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FINAL REPORT

THE FIVE YEAR JOURNEY OF USAID HELM:
WORKING TOGETHER TO STRENGTHEN HIGHER EDUCATION IN
INDONESIA



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Cover photo: Participants strategize on entrepreneurship development at a HELM training in AK Kolaka. The entrepreneurial model was developed as a result of HELM's work with the Akademi Komunitas and serves as an important part in building future programs. (Credit: Communications Team, Chemonics International)

DISCLAIMER

The authors' views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States government.

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ACRONYMS

ABET	Accreditation Board for Engineering and Technology
AIPT	Akreditasi Institusi Perguruan Tinggi (Higher Education Accreditation Institute)
AK	Akademi Komunitas (community academy or community college)
APS	Akreditasi Program Studi (study program accreditation)
ARP	Action Research Program
ASU	Arizona State University
AUN	ASEAN University Network
BAN-PT	Badan Akreditasi Nasional Perguruan Tinggi (National Accreditation Board for Higher Education)
BLU	Badan Layanan Umum (public service institution, semi-autonomous)
BHMN	Badan Hukum Milik Negara (State-owned Legal Institution, autonomous institutions prior to new HE law)
BH-PT	Badan Hukum Pendidikan Tinggi (educational legal institution, autonomous institution under new law)
BINUS	Universitas Bina Nusantara (Bina Nusantara University)
BPK	Badan Pemeriksa Keuangan (Supreme Audit Board)
CDC	Career Development Center
CES	Collaboration with external stakeholders
COIN	Collaboration and Innovation Network
COP	Chief of Party
DGHE	Directorate General of Higher Education (see DIKTI)
DIKBUD	Kementerian Pendidikan dan Kebudayaan (Ministry of Education and Culture – see MoEC, formerly MONE)
DIKTI	Direktorat Jenderal Pendidikan Tinggi (Directorate General of Higher Education – the original name of directorate before it was merged into RISTEK and became RISTEK-DIKTI)
FDG	Focus group discussion
FM	Financial management
FORKOM KMPT	Forum Komunikasi Kepemimpinan dan Manajemen Perguruan Tinggi (Forum for Leadership and Management)
GAL	General management and leadership
GOI	Government of Indonesia
HE	Higher education
HEI	Higher education institution
HELM	Higher Education Leadership and Management
IA	Indiana Alliance
IDR	Indonesian rupiah (currency)
IPB	Institut Pertanian Bogor (Bogor Agricultural Institute)
ISSLA	Indonesian Survey of Student Learning Activities
ITB	Institut Teknologi Bandung (Bandung Technology Institute)

JKP2TI	Jaringan Kepemimpinan Perempuan pada Perguruan Tinggi (Women's Higher Education Leadership Group)
KKNI	Kerangka Kualifikasi Nasional Indonesia (Indonesian Qualification Framework)
LEEAP	Leadership Education in Engineering Accreditation Program
LPPM	Lembaga Penelitian dan Pengabdian kepada Masyarakat (Research and Community Service Office)
MoEC	Ministry of Education and Culture
MoU	Memorandum of understanding
NSSE	National Survey of Student Engagement
PAG	Project advisory group
PMP	Project management plan
POLMED	Politeknik Medan (Medan State Polytechnic)
POLNES	Politeknik Samarinda (Samarinda State Polytechnic)
PT	Perguruan Tinggi (higher education institution)
PTN	Perguruan Tinggi Negeri (public higher education institution)
PTS	Perguruan Tinggi Swasta (private higher education institution)
QA	Quality assurance
RISTEK	Riset dan Teknologi Republik Indonesia (Ministry of Research and Technology, the original name of the ministry before RISTEK and DIKTI merged)
RISTEK-DIKTI	Riset dan Teknologi Pendidikan dan Kebudayaan (Ministry of Research, Technology, and Higher Education; the ministry that resulted from the merger of RISTEK and DIKTI)
SOP	Standard operating procedures
STAKPN	Sekolah Tinggi Agama Kristen Negeri (Protestant Christian state religious high school)
STEM	Science Technology Engineering and Math
TOR	Terms of reference
TOT	Training of trainers
UGM	Universitas Gadjah Mada (Gadjah Mada University)
UIN	Universitas Islam Negeri (Islamic State University)
UIN-SUKA	Universitas Islam Negeri Sunan Kalijaga (Sunan Kalijaga Islamic State University)
UKSW	Universitas Kristen Satya Wacana (Kristen Satya Wacana University)
UKY	University of Kentucky
UNDANA	Universitas Nusa Cendana (Nusa Cendana University)
UNHAS	Universitas Hasanuddin (Hasanuddin University)
UNLAM	Universitas Lambung Mangkurat (Lambung Mangkurat University)
UMM	Universitas Muhammadiyah Malang (Malang Muhammadiyah University)
UMS	Universitas Muhammadiyah Surakarta (Surakarta Muhammadiyah University)
UNM	Universitas Negeri Makassar (Makassar State University)
UNMUL	Universitas Mulawarman (Mulawarman University)
UNP	Universitas Negeri Padang (Padang State University)

UNPAD	Universitas Padjajajaran (Padjajajaran University)
UNPATTI	Universitas Pattimura (Pattimura University)
UNS	Universitas Negeri Sebelas Maret (Sebelas Maret State University)
UPI	Universitas Pendidikan Indonesia (Indonesia University of Education)
UNTAD	Universitas Tadulako (Tadulako University)
USAID	U.S. Agency for International Development

EXECUTIVE SUMMARY

The quickly changing economic landscape in Indonesia requires a workforce that is educated, skilled, and adapted to a knowledge-based economy. The Government of Indonesia has made important strides to respond to economic demands and to strengthen higher education. The Higher Education Act, passed in July 2012, introduced a framework of reforms to improve higher education management and quality. To bolster these reforms and respond to the needs of the workforce, USAID/Indonesia launched the five-year Higher Education Leadership and Management project (HELM) in November 2011. Designed to improve the performance of Indonesia's higher education system, HELM focused on four key management areas and five special initiatives across the country. Now more than three years after the passage of the Higher Education Act, the State Ministry of Research, Technology, and Higher Education (RISTEK-DIKTI) continues to move forward to implement these reforms and fine tune the policy environment.

The project worked over its five years in close collaboration with RISTEK-DIKTI (originally known as DIKTI) and partnered with 50 Indonesian higher education institutions (HEIs) to improve higher education capacity across the country. The flagship program was designed to address the USAID Education sub-intermediate result (IR), "Increased management capacity of Indonesian Higher Education Institutions," which contributes to the intermediate result "Improved quality of higher education" under the overarching assistance objective: "Students better prepared for success in learning and work."

With a team of more than 30 technical and operations staff across three offices, HELM worked with 50 partner higher education institutions, 53 non-partner HEIs, and five U.S. universities to accomplish the project's goals. The HELM team worked with HEIs from the western tip of Sumatra to the farthest eastern areas on Papua (see map below).

"DIKTI feels that without help from [USAID], DIKTI would not be able to accomplish its mission, therefore DIKTI appreciates very much the USAID /HELM program. USAID /HELM is the most intensive donor cooperation with we have at DIKTI. Almost each week USAID/HELM updates us with its accomplishments to DIKTI; besides that, HELM is the most aligned program with the DIKTI program. Without help from [USAID], DIKTI would not be able to accomplish its mission."

**— DR. PATDONO SUWIGNYO,
DIRECTOR GENERAL OF
INSTITUTIONAL DEVELOPMENT,
RISTEK-DIKTI**



International partners included the Indiana Alliance, JBS International, the University of Kentucky, and Arizona State University. Each international partner supported a particular aspect of HELM’s scope of work, providing experts in the field to work directly with staff and faculty of HEIs. HELM also collaborated with Universitas Gadjah Mada (UGM) as a local partner.

The Indiana Alliance, a partnership between Indiana University, Ohio State University, and the University of Illinois, worked closely with four Indonesian HEIs to build capacity for graduate study programs in the field of higher education and to deepen the instructional, assessment, and research base. They also partnered with UGM to adapt the National Survey of Student Engagement (NSSE) to the Indonesian context, an effort which produced the Indonesian Survey of Student Learning Activities (ISSLA). The ISSLA is a breakthrough instrument that gathered and compared information on educational quality by providing insights into student experience and the enabling environment for educational success.

JBS International carried out multiple evaluations and assessments of the Indonesian higher education context and HELM activities over the life of the project. In the final year, JBS published a quality assurance (QA) case study to provide an overview of Indonesia’s quality assurance system within the context of ASEAN and to consolidate best practices and lessons learned from select Indonesian HEIs on performance improvements in their quality assurance systems since the beginning of the project.

The University of Kentucky (UKY) created the Action Research Project (ARP) special initiative which was implemented in 25 HEIs, in collaboration with the HELM technical team. ARP provided a change management approach for HEI leaders to research, design, and test locally-relevant strategies as solutions to the specific challenges facing a dynamic higher education environment.

Arizona State University (ASU) led the Leadership Education for Engineering Accreditation Program (LEEAP) special initiative in partnership with the HELM technical team and Universitas Andalas. LEEAP was designed to increase the quality of engineering study

programs in higher education and introduce a pathway toward regional or international accreditation.

Universitas Gadjah Mada (UGM) provided technical experts and collaborated with HELM specialists to design and implement the Blended Learning Professional Development special initiative to build professional networks and expertise across all management areas using internet and cell phone technology. UGM also contributed their expertise and leadership to build capacity of HELM partner HEIs other select areas and are now implementing the Indonesian Survey of Student Learning Activities.

Working with and through RISTEK-DIKTI, USAID HELM focused on four management areas and five special initiatives. The *General Administration and Leadership* core area supported the development of leadership and management skills and the higher education research base. Under GAL, HELM also worked with four HEIs to support the development of graduate level programs in higher education research and management and the formation of three community colleges (*akademi komunitas*). The *Financial Management* core area focused on increasing systems of financial management at HEIs and built skills in such topics as procurement, auditing, budgeting, financial standard operating procedures, and business plan development. The FM team also helped select public HEIs to obtain semi-autonomous Badan Layanan Umum (BLU) status. The *Quality Assurance* core area worked with HEIs to prepare for programmatic and institutional accreditation through the creation of, and upgrades to, new and existing quality assurance systems and reforms. The *Collaboration with External Stakeholders* core area supported education reform through capacity building workshops and mentoring focused on increasing public and private sector involvement in HEIs.

The special initiatives included a wide range of activities to demonstrate sustainable solutions and systems in very focused areas. The *Action Research Project* supported HEIs through active research methods and change management strategies. The *Blended Learning Professional Development* special initiative provided regular interaction and learning opportunities to higher education professionals through a technology-based model that combined an internet webinar system with landline and mobile phone technology. The *Women's Leadership in Higher Education* initiative team partnered with the Ministry of Women's Empowerment and Child Protection to provide leadership development to female professionals in higher education to increase self-efficacy. The special initiative began as a series of forums to identify the issues facing women in higher education leadership and research in Indonesia and rapidly evolved into a focused and proactive group that wanted to break the mold on women's leadership and research across Indonesia. As a result of this partnership, the Women in Indonesian Higher Education Leadership Network was established and officially granted legal status in August 2016, with an approved work plan and budget for 2017. The *Leadership Education for Engineering Accreditation Program (LEEAP)* supported engineering and quality assurance professionals through a process to revamp engineering programs to become internationally accredited and build capacity of university faculty and students. The *Strengthening Career Development Centers (CDC)* special initiative supported HEIs through

strengthening and establishing career development centers at all HEIs to improve student preparation and employability.

Highlights of USAID HELM achievements from 2011 to 2016 include:

PROJECT RESULTS



3,872

Higher education professionals trained
(65% male, 35% female)



4

Graduate programs in higher education
developed or strengthened



528

Organizational improvements



48,477

Logins of interactive webinars



40 of 50

Higher Education Institutions received
AIP



1,924

New partnerships since the beginning of
the project



7

Higher Education Institutions received
AIP ranking A



68%

Developed new or improved standard
operating procedures in finance



1,741

Study programs accredited with rankings
of A or B



50%

Of women trained report greatly
increased self-efficacy



13

Higher education partnerships between
US and Indonesia that address regional,
national, and local development needs



25

Action research projects designed,
92% successfully completed

Conclusions, Lessons Learned, and Overall Recommendations

Professional development systems and other successful models. Through an intensive and iterative process, HELM and its HEI partners developed a comprehensive set of interactive training modules across all four core areas and ARP for professional development beyond the life of the project. One of HELM's greatest achievements, the development of detailed guidebooks and training sessions and the certification of 230 professionals as trainers in their respective areas, will enable HEIs across the country to access professional development support internally on their own campus or externally through the newly-launched DIKTI Training Center.

