formulation	20 minutes
7	Facilitator draws a conclusion on the results of the regulation implementation planning analysis	A conclusion on the result of the regulation implementation planning analysis	10 minutes

## G. ANALYSIS INSTRUMENT

### 1. Regulation mandate matrix

Regulation level : .....

Name of the regulation : .....

#	REGULATION MANDATES	IMPLEMENTOR	SOURCES (Chapter and Verse)

Notes:

“#” column: fill in with consecutive numbers from 1, 2, 3 and so on, some mandates identified from the analysed regulation.

“REGULATION MANDATES” column: fill in with mandates that have to be executed or requested by the regulation. These mandates can be in a form of an activity, program, strategy and decision that should be done to implement the regulation.

“IMPLEMENTOR” column: fill in with the names of the institutions or government level or other stakeholders mentioned in the regulation.

“SOURCES” column: fill in with the mandates’ source of information, from which chapter and verse inside the analysed regulation.

## 2. Matrix of regulation implementation plan identification

Regulation level : .....

Name of the regulation : .....

#	REGULATION MANDATES	ACTIVITY PLAN	INDICATORS	SOURCE (RPJM, RKP, Strategic Plan, Working Plan)

Notes:

“#” column: fill in with consecutive numbers from 1, 2, 3 and so on, the number of the activity plans identified from the government planning document being analysed

“REGULATION MANDATES” column: fill in with mandates that have to be executed as requested by the regulation. These mandates can be in a form of activity, program, strategy and decision that should be done to implement the regulation.

“ACTIVITY PLAN” column: fill in with the names of the activity plans identified from the government plan (RPJM, RKP, Strategic Plan and Working Plan)

“INDICATORS” column: fill in with the indicators mentioned in the government plans (RPJM, RKP, Strategic plan and Working plan)

“SOURCE” column: fill in with the sources of the information plans (RPJM, RKP, Strategic plan and Working plan); please also mention the government level and the effective year of the plan.



### 3. Matrix for the identification of the regulation implementation budget allocation

Regulation level : .....

Name of the regulation : .....

#	REGULATION MANDATES	ACTIVITY PLAN	BUDGET ALLOCATION	SOURCE (APBN/APBD/APBDesa)

Notes:

“#” column: fill in with consecutive numbers from 1, 2, 3 and so on, some activities plan identified from the analysed government planning document.

“REGULATION MANDATES” column: fill in with the mandates that should be carried on as requested by the regulation. These mandates can be in a form of activities, program, strategies and decisions that should be done to implement the regulation.

“ACTIVITY PLANNING” column: fill in with the names of the activity plan identified from the government plan inside the APBN/APBD/APBDesa documents

“BUDGET ALLOCATION” column: fill in with the budget allocation to implement the activity plans mentioned inside the APBN/APBD/APBDesa.

“SOURCE” column: fill in with the source of information of the allocated budget (APBD/APBD/APBDesa by stating the government level and the effective year of the document.

#### 4. Analysis instrument for regulation implementation plan with IRM perspective

Regulation level : .....

Name of the regulation : .....

VARIABLES	KEY QUESTIONS	Yes	No	EVIDENCE/NOTES
1. Policy distribution	1. Is the policy distributed to the related stakeholders in the national and/or regional level?			
	2. Is the policy communicated through media (website, newspaper, meeting, leaflet, television, radio, etc.) that are correct to reach stakeholders in the regional level and the community?			
2. Planning consistency	3. Is the policy translated into an inter ministries/agencies working plan in the same government level?			
	4. Is the policy translated into government working plan in the regional level and village government?			
	5. Is the policy implementation planning mechanism able to be adaptive to the changing risks, governance system and future planning?			
3. Budget and Accountability	6. Is there an information access to budget or human resources to implement the policy?			
	7. Are there sufficient human resources in the government system to implement the policy mandates?			
	8. Is there sufficient budget to implement the main objective/mandate of the policy?			
	9. Does the budget cover a budget item for monitoring the impacts of the policy implementation on disaster risks,			

VARIABLES	KEY QUESTIONS	Yes	No	EVIDENCE/NOTES
	vulnerable groups and ecosystem services?			
	10. Is the budget reflected in the community plan and budget?			
	11. Is it clear what priorities are in the policy implementation?			
	12. Is there a mechanism for the policy implementation accountability for the community?			
4. Effectiveness and monitoring & evaluation	13. Are there indicators available to trace the results from the policy?			
	14. Are there regular meetings inter ministries/agencies to discuss progress in the policy implementation?			
	15. Is there a mechanism to monitor/to evaluate the policy implementation and to share the result with the community?			
	16. Are the community and civil society organization involved in monitoring/evaluating the policy implementation?			

**Notes:**

“VARIABLE column”: a list of variables that reflects the integrated risk management, used as a structure in assessing a policy.

“KEY QUESTIONS” column: a list of questions to explain the details of the integrated risk management variables, used to guide the discussion in assessing a policy.

“Yes” or “No” column: Tick the box (v) to answer the key questions based on the available evidences/notes. If the answer is “Yes” please provide the corresponding evidences. If the answer is “No”, please provide the grounds.

“EVIDENCE/NOTE” column: for “Yes” answer, please provide evidences taken from the document or notes from the other related documents or notes from stakeholders involved in the discussion. Meanwhile, for “No” answer, please write the grounds or explanation for answering “No”.