The crosscutting attention to leadership development and change management culminated in other highly successful approaches: ARP and LEEAP. The ARP Special Initiatives produced 25 tested methods to find solutions to a challenging problem

impacting effectiveness at a local institutional level, test out new approaches and, whenever possible, institutionalize these new management strategies at a larger level. The LEEAP special initiative produced a roadmap to international competitiveness in engineering that was tangible and based on partnership. Finally, the CDC models and entrepreneurial model developed with the Akademi Komunitas created linkages between HEIs and industry that were realistic, based on demand, and effective. All of these approaches can be replicated.

Investment in leaders. Perhaps, the most poignant lesson learned from the HELM project was the value of investing in HEI leaders and empowering them to be supportive, collaborative, and effective in their professional roles. HELM provided examples, resources, and continuous technical assistance to enable leaders to take on the challenges they faced with confidence and a helpful set of tools. For the newly-strengthened leaders to be successful, they also needed help to garner participation and buy-in from their peers and manage “up” to authority figures to expand strategic support and institutionalize new solutions with corresponding budgets and longer-term plans. In addition to HEI leaders across the core areas, HELM created additional focus on women leaders and their pathway to greater influence and professional growth. Many of these lessons are captured in the General Management and Leadership (GAL) and training-of-trainers (TOT) research on women’s leadership.

Building sustainable peer networks. One of the most sustainable approaches of the HELM project was building communities among higher education professionals. This project approach will be crucial to the sustainability of HELM activities. With assistance from HELM, HEIs across Indonesia built five professional networks to generate and share knowledge and research, and collectively problem solve to overcome challenges in higher education. HELM also supported the legal formation of the Jaringan Kepemimpinan Perempuan pada Perguruan Tinggi (Women’s Higher Education Leadership Group), focused on women’s leadership and research in higher education, which has its own work plan and operating budget for 2017.

Next steps. As RISTEK-DIKTI moves into its new five-year plan starting in 2017, the needle has moved on higher education quality in Indonesia. HEIs have much stronger systems to manage operations and change and better access to tools that can improve their chances for success. Internet technology is growing rapidly, even in Papua, and the digital capacity to store, manage, and generate information will continue to expand with it. These are some of the ingredients of success. RISTEK-DIKTI and the higher education community still need support to develop new strategies that work and new ways to ensure that students and research excellence form the centerpiece of Indonesia’s higher education activity.

SECTION I

GENERAL ADMINISTRATION AND LEADERSHIP

HELM's general administration and leadership core area underpins all aspects of institutional reform. Administration and leadership encompass strategic planning and oversight at the institutional level, and resources and decision-making approaches across departments and faculties up and down the chain of command. Building strong leadership is a crosscutting theme for HELM. Strategies to strengthen leadership skills and support the performance of HEI leaders at all levels reinforce most of HELM's activities.

Higher education leaders face challenges, especially during periods of reform, and this was the context in which HELM functioned. The impetus for change within organizations occurs both internally and externally. Externally, changes in market conditions and government regulations often become major forces that influence the internal operations of HEIs. According to professor Dr. Edy Suandi Hamid, M.Ec¹, head of the Indonesian Private Higher Education Association, competition among HEIs in the past nine years in Indonesia increased dramatically. There were 2,428 HEIs in the market in 2005. Based on HEI data from RISTEK-DIKTI, the total number had increased to almost 4,000 as of 2016, dramatically increasing over 11 years.

To be competitive, HEIs and their leaders require significant change and continuous adaptation to a changing environment – a professional mandate that is not always written into the job descriptions of higher education leaders. Global competition is also a factor in Indonesia and international HEIs are now competing for space in the market. As higher education reforms are implemented and markets in Indonesia become increasingly competitive, top-down management cannot adjust to the ever-changing demands for more and better research, accredited study programs, thorough financial management that meets the needs of the overall institution, student recruitment, and academic success. It was against this backdrop that HELM constructed its general administration and leadership activities.

Learning how to be a leader and manage change is essential to the long-term success of HEIs in Indonesia. To strengthen general administration and leadership, HELM provided

¹ <http://krjogja.com/read/227096/persaingan-pt-sangat-ketat.kr>

a total of 48 workshops, forums, and courses on supportive leadership development to key staff within HELM's 50 higher education partner institutions. The project worked closely with RISTEK-DIKTI to develop the field of higher education research and management so that professionals with increased skills could inform policy and reform in the years to come.

Using a mix of learning approaches, HELM administered in-person workshops, forums, and blended learning courses that prioritized strategic planning, ongoing professional development, and networking among leaders.

Building on these interventions, HELM mentors provided additional training and technical assistance as needed. Web-based and mobile phone technologies used for the blended learning courses were also used to follow up in-person training. The project found that this was an effective method to nurture skills learned at HELM training events and work through institution-specific issues. Of the 48 workshops, forums, and courses carried out, 18 were online courses and teleconferences. Seventy-eight unique individuals attended both an in-person workshop and an online course, and participants often attended more than one online course.

The leaders in the GAL activities had long-term plans for their collaboration. Participants at a HELM Leadership Forum held in June 2015 set as the highest priority the development of a network (facilitated by a committee) that would guide key activities needed to increase leadership among HEIs. The group created the Komunikasi Kepemimpinan dan Manajemen Perguruan Tinggi (FORKOM KMPT) to serve as a networking committee for HEI leadership nationally and prioritized activities on which the group would focus. The FORKOM KMPT committee guided the activity of the GAL core area during the final year and set an ambitious agenda for continued functioning. Since this time, FORKOM KMPT has been bringing HEI leaders together through a combination of face-to-face meetings and webinars and has established an agenda and set goals for its long-term functioning. The committee set the following three priorities:

- **Teleconference Program:** Regular sessions where experts from RISTEK-DIKTI and international and Indonesian HEIs, could give presentations and share information on a regular basis, with moderators rotated among the group.
- **E-journal/E-magazine Division Program:** An electronic research magazine owned and accessed by Indonesian higher education leaders, with up to 10 articles in Bahasa Indonesia quarterly. The e-magazine was launched in April 2016 with its first edition and will be issued quarterly by the FORKOM KMPT.
- **Social Media Division Program:** A method of continued communication among the participants of the FORKOM KMPT for posts about regulations, workshops,

GAL ACCOMPLISHMENTS

Under the GAL core area, HELM trained 671 unique individuals through 48 workshops, mentoring sessions, blended learning, forums, and training. HELM partner HEIs instituted 90 organizational improvements, 21 of which were related to changes in organizational structures, including the expansion or splitting of work units, changes in the line of authority, and changes in staff's scopes of work.

strategies, and HEI affairs. The Leadership Forum Facebook page will be managed by FORKOM KMPT.

STRENGTHENING AKADEMI KOMUNITAS

In 2013, in an effort to embrace the concept of lifelong learning and to increase demand-driven, community-based educational opportunities in underserved areas, the Indonesian Directorate General of Higher Education (DIKTI) under the Ministry of Education and Culture approved the opening of 28 akademi komunitas (AKs, community colleges) throughout Indonesia. Soon thereafter, DIKTI made a special request that USAID HELM review the AK vision and assist in the design and implementation of select AKs. Their intention was to understand how to strengthen the program based on the realities at hand. In 2014, HELM began working with three of the newly established AK programs under the supervision of a university or polytechnic through a HELM special initiative. One important purpose of AK establishment is to cultivate local economic development by delivering graduates relevant to local industries' needs, as well as those that are able to develop entrepreneurship based on local resources. USAID HELM's AK partners were located in the regencies of Aceh Tamiang, Kolaka, and Buru Island. These are remote areas far from industry and business areas, which meant fewer job opportunities for AK graduates.

Based on an analysis of the economic environment and interviews with industry and AK leadership, an entrepreneurial AK model was proposed for HELM-supported AKs (see box). To intensify the AK role and ability to support regional development - and to acknowledge entrepreneur contributions in realizing sustainable economic growth - USAID HELM held a series of entrepreneurship and leadership training sessions. HELM has found in-person training followed by blended learning courses to be particularly helpful for community colleges, as they are a new type of higher education institution in Indonesia.

Entrepreneurial Model for Akademi Komunitas

1. Adopting entrepreneurial teaching approaches
2. Infusing entrepreneurship courses to program study structure
3. Establishing a business incubator unit
4. Increasing opportunities for public-private partnerships



In addition to traditional training methods for presenting entrepreneurship material, HELM combined various innovative learning techniques. Through business games, a playful simulation of a real-life business that also serves as a motivational tool, participants were assisted to understand the realities of starting and operating a successful business. According to the facilitators, the game is designed to bring theory to life and provide opportunity to practice knowledge and skills. It gave participants an opportunity to make business decisions and deal with the consequences of those decisions. Both entertaining and instructive, the game emphasizes the importance of systematic business management. To enhance participants' teaching technique, the HELM team and facilitators also organized a series of micro-teaching sessions, which employed real teaching situations to update skills and convey deeper knowledge regarding the art of teaching.

Each AK also initiated the development of a Business Incubation Unit to develop graduates' real businesses and at the same time establish AKs' income-generating initiatives.

These units provided a safe entrepreneurial ecosystem where students are given the opportunity to start running real businesses, facilitated and mentored by the lecturers and successful local entrepreneurs. Real businesses developed within the unit will generate income for the entrepreneurs and the Business Incubation Unit through a profit-sharing scheme.

Mr. Azhar SKM, M.Kes, an administrator at AK Aceh Tamiang and Head of Production and Productivity Development Sub-Units at Tamiang's Regional Board of Planning and Development (BAPPEDA), acknowledged the importance of these workshops. "The training is in line with our goals to increase the competence of human resources in vocational education at the Community College so that vocational education can produce the best benefits for society."

GRADUATE EDUCATION STRENGTHENING

Few academic programs exist in Indonesia to prepare faculty, researchers, and administrators to manage Indonesia's ever-evolving higher education institutions. Recent reforms in higher education make it more important than ever for universities to research and plan for new educational models and partnerships around the world. As part of a sub-core area under GAL, HELM supports the development of Ph.D. level programs in higher education leadership and management at four universities to build

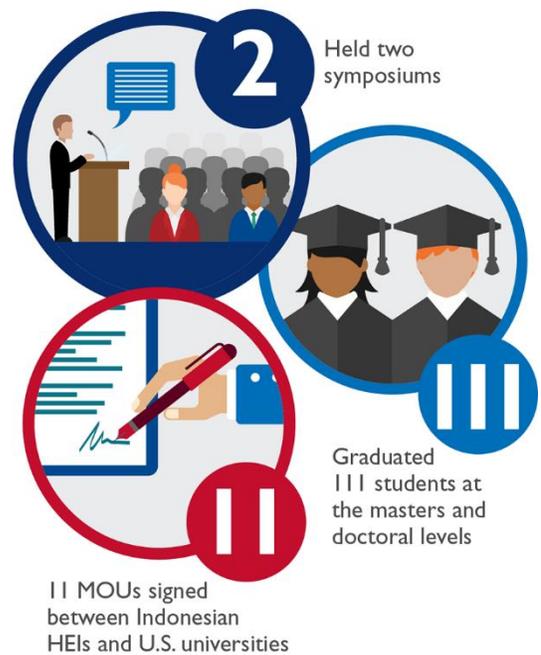


PHOTO: Chemonics

AK Aceh Tamiang students examine their project during a field practicum through the AK mentoring activity. Hands-on mentorship is crucial to the learning process in the higher education environment.

sustainable research programs that can inform the long-term growth and development of higher education policy and management.

There are some significant challenges to meeting the overall objective of developing a scientific research base in Indonesian higher education. The regulations that govern study program development and approval serve as barriers to the establishment of new fields in post-graduate study and research. The overarching notion of “strict linearity,” i.e., higher level degrees must be in the same field as prior degrees to be eligible for government fellowships, makes it a challenge for aspiring scholars who have no prior formal education in the field. Similarly, faculty who currently teach in these programs, and who are leading the way for their further development, receive no official recognition or reward for publishing in the field of higher education, because it is outside their specified discipline. Despite these constraints, and the short two years of post-graduate program activities, there is forward momentum for the continuing development of the field of post-graduate higher education.



In this sub-core area, HELM worked closely with RISTEK-DIKTI and Indiana Alliance (IA), a partnership between Indiana University, Ohio State University, and the University of Illinois, to select the following four universities for intensive post-graduate program strengthening:

- Institut Pertanian Bogor: IPB has a highly entrepreneurial graduate school. It was the first Indonesian institution to offer graduate degrees and has an existing master’s program in higher education management.
- Universitas Gadjah Mada: UGM may be Indonesia’s most competitive university. The school also offers a master’s degree program in higher education management.
- Universitas Pendidikan Indonesia: UPI has been a premier teacher training college in Indonesia and has a long history of teaching educational practice.
- Universitas Negeri Padang: UNP also started as a teacher training college in West Sumatra and is a member of the US-Indonesia Teacher Education Consortium.

Each of the selected universities worked to customize a Ph.D., masters, or post-graduate program that responded to their own priorities and global research considerations. With the assistance of the Indiana Alliance, they researched higher

education management across Indonesia and used data to develop open-ended cases to teach graduate students.

Each of the four institutions is offering or planning to offer post-graduate programs in the field of higher education. The two existing master's programs at UGM and IPB continue to attract students and to engage excellent faculty. UPI will be the first to open a doctoral program in Higher Education Leadership and Management in 2017. Study programs have human and financial resources attached to them, providing inbuilt sustainability.

Three of the activities and outcomes of these post-graduate activities promise to contribute to ongoing development beyond the project period:

- MOUs: All four postgraduate institutions signed memoranda of understanding (MOUs) with the Indiana Alliance universities. These MOUs provide a foundation for ongoing collaboration between the Indonesian and US HEIs.
- Continuing development of future faculty: As noted above, two young professionals from UPI (Defta Oktafiga and Taufik Mulyadin) and one from IPB (Puji Mudiana) are currently enrolled in doctoral programs in Indiana Alliance universities, all with funding. Other candidates continue to work toward fulfilling the requirements for admission to doctoral programs. With institutional experience gained on both sides, we anticipate that each of the four post-graduate institutions will have faculty qualified to teach post-graduate courses in the field of higher education.
- Establishment of Aliansi Program Kepemimpinan dan Manajemen Pendidikan Tinggi (Alliance of Higher Education Leadership and Management Program) for ongoing collaboration among the four post-graduate institutions in the development of study programs and research agendas and potentially for the pursuit of further funding for these activities.

The collegial interaction between IA and HELM post-graduate faculty and the admission of doctoral students to IA institutions provides a foundation for the development of collaborative research between Indonesian and American scholars in the field of higher education. All four post-graduate institutions expressed a desire to receive future visiting faculty from IA institutions to enrich course offerings, further develop curriculum, and lay the groundwork for research collaboration, following the successful visit of Dr. Chiara Logli to UPI and UGM during January to June 2016.

“The case method to teaching received a positive response from our students. It allows them students to not only hone their problem solving skills, but also motivates them to further explore applications of the theories they are studying. With case studies they explore the application of a theory.”

— DR. WISJNU, LECTURER IN
EDUCATION MANAGEMENT
POST-GRADUATE PROGRAM,
UNIVERSITAS GADJAH MADA
UNIVERSITY

Case studies to be used as teaching materials developed as a result of HELM's post-graduate work include a wide spectrum of topics, lessons, and key approaches to teaching through the case method. Topics included leadership in quality assurance, public relations

and promotion, long-term campus development policy, leadership for university culture change, management policy for human resources, and leadership in planning and budgeting, among others. Teaching with a case method lays the foundation for critical thinking and analysis.



Developed eleven case studies for teaching materials

Prof. Ujang from IPB explained that the case study method exposes students to real situations they can dissect through the lens of science. Dr. Wisjnu said that in the future, the Education Management Program at UGM will use case studies to teach a variety of subjects and ensure students understand different perspectives of educational management.

USAID HELM REVISES THE INDONESIAN SURVEY OF STUDENT LEARNING ACTIVITIES (ISSLA) AND GATHERS STUDENT FEEDBACK

Active learning requires students to engage meaningfully in their course of study. This level of engagement encourages students to perform at high levels, reinforcing intended education outcomes. Acknowledging the important roles of student engagement and development as fundamental parts of learning activities, the USAID funded HELM project is working with RISTEK-DIKTI to develop the Indonesian Survey of Student Learning Activities (ISSLA). The survey provides current data to support annual data gathering and research on Indonesian higher education and is an adaptation of the American based-survey known as the National Survey of Student Engagement (NSSE).

Universitas Gadjah Mada (UGM) was selected to be the third-party administering organization for ISSLA in July 2015. According to Dr. Ing. Singgih Hawibowo, Study Program Secretary of UGM's Graduate School of Higher Education Management who serves as ISSLA coordinator, the survey is important for providing an estimate of students' engagement based on their experiences. The survey results will not be used to define universities' ranks, but rather serve as standards for universities to enhance student activity in their learning process. The survey results are also used as study materials for higher education policy at the national level.

Dr. Hawibowo further explained that ISSLA's survey instruments, which were adapted from the NSSE pioneered by Indiana University 15 years ago, allow a statistical comparison of student engagement at universities in the USA and other countries that have implemented this survey. "The comparative studies will indicate the element of students' engagement that still needs special attention for improvement," added Dr. Hawibowo. "This involves efforts to increase policy at the college level or at the national level by the Ministry of Research Technology and Higher Education [RISTEK-DIKTI]."

UGM hosted the ISSLA program by conducting a preliminary survey with UGM students as the target group. As explained by Dr. Judith Ouimet from Indiana University, UGM is in the process of creating an online version of the instrument so that the data can be collected via the internet and students can take the survey using computers or mobile devices. "Having the survey administration online will provide a more sustainable project, by reducing the administration costs and moving toward a green environment. Having students complete the survey online will reduce the time that the survey will be out in the field."

Lessons Learned and Recommendations

Building capacity within HEIs to build the systems and skills to manage more effectively produced organizational changes and outcomes has an immediate influence. Laying the foundation for graduate programs in the field of higher education, on the other hand, is a long-term plan. The impact will be felt over time as research and knowledge in higher education management creates a new field and a new set of policymakers and researchers who understand local issues. HELM contributed to this effort in considerable ways to create study programs that can take the agenda forward.

SECTION 2

FINANCIAL MANAGEMENT

Financial management (FM) is an essential part of all institutional administration and HEIs are no exception. Strong financial management not only increases overall higher education performance, it also improves transparency and reduces corruption, ensures better compliance with government regulations, and, in Indonesia, determines an institution's eligibility to receive funding from industry and other university partners and donors such as USAID. In a country where private institutions are popping up at a rapid and unprecedented pace and workforce and research development is vital to national growth, the quality and longevity of a higher education institution depends heavily on its financial management.

Over the life of the project, HELM provided technical assistance to HEIs through 71 workshops and forums on topics such as financial planning and budgeting, financial aid and tuition options, audit preparedness, risk management, procurement, revenue generation, financial reporting, developing standard operating procedures (SOPs) and business plan development. Advisors and mentors traveled to clusters and/or individual HEIs to help staff establish new systems or processes through the type of technical assistance HELM can best provide. Over the five years, HEIs drafted new or improved standard operating procedures, introduced new financial management systems, and implemented new risk management systems (see graphic above).



Capacity building in financial management focused on areas such as budgeting and internal auditing, systems for procurement, financial reporting, risk management, securing and managing private funds, decreasing corruption.

HELM workshops typically lasted two to four days and equipped vice rectors, department heads, and financial staff with new skills to analyze and do their jobs better as a team and per Indonesian regulations. Financial management is a particularly thorny business

in Indonesia, as allegations of corruption are widespread and financial staff can get entangled in both real and assumed accusations. Most HEI financial teams have a strong desire to understand how to be compliant and competitive in the most transparent way possible. During workshops, knowledge and skills were customized to balance the functions of the financial units, such as dividing tasks related with preparing financial performance reports for the current fiscal year, and developing budgets and business

plans for the coming year. Performance-based tools such as the Budget and Business Plan Documents (RBA) or integrated financial database systems were introduced to track cash flow management, program and activity costs, and expenses for goods and services. HELM provided a series of workshops and tools in these areas during the first three years of the project, and then repackaged and upgraded the most useful materials to serve as a uniform standard of training and operational tools for either public or private HEIs that could be shared and customized to local needs.

While upgrading financial skills is an important ongoing requirement, HELM's role in strengthening financial systems for Indonesian public and private HEIs is also tied to recent higher education reforms designed to standardize and decentralize higher education systems and government plans to increase accountability and tackle corruption. Ultimately, HELM's financial management program supported many public HEIs to begin the process of upgrading their financial management status from Satker Regular to Satker BLU, a status which can only be granted by the Indonesian government. If granted, BLU status allows institutions to have more autonomy over their own planning and budgeting, developing research and business collaborations, and expanding programming and access to educational resources.

The first partner HEI to submit an application for BLU status was Universitas Pattimura. The extensive assistance from HELM as well as Universitas Brawijaya, Ministry of Education and Culture (DIKBUD) assessors, and RISTEK-DIKTI representatives, resulted in a prototype for how to build capacity and tools to analyze all levels of an HEI financial system and upgrade it to be ready for the application process. This crosscutting support across HELM core areas assisted 14 public HEIs to prepare for BLU applications to change their status from Satker Regular to Satker BLU. Overall, 302 organizational improvements within the financial management core area resulted from this and other related actions at the HEI level.

To make all these efforts more sustainable, the FM core area introduced skill-based professional development training modules across a variety of essential tasks and roles in financial management. Two separate sets of workshops and manuals were developed: one specific to public HEIs and another to private HEIs.

Over the course of HELM, developing stronger capacity in risk management also became a priority for RISTEK-DIKTI and for HEIs. FM experts noted that HEIs often

“HELM workshops made a great contribution to our institution in financial management. The material was practical and based on our institutional needs. The experts were extremely competent and professional in their use of an active learning approach during the workshop and they left us with the tools to carry on.”

**— PROF. DR. H. NIZAR ALI,
M.AG, VICE RECTOR OF
ADMINISTRATION, FINANCE
AND PLANNING, UIN SUNAN
KALIJAGA**

struggled to mediate risks and ended up being reactive rather than proactive. In collaboration with RISTEK-DIKTI, HELM took up the challenge and provided support to HEIs for tools which would 1) analyze financial cases to identify the cause, timeline, and impact of the risk to HEI operations; 2) review risk analysis through a lens of existing internal control policies, a risk level protocol, and the relative rating of different types of risks; and 3) apply risk mitigation and develop recommendations.

HELM workshops also customized training for private institutions such as Politeknik Aceh and Universitas Muhammadiyah Malang to support the development of new organizational policies. As a partner institution with HELM, for example, the Aceh school participated in workshops on topics such as the lending mechanism for the Indonesian government's Contribution to Educational Development Fund for students. That mechanism is now being applied through the Learn Now, Pay Later Program (LNPL) for current students. LNPL is a student loan program that allows low-income students to repay the loan in an installment plan. Additionally, as a result of HELM's training and support, Politeknik Aceh also made changes in the school's financial management practices and is launching new IT systems for financial management that will improve transparency and the development of standard financial operating practices. This change is one example of the types of policies that private partner HEIs are adopting to balance costs.

“The procurement workshop run by HELM helped us gain more autonomy. The program’s input and mentorship in government policy is like a breath of fresh air.”

— MR. HANAFI, DIRECTOR OF THE POLITEKNIK ACEH

Disadvantaged students are also receiving more scholarships than ever before in public and private HEIs, thanks to activities initiated by HELM. HEIs like Universitas Han Oleo (UHO), Universitas Tanjungpura (UNTAN), and Politeknik Aceh have begun actively mapping additional scholarship opportunities for students in cooperation with private institutions and expanding efforts to help prospective first generation students in disadvantaged areas receive nationally funded Bidikmisi scholarships. “In general,” said Mr. Hanafi, Director of Aceh Politeknik, “it is now much easier for us to access outside programs with industry partners and with the government.” Most HELM partner HEIs have experienced similar growth in scholarships through the activities of HELM’s FM activities and support from HELM’s core area in collaboration and external partnerships.

AN EXAMPLE OF CHANGE IN FINANCIAL MANAGEMENT: HELM’S AUDIT WORKSHOP HELPS UNIKA INTRODUCE INTERNAL AUDITING AND CHANGE PRACTICE

The internal audit system at Universitas Katolik De La Salle (UNIKA) was not producing the information that they wanted to determine whether their financial procedures were working well. Staff members had too many responsibilities within the system and it was confusing. To remedy this issue, Franki Michael Paath MM, Vice Rector II of UNIKA De La Salle, proposed that the university set up an internal audit office supervised by senior faculty in study programs like accounting, engineering informatics, and engineering industries, and try new schemes such as accurate accounting for financial management in the financial directorate.

At the end of May 2015, USAID HELM invited more than 50 finance staff members in higher education, including Pak Paath, to join a workshop on financial audit practices at Universitas Gadjah Mada (UGM)UGM. One of the main objectives of the workshop was to strengthen the role of internal audit to contribute to good institutional governance and well-functioning systems for internal financial control. Prof. Paath found the financial management workshop on auditing particularly timely and helpful to address the issues taking place at his institution.

The internal audit workshop introduced procedures used within UGM’s office of internal audit, the directorate of finance, and procurement and logistics to demonstrate how to promote transparent and accountable financial management practices.

Since the workshop, UNIKA De La Salle’s financial management units have made significant progress. The internal audit office was officially established with qualified personnel appointed to oversee the work unit. The university has conducted internal professional development training for a group of lecturers to prepare them to become certified auditors. Standard operating procedures related to budgeting and finance were developed for the first time.

Lessons Learned and Recommendations

As options for autonomy and competitiveness increase and crackdowns on corruption continue to scrutinize HEIs in Indonesia, introducing methods to be systematic and thorough and manage risk are important to HEI health. New ways of providing support for continuous training, dissemination of tools, and strengthening of internal controls,

particularly using technology, will continue to need support. Essential tools are still difficult for financial staff to find. Perhaps the most surprising lesson learned throughout the HELM experience was the interest and openness for financial management teams from leading HEIs to help each other develop and use new systems and tools.

SECTION 3

QUALITY ASSURANCE



Since the passing of the 2012 Higher Education Reform Act, institutional accreditation, or Akreditasi Institusi Pendidikan Tinggi (AIPT), is mandatory for all HEIs. However, many HEIs lack the knowledge and skills to analyze and improve the quality of their institutions and to prepare for institutional accreditation. The ultimate ranking in AIPT is important and determines the type of support that HEIs receive from DIKTI, the ability to recruit high quality staff and students, and the long-term functioning of the institution. In collaboration with RISTEK-DIKTI

and the National Accreditation Board of Higher Education (BAN-PT), HELM worked closely with institutions to build their internal capacity to develop quality assurance (QA) units, analyze key issues and provide recommendations, and prepare for programmatic and institutional accreditation.

In 2012, the initial assessments undertaken by HELM showed a wide range in the level of understanding of educational quality and quality assurance systems. In most cases, systems were primarily focused only on external QA, did not include the right people at the table, and were not fully developed. Generally, the faculties themselves were solely responsible for curriculum development, specifying the study programs, graduate competencies, manuals, self-evaluations, and other documents needed for accreditation.

As a result of initial assessments, the HELM quality assurance program provided technical assistance to establish or improve policies and processes, such as qualification frameworks, graduation requirements, and international research capacity – all important as Indonesian HEIs strive for international recognition. HELM provided a series of QA workshops to all HEIs, followed by either a summative meeting or an advisor-on-the-go/mentoring activity to improve the management capacity of QA units and study programs to reach a higher level of institutional and study program accreditation. Workshops combined an adult learning approach and an interactive process.

Out of 44 HELM partner HEIs seeking accreditation, 40 HEIs were granted 'B' or 'A' level by BAN-PT by the end of HELM. At the beginning of HELM in 2012, baseline data showed that only 3 of the 44 HEIs were accredited. Additionally, in the last quarter of 2016, five HEIs – Politeknik Negeri Manado,

Politeknik Negeri Sambas, Politeknik Pontianak, Universitas Katolik Widya Mandira, and Universitas Katolik De La Salle – all submitted their applications and appropriate paperwork to BAN-PT for institutional accreditation. HELM also recorded that 1,741 of more than 2,400 study programs from HELM partner HEIs were accredited at the "A"



1,741

Study programs from HELM's HEIs were newly accredited by BAN-PT with a ranking of "A" or "B".

or “B” level by BAN-PT as of the end of HELM compared to 248 programs accredited in 2012 at the start of HELM. HELM supported good practices and sharing of lessons learned that can be adopted by other satellite HEIs.

Additionally, 14 out of 25 proposals submitted as part of the Action Research Project specifically addressed the quality of teaching and learning, quality assurance systems, or other QA-related areas where the teams of local ARP researchers identified needed improvements. These 14 projects were rich in analysis and strategy on how to improve the quality of education and the systems of quality assurance. Many were replicated in other institutions.

According to a study of improvements in quality assurance across seven HELM HEIs conducted by experts from the U.S. and the Philippines, HELM activities supported a range of different reforms in participating universities. Reforms resulting from the QA program yielded changes in QA policies, QA unit structures and roles, data management, human resources, infrastructure investment, budgeting, and quality improvement processes. At the end of HELM, HEIs identified and reported 57 individual organizational improvements. Some of these reforms are discussed below.

Quality Reforms:

- While RISTEK-DIKTI regulations and BAN-PT standards are the primary influences on policies related to quality, HELM was instrumental for participating HEIs in changing perceptions around the importance and relevance of quality policies.
- Participating HEIs were better able to socialize quality reform efforts and develop communication strategies that clearly explained what quality is within the Indonesian framework, why it is important to improve quality, and how it can benefit the institution. It was therefore important for change management to be linked to quality policies.
- HELM supported several institutions, including UNCEN and Politeknik Aceh, in preparing for their first institutional accreditation. HELM contributed to the information that HEIs have about international accreditation and how quality definitions and standards differ for that purpose.

Quality Assurance Units:

- All HEIs had institutional quality assurance units prior to joining HELM, as DIKTI required that institutions have them. HELM training and mentoring helped clarify the roles of these units and provided best practices for internal and external quality assurance processes.
- Some institutions, for example, UNHAS and UNSYIAH, significantly expanded the role of their QA units and unified their pre-existing practices, such as

accreditation application preparation and internal academic audits, into a comprehensive, systematic QA approach.

- Several institutions established faculty and study program level QA teams to address internal and external QA at those levels. HELM was not uniquely responsible for this change, as these practices were simultaneously being advocated by DIKTI, BAN-PT, and external donors, but HELM was instrumental in providing training and ongoing support to participating institutions at the right time to support these reform efforts.

In 2012, all of the institutions had established internal quality assurance systems in accordance with DIKTI's requirements; however, these were focused almost exclusively on teaching at the faculty level (the purview of the dean and the vice dean for academic affairs), with some administrative involvement of the QA units. By 2016 when QA researchers returned to revisit a sample of HELM partner HEIs, substantial changes had occurred in internal quality systems. The researchers found that institutions had established internal audit procedures and expanded roles for QA teams at the faculty level. Within each faculty, QA teams had a mandate to strengthen teaching, learning, and research. A few HEIs had moved to competency-based curricula, which has continued to be of particular importance for institutions aspiring to international accreditation.

Research also saw significant improvement through the work of QA teams. Many HEIs had strengthened their research offices considerably to support lecturers to prepare studies for publication. Further, all seven HEIs in the study mandated that senior lecturers serve as mentors and co-researchers for junior lecturers. This created more opportunities for lecturers to gain research experience. Finally, while there was also previously a gap between human resource systems and professional development for lecturers, this issue had been partially addressed as much more solid professional development was institutionalized.

The researchers also found changes in the management of data used for quality assurance. Several HEIs had institutionalized new data-driven quality assurance and those that did had great payoffs in their AIPT rank. UNSYIAH, for example, jumped from a C ranking to an A ranking, an unprecedented increase, largely because its ARP researchers introduced a new data-driven system.

Lessons Learned and Recommendations

To address the differing strengths and challenges of partner HEIs in QA when they joined HELM, activities in QA supported a range of different reforms in participating HEIs from methods to improve teaching and learning, to managing research and data, to applying for national or international accreditation. RISTEK-DIKTI and BAN-PT provided significant focus on quality in institutional policies and practices, and HELM supported and reinforced those messages throughout its workshops. HELM and the leadership teams at partner HEIs learned through implementation that tailored

assistance, working with HEIs to address their individual needs, was key to helping QA teams see how the quality focus from RISTEK-DIKTI applied at their institutions.

Continuing to find ways for higher education professionals within and outside of the QA units to learn from the ARP project, and deepen their understanding of quality, is a long-term and ongoing goal. Professional networks and collaboration will help and better access to digital information will expand. However, both RISTEK-DIKTI and BAN-PT and university and donor groups will play a crucial role in helping to support this growth.

Finally, financial commitment to QA is a critical factor that requires support from the Government of Indonesia and the HEIs. HEIs that had received “A” accreditation rankings noted the level of effort and resources required to achieve that high mark, and the data systems and investments in professional development and facility upgrades needed to continue to improve quality will be expensive. Further, other forms of accreditation will result in direct costs that HEIs have not had to bear up to this point as BAN-PT accreditation is not fee-based.

UNIVERSITAS CENDERAWASIH IN PAPUA RECEIVES INSTITUTIONAL ACCREDITATION FOR THE FIRST TIME

Approaching its 53rd anniversary, Universitas Cenderawasih (UNCEN) in Papua was accredited with the Higher Education Institution Accreditation (AIPT) for the first time since its establishment – a milestone in the institution’s history. After years of progress, the university was accredited an AIPT ranking of “B.”

“Documents for UNCEN’s AIPT proposal were collected and submitted because of HELM,” Dr. Suriani Surbakti, Head of UNCEN’s AIPT Team, explained. “It was HELM that opened my mindset and raised the institution’s awareness on the importance of systems for AIPT and ways to become a leading institution providing a quality education to our students.”

UNCEN’s journey to accreditation began when Dr. Surbakti and other higher education professionals from UNCEN participated in a series of quality assurance activities organized by USAID HELM. Upon her return from USAID HELM’s “Improving the Preparation of Accreditation for Study Program and Institution Workshop and Summative Meeting” in 2013, Dr. Surbakti described the importance of AIPT to the university’s top leadership and began to organize the units and procedures to institutionalize a quality assurance system. Later that year, UNCEN established its first AIPT team with Dr. Surbakti as the chairperson.

According to a member of UNCEN’s AIPT team, Hotlarisda Girsang SH, MH, the team actively engaged in various activities to prepare for the university’s accreditation. “The AIPT team regularly met at our Friday Forums in order to get updated information from the coordinators of each accreditation standard”, said Ms. Girsang. The team also traveled to several leading universities in Yogyakarta and Jakarta to learn more about successful accreditation practices.

In August 2014, UNCEN submitted their proposal. Upon submission, the team actively prepared for BAN-PT’s visit by conducting workshops to familiarize UNCEN’s staff and leaders with the accreditation process. UNCEN also established an accreditation data center, which centralizes the necessary accreditation data.

UNCEN excelled in many of the BAN-PT standards, receiving its highest scores in the areas of Governance, Leadership, Management Systems, Quality Assurance and Research, Community Services, and Partnership. Ms. Girsang explained, “UNCEN has established many successful partnership and research schemes, with many research schemes implemented at the regional and national levels.”

UNCEN belongs to the first cohort of USAID HELM partners. Throughout the past four years, HELM has provided assistance for UNCEN’s quality assurance teams to help them reflect upon the intentions of quality assurance and prepare official applications for the AIPT and Study Program Accreditation (APS). The training has focused on developing a comprehensive quality assurance system and an effective monitoring system.

SECTION 4

COLLABORATION WITH EXTERNAL STAKEHOLDERS

The Collaboration with External Stakeholders (CES) core area encompassed a range of activities to catalyze partnerships and enable HEI partners to make better use of them. HELM's approach emerges from a 'triple helix' model. Higher education researchers at Stanford University describe the model as based upon the thesis that the potential for innovation and economic development in a knowledge society lies in the principal role of the university to integrate elements from university, industry, and government to generate new formats for institutions and society and the production, transfer, and application of knowledge. On a practical level, HEI researchers learn to better match research and innovation with existing industry needs so that knowledge, outreach practices, and community service efforts are more successful.

Under the 2012 Higher Education Reform Act, RISTEK-DIKTI began activities to formally encourage HEIs to collaborate with one another, as well as with the business and industrial sector, research institutions, and their surrounding communities, based on the belief that strong ties between educational institutions and the outside community are mutually beneficial to the quality of academics and research, workforce development, and national competitiveness. As such, HELM's external collaboration core area activities were designed to serve two purposes:

- To improve the environment within HEIs to encourage collaboration with external stakeholders, and
- To strengthen the capacity of the Research and Community Service Units (LPPM) within HEIs to serve as collaboration coordinators equipped to track and promote partnerships.

Like other HELM core areas, one of the basic methods of strengthening the 50 partner HEIs during the first three years involved convening key staff at central and regional workshops with leading experts and then following up with mentoring focused on developing internal capacity

to grow and track partnerships. These workshops focused on forming advisory boards and developing systems and plans to use partnerships to develop the Indonesia 'tri-dharma' of teaching, research, and community-based initiatives. In 2013, a survey was distributed to HELM's first 25 HEI partners to determine how HELM activities had influenced external collaborations. Twelve institutions returned the survey and all reported an increase in engagements with external stakeholders from the previous year. HELM diversified the types of programs for partner HEIs and brought in successful HEIs from the public and private sector to serve as resource institutions: UGM to introduce successful methods from public institutions and Universitas Brawijaya to introduce

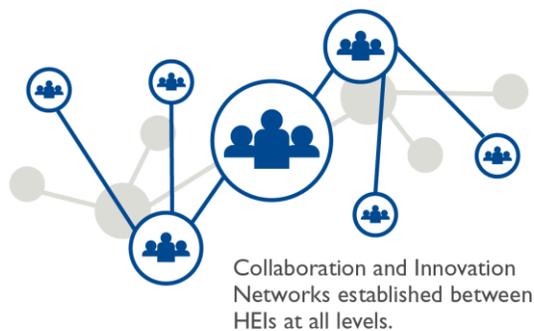


1,924

Partnerships over the life of project

methods from private institutions. HELM also worked with private industry partners from around the country as resource people and as intermediaries in designing effective programs and proposals. By the end of the project, HELM interventions had increased the number of HEI partnerships by approximately 40 percent, based on a sample of 22 HEIs from the first and second cohorts. This translates to 384 new partnerships in Cohort 1 in 2016 compared to a baseline of 226 partnerships in 2012 (a 40.63 percent increase) as well as 122 new partnerships in Cohort 2 in 2016 compared to a baseline of 79 partnerships in 2013 (a 35.25 percent increase). Over the life of project and of those HEIs surveyed, there were a total 1,924 new partnerships.

There were also 40 organizational improvements under the CES core area. A third of the organizational improvements in FY2015 were related to the development of SOPs and policies related to external collaboration and research. Seventy-five percent of improvements in FY2016 were related to the introduction of competency assessment to better position HEIs for partnerships, the establishment of new units such as a collaboration team and specific offices supporting external collaboration and partnerships, inclusion of entrepreneurship into the curriculum, and the development of an information system.



The leaders of HEI LPPM, and others within public and private HEIs tasked with creating partnerships, expressed great enthusiasm for the HELM activities and the community that they had established. After the initial three month CES blended learning courses, the group continued to meet virtually through webinars and to expand their network. To sustain the momentum and the community of professionals, in 2016 HELM launched the

regional Collaboration and Innovation Networks (COIN) in the eastern and western regions to continue professional cooperation among HELM partners. The groups worked either together or in small groups through regular webinars and events. HELM supported COIN in holding a series of webinars for members to learn about key opportunities for partnerships. The HELM team held two regional forums for COIN members in the East and West regions of Indonesia respectively, opening up the network for maximum participation. During each forum, the regional networks evaluated progress on the COIN action plan to date and planned activities for the coming months.

Forty-six HEI representatives voted for COIN's first leadership and management team, which was then tasked with deciding the network's organizational structure. To ensure network sustainability, the team comprises institutions rather than individuals. This allows institutions to continue to lead the network, even if a particular institutional representative leaves. The LPPM of the elected institutions oversees the development of the four network divisions, which include research, community service, scientific publications, and innovation and commercialization.

UNIVERSITAS PATTIMURA DEVELOPS STRONG EXTERNAL COLLABORATION

HELM's Action Research Project (ARP) aims to catalyze innovative change management approaches at HELM's partner HEIs throughout Indonesia. Universitas Pattimura (UNPATTI) recently worked with the Maluku regional government to introduce their research and develop a new policy on the use of non-wood forestry products, an initiative that highlights the positive impact of HELM's Collaboration with External Stakeholders program.

UNPATTI's ARP team, led by the Head of Public Relations Division, Dr. Rohny S. Maail S. Hut, introduced their study and encouraged the Maluku Provincial Government to create Regional Regulation No. 20 Year 2014 to provide guidelines on the use of Maluku's main commodity of non-wood forestry products, such as agar wood. The research team's proposal, "Enhancing a Dynamic Research Culture through Cooperation with Business and Industry: Collaborative Study with State-owned Regional Enterprises, called PD Panca Karya (BUMD)," contributed to the signing of the government's new policy to guide collaboration with the provincial government's department of forestry, BUMD, and UNPATTI. Dr. Rohny explained the process, "Based on our research, we suggested to the Maluku Provincial Government that they establish one regional standard to govern the output of non-wood forestry products. The new regulation covers the entire process, from planting to forestry management to the final non-wood product." Finally, in September 2014, after intensive discussion and collaboration, the Regulation on the Development and Management of Non-Wood Forestry was issued.

After the new regulation was in place, UNPATTI started training students and farmers in Maluku in the new practices and helping to expand the sustainable use of agar wood for commercial use. The UNPATTI action research study is one of 25 locally proposed and implemented studies under the HELM project. Each one introduces new data-driven methods to address key challenges at their higher education institution. The results are changing the ways that the institution operates.

Lessons Learned and Recommendations

For many HEIs, generating partnerships and creating mechanisms to track and use them effectively to innovate and impact society remains a challenge. Depending on the level of autonomy granted by the government, some institutions cannot receive funds from external sources. Despite any individual HEI's goal and progress toward meeting it, HEIs in Indonesia have made enormous progress over the five years of the project. Some of the growth has been in basic areas, such as setting methods to develop agreements and track research funds, and managing the system in ways that benefit everyone. Other areas of progress include examples like UNPATTI's or Politeknik Negeri Ujung Pandang's, where the academic institution was able to engage industry and government and truly innovate. While it is a basic lesson to learn, in the area of collaboration with external stakeholders the next step is to press on through networks, skill building, and applications and proposals. COIN continues virtually and hopefully the momentum will continue.

SECTION 5

SPECIAL INITIATIVES

ACTION RESEARCH PROJECT

HEIs are complex, living organizations that face constant requirements for problem solving and change management to produce active learning environments and successful administrations. Challenges range from difficulty gathering reliable data to drive decision-making, lack of opportunities and examples to test out solutions to existing problems, and inexperienced leaders and managers. The HELM project, in collaboration with the University of Kentucky, developed the Action Research Project (ARP) to support HEI leaders as they research and design locally relevant change management strategies to develop solutions to the challenges of a dynamic higher education environment.

The ARP Special Initiative applied solutions-oriented, participatory research using local design and implementation of pilot projects that address one or more identified needs. Action research is applied research with the purpose of improving local conditions for people who live, work, and learn there. As practiced by HELM, the research follows three major principles: 1) the research should address a specific local issue; 2) the research is designed to lead to action for change; and 3) the issue is best addressed if those engaged in the applied research process are the people who will be affected by the action's implementation and outcomes. When conducting research, the ARP teams typically followed the key work stages in the graphic below.

KEY WORK STAGES OF ARP CYCLE



Through ARP, researchers and emerging leaders work collaboratively to use action research methods to identify problems and critical needs, systemic frameworks, and approaches to address problems, current policy and regulations, and strategies to manage and sustain individual and institutional changes. ARP specifically focused on fostering leadership by guiding mid-level HEI leaders as they engaged in change management, communication, and data-driven strategies to address higher education administration; and by supporting HEI action research teams as they produced and shared research with others.

Over the life of HELM, 25 HEIs participated in ARP: 10 HEIs in the first ARP cohort, which began in October 2012, and 15 HEIs in the second cohort, which began a year later in 2013. Both ARP cohorts participated in international study tours where research teams visited HEIs in the Philippines and Thailand to share best practices from institutions that have successfully implemented change management strategies to address similar issues. After returning to Indonesia, each HEI team was tasked with planning a research design and demonstration project that would attempt to produce change in management quality at their institutions. HELM provided six months of mentorship as HEI teams conducted individualized research projects aimed at solving specific leadership and management challenges within their home institutions. Upon completion of their respective research initiatives, HELM also supported each batch of participants in implementing their approaches.

“We are grateful to the HELM initiative of action research, since it gave us the right tools for running a focus group, balancing the discussion to make sure that everyone is heard.”

— PROF. YOHANA YEMBISE,
MINISTER OF WOMEN’S
EMPOWERMENT AND
CHILD PROTECTION,
DURING USAID HELM
WOMEN’S LEADERSHIP
FORUM 2015

The types of projects that emerged focused broadly on four themes: quality assurance and accreditation, student access and success, research infrastructure and roadmaps, and entrepreneurship. Each project was required to meet national directives for higher education and at the same time, be responsive to local conditions, needs, resources, and strategic goals. While each project was informed by international empirical research and standards, cross-institution expertise, and collaborative deliberation, each was unique and contextually appropriate. The ARP teams developed new systems for institutional data integration for improved quality assurance; new curricula for student-centered approaches to teaching entrepreneurship; research policies with clear roadmaps and institutional support; and innovative agriculture partnerships for sustainable development with external communities.

Lessons Learned and Recommendations



92%
of all ARP teams have successfully implemented their project as delineated in their proposals.

The rate of success of the action research projects is mostly due to the level of support given by leadership of the host HEI and the surrounding community for carrying out the research and implementing proposals. Nearly all projects of the total 25 evaluated were immensely successful and exceeded their goals.

For example, Politeknik Negeri Samarinda (POLNES) has been working toward both expanding its research capacity and strengthening its responsiveness to community needs. ARP offered the opportunity to connect these two initiatives, by establishing ties with the multinational corporations in the Samarinda region to address the need for

entrepreneurship among local communities. The goal of the project was to pilot the use of industry-based community service responsibility funding to link a POLNES research project to a community-based project for economic sustainability. This brings assistance to the community, strengthens POLNES' research capacity, and guides the industry toward meeting the needs of local stakeholders. As a result of one of the proposals, the project team was able to begin a new initiative with VICO, a multinational corporation, to connect to a community of shrimp farmers in the village of Muara Badak Ulu to establish an incubator for silage production from shrimp waste to repurpose the waste for animal feed. This project not only converts waste into a usable product, but also fosters entrepreneurship and ties between industry and local communities. This particular project shows indications for scale-up in the future. The hands-on mentorship from the ARP team of experts and the entrepreneurial spirit of the project played a large part in its success.

STUDENT - CENTERED LEARNING FOSTERS GREATER COMPREHENSION AND CONFIDENCE AT UNIVERSITAS MUHAMMADIYAH MALANG (UMM)

The UMM ARP initiative, “Improving Academic Quality by Developing an Active Learning System”, is overseen by Dean Dr. Ir. Damat, and Vice Dean of Administration and Finance Dr. Lili Zalizar from the Faculty of Agriculture and Animal Husbandry. They have seen a dramatic increase in the level of student participation in the learning process since the program was first piloted at the faculty in the 2012-2013 academic year. UMM’s version of student-centered learning (SCL) emphasizes applied roles that students can play during the learning process in the classroom and is profoundly different than the more traditional teacher centered learning (TCL) model, where the instructor provides lectures and materials to be used in classroom instruction. The student-centered approach requires students to become proactive participants in activities and in sourcing material to be used in classroom participation and discussion.

The SCL system has become popular with instructors and students alike. A busy instructor who manages multiple courses each semester, Mr. Sudibyo reported that the SCL methods have reduced his workload. “I enjoy SCL because the students are far more active. It lightens the load on teachers because students are already prepared with material. Students discuss topics until there is clarity, and when there are differing interpretations, we can work it out. Students also act as classroom discussion moderators, which helps with leadership training and improving independence. The role of the instructor becomes one of observer and facilitator, who helps in summarizing and presenting the solutions,” he explained. The Faculty of Social and Cultural Studies at UMM provides a typical program of general coursework for students pursuing a degree in the social sciences, and classes enroll anywhere from 30 to 50 students.

One of the challenges for instructors that apply the SCL method is how to assess student performance. At UMM, instructors must carefully observe student participation and behavior in class. Mr. Sudibyo uses a daily grading system for each class session where he notes the names of students who actively ask questions, answer questions, or raise issues for debate. He thinks that this grading style is transparent, adding that written mid-term tests and final exams are also used, but they are not the only means of evaluating students anymore.

Mohammad Wachid, a UMM lecturer who teaches courses in Biochemistry, Fermentation Technology and Microbiology, agrees that SCL has had a positive impact. He has been applying the method since 2012 in his classes at the Faculty of Agriculture and Animal Husbandry. Mr. Wachid attributes the effectiveness of SCL to increased levels of understanding among student of theory and its application.

BLENDDED LEARNING PROFESSIONAL DEVELOPMENT

In June 2014, UGM made a proposal to HELM to co-design a virtual approach to provide intensive and regular follow-up to face-to-face training and launch executive networks of professionals in higher education management. Launched as a HELM Special Initiative, the HELM/UGM Blended Learning program was developed to provide regular interaction and learning opportunities to higher education professionals through a technology-based model that combines landline and mobile phone technologies, and an internet-based webinar system.

The Blended Learning Special Initiative included one three-month, competency-based course per each of the four core management areas. Each course included a weekly webinar, video presentations and assignments, and a repository of resources and tools that the participants can access either through the UGM blended learning website, or through a download. The courses were designed to be rerun on campus to engage other staff in planning activities and material. The HELM team and UGM's Department of Higher Education and Management invited experts in the field to create materials such as videotapes and presentations, which were uploaded to the UGM website and sent via email to participants. In addition, staff at the 50 HELM partner higher education institutions, who had previously attended HELM training and were tasked with accreditation and quality assurance, were invited to register for the webinars. To accommodate challenges with internet connectivity, UGM added a call feature to the webinar system that enabled participants to join the live sessions from their mobile or landline phones.

Considered as a pilot program, the first course focused on General Administration and Leadership (GAL) and took place from September to December 2014. The next set of modules launched was the Collaboration with External Stakeholders (CES) course, with the first round running from November 2014 through January 2015, followed by Quality Assurance (QA) and Financial Management (FM) courses that ran from January to April, 2015. The three-month blended course in accreditation and quality assurance integrated webinars/live connection and virtual coaching and best demonstrates the sheer reach of the approach. During the first three-month period, 777 participants from 28 HEIs successfully registered and participated in live webinar sessions from both the western and eastern regions of Indonesia. They used large conference rooms to participate as teams, and brought tasks from their own teams to the sessions to complete.

48,477 LOGINS OF INTERACTIVE WEBINARS



Despite some struggles with internet services, particularly in the eastern part of the country, interest and participation in the HELM blended learning approach was high. In

the first three months, the HELM/UGM site had more than 300,000 hits. Four new modules, each with three sub-modules, were introduced throughout 2014 and 2015 to engage higher education professionals in hands-on learning and real-time interaction. The lessons learned helped improve the training of trainers (TOT) courses and launch the professional development system for RISTEK-DIKTI.

Lessons Learned and Recommendations

The composition of participant groups was also somewhat different than the face-to-face training. While face-to-face HELM training had been consistently dominated by males in both regions, at an approximate average of 70 percent, the percentage decreased to 56 percent male across the board in the webinar sessions, suggesting that a far greater proportion of females were participating. The real difference occurred in the west. The data showed, the proportion of participants in the eastern region of Indonesia was approximately 75 percent male, which was roughly equivalent to face-to-face trainings (these data do not include the group learning participants). In contrast, 46 percent of the participants in the west were male, representing a much lower proportion of participants. We concluded that the virtual approach enabled many more females to participate in the sessions in many of the higher education institutions.

One finding of great interest to the HELM project was a group learning strategy that evolved after the first module. UGM initially provided a quota of 30 participants that could register and interact live, but the demand was far greater. With more than 60 participants registered for the first session, HELM sent out protocols of interaction and a recommendation that institutions use their multimedia centers, computer laboratories, and speaker phones for groups of participants to work together on their accreditation projects. Using this group learning approach, Universitas Muhammadiyah Malang (UMM) used their teleconference room to enable more people to participate through a webinar format. After the first session, at least 12 HEIs did the same, with five of them in the east and 10 in the west. Larger numbers of the quality assurance staff began to register for the group learning approach, coming together to listen and plan their accreditation applications for institutional study programs. As a result, UGM and HELM supported two basic learning services: live participation and group learning.

Among those who were considered 'live registered participants' the number of participants more than doubled from the first live session (94 participants) to the fifth live session (257 participants). At the first live session, 68 of the total 94 registered participants joined as individual learners for the course. Over time, that number decreased, as the number of group learners increased.

HELM identified several challenges for running blended learning programs and networks in Indonesia, the greatest of which was poor internet connection in the remote areas of Indonesia. Despite the known obstacles, the idea was to experiment with a blended approach to training and networking to better understand what could be done, and measure demand, participation, and learning.

Issues of technology choice in the HELM blended learning experiment were among the most interesting, especially in the discussion of technology obsolescence. Out of the participants who registered for a live session, 33 percent chose to participate through their mobile and landline phones rather than through the internet. About one-fourth of these individuals called into the live session using their landline phones. In a follow-up survey of 19 participants, nine were participating by landline and seven of the nine participants said that the voice clarity was good or very good and adequate to participate. In other words, while the landline phone might be considered an obsolete device for interacting in a live webinar session, for interested faculty members in higher education institutions without stable internet, the device is still relevant and serves as a viable option to connect to a webinar system.

This experiment showed that the demand for distance networking and learning was high and many participants were able to overcome basic technology obstacles by using their mobile or landlines to bridge the connection and participate. Experimentation with blended learning also served as a bridge to the development for some of the most successful and sustainable activities under HELM. First of all, for those who could access the internet either through their computers or their phones, the blended learning experience set up the technology systems and capacity to share knowledge and resources easily. It also set the stage for the virtual networks and continued webinar connections that became the basis for planning and sharing of information. Finally, the materials developed in the blended learning courses served as the foundation for the training of trainers, which can be used either face to face or virtually.

WOMEN'S LEADERSHIP IN HIGHER EDUCATION

Indonesia is working to reduce persistent gender inequality to promote a more equitable and productive society. Investing in higher education is an essential part of this effort, as post-secondary education expands key cognitive and social skills and enables Indonesians to enter into higher levels of research, analysis, and decision-making. Higher education is a key stepping stone to developing long-term Indonesian leadership and policies affecting men, women, and children across the country. However, women's participation in leadership roles in Indonesian higher education is far from equal to men's. In alignment with the United Nations Planet 50-50 Initiative's call for

governments around the world to make national commitments to address the challenges that are holding women back from reaching their full potential, USAID HELM and a network of Indonesian women researchers from universities across the country sought to map out trends in male and female professional pathways at universities. This effort aimed to uncover why women were not reaching crucial levels of leadership at

“Integrating gender perspectives into our national development efforts should become a priority. In doing so, [the government] can pursue development in more accountable and transparent ways, leading to more equitable social development.”

**— DR. DARMAWATI DARWIS,
ARP MEMBER
UNIVERSITAS TADULAKO**

the university level, and to highlight key moments when women were either pushed out or opted out of a leadership trajectory.

USAID HELM launched the Women’s Leadership in Higher Education Special Initiative in 2015. A key component of the special initiative was to convene women leaders and senior lecturers from the project’s 50 higher education partner institutions, including public and private universities, polytechnics, and community colleges across Indonesia, to explore issues related to gender disparity in higher education and to promote greater collaboration across the country. During these events, women spoke out about the challenges they experienced, the research and roles that they thought could contribute, and the professional and practical limitations to holding top strategic positions at higher education institutions in Indonesia.



50 UNIVERSITY LEADERS

Women in Indonesia Higher Education Leadership Network (JKP2TI) established in 2015 by 50 university leaders

In late 2015, with the support of the Ministry of Women’s Empowerment and Child Protection, 50 women university leaders participating in the USAID HELM Women’s Leadership Forums established a national network of women leaders in higher education called the *Jejaring Kepemimpinan*

Perempuan di Perguruan Tinggi Indonesia (JKP2TI), or the Network of Women Leadership in Indonesian Higher Education, designed to promote greater knowledge and support for the advancement of women university leaders and key social issues facing women. The secretariat of the JKP2TI met often to chart out key issues and initiate a collaborative research plan.

The network has four priority areas:

- Register the entity so that it has full legal status and can continue beyond the life of the project (completed)
- Conduct research on mapping women’s current roles in higher education entities across the country and analyze particularly salient issues that emerge in a subset of HEIs across the country (completed)
- Conduct collaborative research on a second priority topic focusing on violence against women in Indonesia using consistent methods to present a national paper (in



PHOTO: Chemonics

Minister of Women’s Empowerment and Child Protection, Dr. Yohana Yembise, shakes hands with participants at the 2015 Women’s Leadership Forum. Dr. Yembise is a champion of HELM’s women’s leadership initiative helping to improve self-efficacy for women leaders in HEIs.

- planning stages)
- Organize skills-based training for women in higher education, based on the request of the Ministry of Women’s Empowerment (in planning stages)

The JKP2TI network established a strong base with participation from 50 partner HEIs of HELM and a board of nine women leaders representing the larger group.

The first collaborative research project aimed to map the state of women in university leadership across USAID HELM’s 34 partner universities, focusing on one question: *What proportion of higher education students, lecturers, and HEI leaders are women?* Six different universities were analyzed across the country and patterns were investigated to understand women’s participation in leadership positions. These HEIs were targeted for researchers to learn about existing campus resources for women, key statistics on women in leadership, and capture narratives about personal experiences.



Over the life of the project, more than 116 women participated in the Women’s Leadership Forums as part of the women’s leadership activity. Participants represented 48 HEIs from across Indonesia for the specific forums. Along with other indicators of workshop quality and impact, HELM tracked self-efficacy and participation of female participants across all core areas and special initiatives. Of the women participating in HELM workshops, forums, and courses, 50 percent of them reported increased self-efficacy after HELM inputs. This self-efficacy translates into greater leadership roles, engagement, and influence over HEI functioning, a goal we have for both male and

female leaders in higher education management in Indonesia.

LEADERSHIP EDUCATION FOR ENGINEERING ACCREDITATION PROGRAM (LEEAP)

The path for Indonesia’s top technical universities and polytechnics to become proven leaders in ASEAN is peer-evaluated accreditation at the regional and international levels. Building ‘world class’ universities is a top priority for RISTEK-DIKTI in its 2015 strategic plan and a challenge for HEIs across Indonesia, especially in science, technology, engineering, and math (STEM). To support the difficult and specialized international accreditation process, HELM launched a one-year intensive special initiative with Arizona State University (ASU) called the Leadership Education for Engineering Accreditation Program (LEEAP) to demonstrate and document the best practices and methodologies required to become globally competitive engineering programs meeting regional and international standards. LEEAP was modeled after ASU’s successful Higher

Education Engineering Accreditation Program (HEEAP) in Vietnam, an innovative public-private collaboration created by ASU and implemented with assistance from USAID, Intel, Pearson, National Instruments, and other private sector institutions.

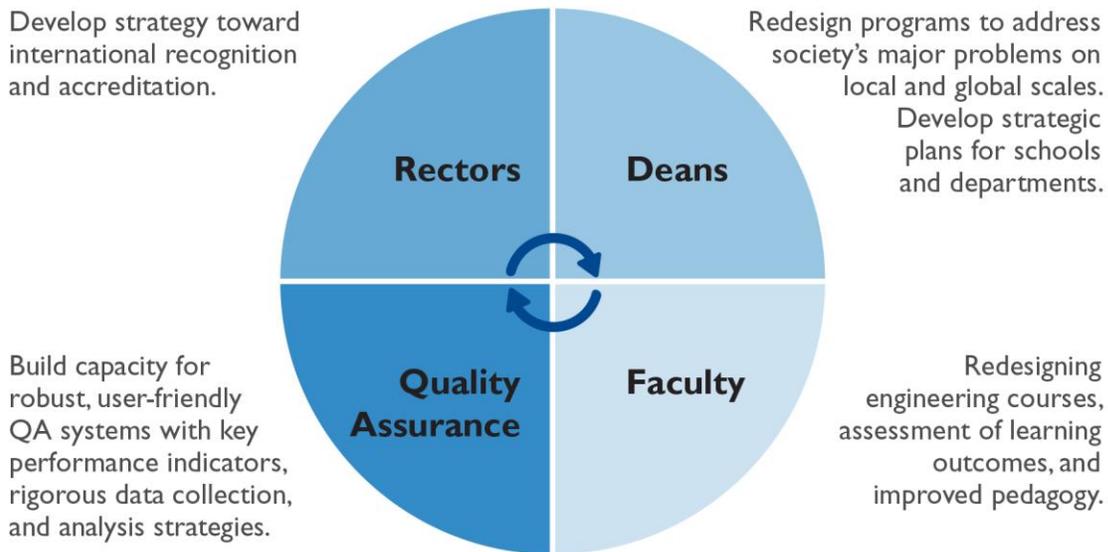
The LEEAP Special Initiative first focused on working through a plan for quality improvement with Universitas Andalas (UNAND) in Padang, and took both a short- and longer-term institutional view, engaging rectors, deans, and quality assurance specialists, quality improvement managers, alongside key government officials and industry partners. UNAND was chosen due to the strong demand for and readiness of the engineering department and a commitment of the rector to dedicate funds to individual study programs as they revised and upgraded their curricula. As this special initiative was a small one, piloting in one location served as a test case for what could be achieved elsewhere.



Workshop participants work together in groups to determine their programs' objectives during the first LEEAP session. Senior staff from study programs under the Faculty of Engineering and a diverse mix of higher education professionals from other departments at UNAND attended.

Over the course of 15 months, HELM's LEEAP approach built capacity to achieve the following: strategic planning to organize for change and capacity in quality by rectors and vice rectors; innovative change projects created and championed by deans and program directors aligning with strategic goals; faculty development with an emphasis on active learning, project-based curricula, soft skills, and critical thinking using approaches developed for STEM programs around the world; close collaboration with industry partners and other stakeholders; and, continuous feedback to the engineering deans and heads of study programs and quality assurance units tasked with coordinating applications for accreditation. This process is further represented in the graphic on the next page.²

² Arizona State University 2016 Graphic



Following a short on-site evaluation of each engineering study program, ASU provided a series of face-to-face workshops combined with homework and coaching calls over Skype to build the necessary expertise for UNAND program leaders and faculty to guide their institutional plan toward configuring the programs to meet ABET or AUN standards. Hands-on sessions included a series of workshops for faculty on how to redesign courses for AUN/ABET, as well as how to implement active and project-based teaching methodologies to build students professional competencies. UNAND covered the expenses of all the local workshops and follow-up activities. ASU provided technical assistance through HELM.

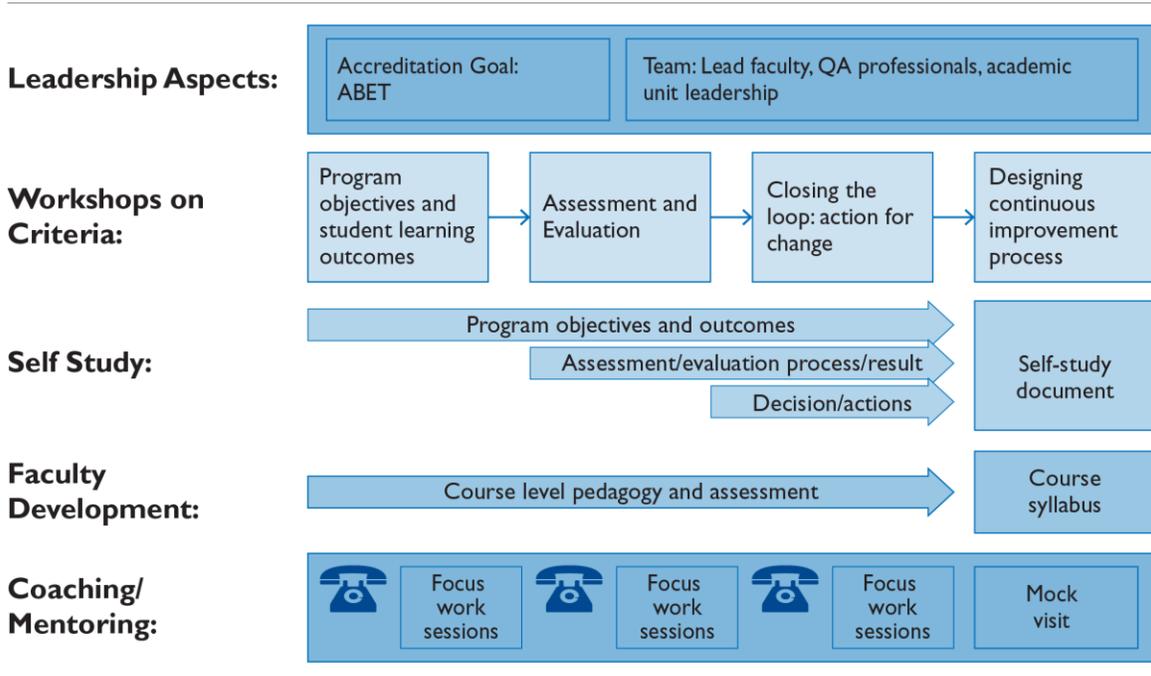
Two outcomes for LEEAP were planned: Good results on a 'mock' trial of the ABET accreditation process by an international assessor, and expanded interest in building alliances, such as the one through Arizona State University and UNAND, to increase the quality and competency of engineering programs at Indonesian universities.

This initiative was designed to demonstrate and document best practices and methodologies in STEM by:

- Supporting Indonesian university level engineering programs to become more globally competitive.
- Developing Indonesian university level programs that meet regional and/or international standards, and cultivating Indonesian leaders and experts that could mentor others.
- Preparing five academic programs from the Engineering faculties at UNAND for eventual ABET Accreditation: 1) Mechanical Engineering, 2) Civil Engineering, 3) Electrical Engineering, 4) Environmental Engineering, and 5) Industrial Engineering. Additional participants included university academic

leadership, quality assurance, educational technology and information management units, and observers from other academic disciplines. Participants engaged in the special initiative as illustrated in the training model below.

Figure 1: LEEAP Training Model



Following the training model in Figure 1³, each academic program team, comprising unit leadership (chair or head of study program), quality assurance representation either from trained faculty or quality assurance office, and key lead lecturers committed to 1) attending a series of workshops covering four main areas of continuous program improvement essential for successful accreditation, 2) developing and leading the continuous improvement process and making needed changes for their academic area, 3) preparing the self-study, and ultimately, 4) seeking international accreditation.

Concurrently, team members, and additional faculty participated in a fifth area – a faculty development workshop focusing on course-level pedagogy and classroom assessment. The workshop was designed to strengthen teaching and coursework, and the classroom assessment supporting program outcomes and objectives. Sessions on engaging in collaborative partnership development as well as educational technology, and data-driven decision-making structures were provided, targeting university leadership teams.

Ongoing coaching and mentoring were provided by the ASU team in the form of coaching calls and focused work sessions held between the formal workshops and conducted through voice and video conference. Team progress presentations during the

³ Arizona State University 2016 Graphic

workshops and submission of written components of the self-study at appropriate intervals allowed the instructional team to gauge progress and also provided a mechanism for peer learning and feedback. An instructor-developed rubric was used at various intervals to assess and provide formative feedback on the key criteria and development of the self-study.

The LEEAP special initiative trained 460 participants, consisting of 271 unique individuals as part of the LEEAP special initiative. Sixty-nine percent of participants were men and 31 percent were women. Further, the mock visit by ABET assessors in September 2016 concluded that two of the study programs that went through the LEEAP program at UNAND (environmental and industrial engineering) were ready to apply for ABET accreditation in January, considerably earlier than we expected. This success was observed by other study programs at UNAND and across other HELM HEI partners, making it clearer how to go about improving engineering programs to reach international standards.

Demand from other HEIs grew steadily as they observed and learned about the LEEAP program at UNAND. A LEEAP national forum was held in September 2016 to bring together partner HEIs with engineering programs, RISTEK-DIKTI, and associations and private sector institutions across the country to learn about the experience and hear about the changes taking place. HEIs from around the country began to invite ASU and local experts to come to their campuses and provide them with similar support using their own funding. The ASU technical team provided an introductory workshop on Accreditation Fundamentals for Universitas Hasanuddin (UNHAS) in Makassar to faculty from a wide range of disciplines.

Lessons Learned and Recommendations

Supporting HEIs with good engineering departments to aim for regional and international accreditation is a commitment that comes with unexpected challenges and changes. First, the national accreditation systems implemented by Indonesia's national quality assurance body, BAN-PT, assesses quality through a snapshot of achievements. Most regional and international accreditation bodies, such as ABET and AUN, assess quality by the continuous practices, experiences, and resources used by students. They are student-centered and experiential. This difference was an eye-opener for Indonesia quality assurance experts and engineering department heads. In a model where standards are based on the quality of student opportunity and experience, teaching and learning and even infrastructure needs are interpreted differently. This initial adjustment inspires a host of other continuous shifts that are necessary to have the conversations about global competitiveness.

When the conversation focused on the quality of the student's experience and learning, private sector partners became much more invested. International companies such as Pearson, Amazon, and National Instruments are invested in the experience of the user and the learner. That is their starting point and helps to frame conversations that they want to have. As a result, these companies and others were eager to engage in the

conversation and work with UNAND to upgrade the infrastructure that could supply these experiences. In STEM fields, virtual spaces and technology play an enormous role in the teaching, learning, simulating, researching, and sharing domains. To be global in STEM, working in this way requires change.

STRENGTHENING CAREER DEVELOPMENT CENTERS

One of the criteria for a successful HEI is whether its graduates are able to enter the workforce and become productive and engaged citizens. In 2013, the HELM project conducted a labor demand study to determine what types of industries were hiring and what they required of their new employees. The study surveyed 100 businesses, primarily within basic to low level industries, and assessed the gaps experienced between higher education graduates and employers. The results were informative. First, the labor demand study revealed that many of the gaps identified by industries were in soft skills. Graduates did not understand the behaviors that employers were looking for both at a jobsite and within professional networks and resources that they could access. Second, without real hands-on experience at a workplace, graduates from poorer families, such as first generation students whose parents had not gone to university, were at a real disadvantage. They had no reference point and struggled to transition from HEI to employment. Third, industries in the study often identified needed skills and gaps for secondary school graduates rather than graduates of higher education. Businesses did not know how to identify and onboard graduates who were not looking for low-skilled labor. Finally, many HEIs were not preparing students for the workforce at all. For example, there was a surplus of study programs in poorly defined business degrees or social science fields even though there were few jobs in these areas. Degrees in engineering or technology fields were unaccredited and poorly defined and did not offer security to employers that the student had the needed skills. These issues often caused businesses to make the low-risk decision to hire graduates from only certain schools, even if they were far away, or to hire non-Indonesians for entry level slots.

The HELM team concluded that, at a basic level, there was not enough communication between the industry and HEIs to make good planning decisions. From the government's perspective, career development centers (CDCs) were also becoming more important as the new administration focused on national competitiveness in ASEAN. A proposal within RISTEK-DIKTI stated that all HEIs should include the establishment of CDCs within their operations plan and management strategy. To meet that goal, RISTEK-DIKTI requested additional help from the HELM project to determine the models that would work.

HELM's response to the labor demand study and subsequent research influenced activities across the project. The LEEAP special initiative aimed to introduce pathways to accreditation in STEM fields that were recognizable and credible on regional and international levels. The Collaboration with External Stakeholders core area and the Action Research Project also experimented with strengthening partnerships with industry through internships, better scholarship opportunities, and CDC designs like the Community Development and Outreach (COMDEV) unit at Universitas Tanjungpura,

which unified all these functions for students. The final special initiative on Strengthening Career Development Centers was designed to complement these activities and work directly with the leadership at HEIs to investigate, strengthen, and/or build a functioning CDC unit within each institution that included an introduction to professional soft skills, access to information about job opportunities, internships, entrepreneurial support (optional), tracer studies, and support to students in drafting resumes, networking, and interviewing for jobs.

The CDC Special Initiative had four interrelated strategies:

- To provide hands-on support to set up a functioning CDC in every HEI, regardless of the pre-existence of a CDC unit or the specific local job market
- To support HEIs in customizing CDCs to local conditions and opportunities
- To host CDC clinics for students in regions around the two regional hubs to build professional soft skills and demonstrate to HEIs how it was done
- To develop a case book for RISTEK-DIKTI and HEI leadership on CDC models that worked



HELM trained 416 unique individuals as part of the Strengthening Career Development Centers initiative. Of the total unique individuals trained, 274 were students, or approximately 84 percent. The remaining participants included rectors, heads of departments, coordinators, and lecturers, among others. Sixty percent of participants were men and 40 percent were women.

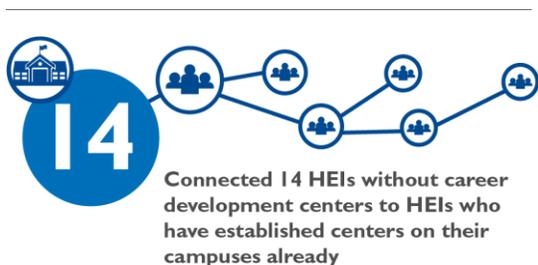
Significant preparation and investigation went into the creation of the CDC workshops and clinics. HEIs were located in vastly varying places with equally distinct employment opportunities. The following chart shows the number of HEI partners that currently have CDC units, although the existence of a CDC did not automatically imply that it was operating at full capacity.

HEIs	With CDC	Has No CDC	Total
East Region	16	11	27
West Region	20	3	23
Total	36	14	50

Workshop participants worked together to prepare a CDC strengthening work plan for their HEI which outlined the action items below. A network of advisers was created for follow-up.

- Strengthen website development and online training
- Network with other heads of CDCs and potential industrial partners

- Conduct soft skills training for students to increase competencies
- Conduct a tracer study to track whereabouts of alumni
- Open a career counseling program and career clinic
- Implement a job fair or career expo on campus
- Develop structured internship programs in collaboration with industrial partners
- Build an entrepreneurial culture on campus



The HELM team worked to connect 14 HEIs without career development centers to HEIs who have established centers on their campuses already, specifically working with seven HEIs to build new centers.

The seven HEIs selected to build new centers developed action plans to establish a new CDC unit at their institution and

communicate with local employers. HEIs with CDCs received additional support in mapping alumni employment, career coaching, and soft skills development, and other areas critical to promoting student employment.

A coaching session was held on the last day of each workshop. These sessions were extremely popular and hundreds of students came from both HELM partner HEIs and other institutions to participate.

HELM conducted field assessments in the eastern region at select HEIs to gather additional information about the challenges they faced and the areas of greatest need. The HELM team put a special emphasis on the area of Flores given the difficult economic situation and poor agricultural options. Some of the institutions, such as Universitas Katolik Widya Mandira, Universitas Cendana, Politeknik Pertanian Negeri Kupang, requested technical assistance to develop tracer studies and to learn from other HEIs who had created successful CDCs. They wanted to find creative ways to collaborate with industry, given the many local constraints. These HEIs have added challenges, given the lack of jobs, and focused on income generation activities that could build new skills.

Lessons Learned and Recommendations

As Indonesia expands and reforms its higher education system, better functioning career development centers are essential to making higher education relevant. As with many issues influencing educational quality, programs that are not created with student experience and outcomes in mind do not generally add enough value. The proxy for a high quality educational experience is the CDC. It is where the rubber meets the road and the student can determine if he or she is on the right track to prepare for employment.

SECTION 6

SUSTAINABILITY

While the first three-and-a-half years of HELM focused on assessment of the challenges in the higher education ecosystem in Indonesia and building capacity across the board in prioritized areas of management, the final year and a half of the project concentrated on developing the means to leverage and sustain these systems and practices. The effort began with an analysis to identify champions and successful systems, and how we could capture these successes and institutionalize them for sustainability and expansion. This analysis sat alongside a continued assessment of the gaps in the system of higher education management that continued to plague the system: top down teaching methods, poor technology, and management infrastructure across the board, entrenched leadership cultures that cast out women and first generation students from minority backgrounds, poor research communities with few partnerships with industry or other areas of growth, and tendencies toward financial mismanagement. Within the majority of HEIs, management units worked in isolation and did not include the professional development systems that pulled up the capacity of entire systems, teams, and institutions. HELM looked for ways to integrate change management and professional development systems into standard practice so that incremental changes in quality could continue long after the project.

HELM FIVE YEAR PLAN

- Years 1-2: Analysis, intensive technical support to HEIs
- Years 3-4: Intensive technical support, transformative special initiatives, support to DIKTI during transition
- Year 5: Meta-analysis, information sharing, broad institutionalization

The first of those methods was the development of the internal and external professional development program for HEI professionals across the four core areas of HELM and change management through action research. The HELM TOT included 20 modules and 84 submodules of hands-on training over approximately 225 hours of training material. Almost 250 HEI trainers were invited to seven individual TOT workshops to learn how to lead these sessions and use the resources and tools to increase management capacity at their own institution and across institutions. The content of the training workshops was tested and illustrative cases, financial software, videos and other tools were provided to make the learning practical and effective.

To equip master trainers with the appropriate skills to facilitate training in HELM's core areas, the TOT team developed a training methods module that was delivered with each TOT and demonstrated how to conduct hands-on, group-oriented adult training workshops. Specifically, this session taught active learning skills, the use of technology and multimedia, and other skills designed to make participants into more effective facilitators.

All of this material was integrated into RISTEK-DIKTI's Training Center. The 248 certified trainers' names were also provided to enable them to move around to different HEIs or provide training at the Training Center outside of Jakarta.

In addition to the TOT professional development program, HELM also worked to break down barriers and sustain good practice in other ways. Many of these activities became operational through HELM's crosscutting and special initiatives. For example, HELM helped women researchers and leaders across the HELM partner HEIs conduct their first collaborative research in women's leadership in higher education and legalize an entity



PHOTO: Chemonics

Working groups, such as the one pictured above, met during the TOT sessions to learn how to become effective trainers.

which could continue to produce research and promote change. Through Action Research projects, new systems to support first generation students were developed that provided scholarships, academic support, and/or better instruction. HELM conducted research in two areas where additional support was requested by RISTEK-DIKTI and USAID: Career Development Centers and Community Colleges (or Akademi Komunitas). In both cases, HELM investigated what worked, tested out a new method, and wrote a study that could guide RISTEK-DIKTI and HEIs. Additionally, HELM continued to work on issues of quality and accreditation, and included active learning and technology-based systems. The Leadership in Engineering Education Accreditation Program cut a path in how a study program might go for international accreditation and how the Internet and technology can improve resources. To help institutionalize these initiatives, HELM produced case studies and conducted research that could guide the higher education community in Indonesia longer term.

INTEGRATION OF PROFESSIONAL DEVELOPMENT

The goals of HELM's TOT/internal professional program were threefold: First, HELM developed the backbone to a higher education professional development system with detailed interactive training materials in the program areas of general administration and leadership, financial management, quality assurance, collaboration with external stakeholders, and the action research project. Second, HELM supplied RISTEK-DIKTI with the systems, products, and roster of master trainers so that they too can customize the training and adjust it to their needs. This made it easier for RISTEK-DIKTI to sustain this HELM contribution in a very practical way. Third, HELM helped training units and upper management understand how to customize the training so that HEIs can produce individualized HEI internal training programs in priority areas, such as financial management for public and private HEIs, quality assurance, general administration and leadership, collaboration with external stakeholders, and action research, and can mentor or train other HEIs. In this way, the professional development system also becomes an external professional development system where experts from one HEI can

provide training to another HEI or trainers commissioned by RISTEK-DIKTI can provide workshops through the new Training Center. HELM and RISTEK-DIKTI agreed to disseminate all these materials through hard copies to all HELM partners and electronic copies to all HEIs in Indonesia through the RISTEK-DIKTI website.

BUILDING NETWORKS

Over the life of HELM, HEIs across Indonesia have built networks, both official and unofficial, to share lessons learned, build knowledge through research, and collectively problem solve to overcome challenges in higher education. Below are the five formal networks either established or in the process of being established. Other networks such as the Kalimantan Research Network were not tracked formally by the project but further support HELM’s impact on building connections across HEIs.

Higher Education Leadership and Management Network (FORKOM KMPT). At the General Administration and Leadership Forum in June 2015, HELM established the Higher Education Leadership and Management Program (FORKOM KMPT). The FORKOM KMPT met again to set up structures for professional research, communication, and networking. The network will serve as a sustainability tool as it develops and expands HELM’s leadership and management program after the project ends. Primarily, it is a space for HELM alumni to communicate and increase individual capacity by participating in reflective and critical discussions about institutional challenges and potential solutions.

According to Professor Sulisty Saputro Ph.D., of Universitas Sebelas Maret (UNS), the fact that the network has invited higher education professionals from 50 HEIs to share the responsibilities of establishing a network that focuses on helping all member institutions progress is significant. “It is not considered a great achievement when there are only one or two higher education institutions that can move forward while others are stagnant. We should work together to move forward utilizing a better communication network through the FORKOM KMPT,” he explained.

Through the established network, HEI partners are working to launch a quarterly e-magazine that will cover stories relevant to leadership and management in higher education and provide updates on important issues in higher education nationally and internationally. FORKOM KMPT also developed a social media platform using Facebook to serve as a communication tool to facilitate the network’s activities.

HIGHER EDUCATION NETWORKS INITIATED BY HELM



JKP2TI (Women in Indonesian Higher Education Leadership Network)



FORKOM KMPT (Higher Education Leadership and Management Network)



COIN (Collaboration and Innovation)



HEFIN (Higher Education Financial Management)



AP-KMPT (Indonesian Alliance of Study Programs of Higher Education Leadership and Management)

Women in Indonesian Higher Education Leadership Network (JKP2TI). The JKP2TI network established a strong base with participation from 50 HEIs of HELM partners and a board of nine women leaders representing the larger group. Designed to function independently when the project ends, HELM supported JKP2TI in the early stages to get the network off the ground and prepare for legal status. As of August 2016, JKP2TI was officially granted legal status, enabling it to continue operations in collaboration with the Ministry of Women's Empowerment. The proposed annual work plan was also approved and its budget has been allocated to support activities in 2017.

The Minister of Women's Empowerment and Child Protection, Dr. Yohana Yembise, a strong supporter of the JKP2TI, challenged university women and men to become leaders and agents of change at one of the women's leadership forums. "I expect that in the future [we can] develop a joint commitment to promote Indonesian women as agents of change. One day, Indonesian women should be able to have positions as the chiefs of executive, legislative, and judicial branches of the government, and focus their attentions on governing responsibly, free of corruption."

Collaboration and Innovation Networks (COIN). Established in September 2015, COIN includes two regional networks and is an interactive platform to encourage a better collaborative culture among HELM partners, especially in the field of research and community service, and to produce joint activities among HELM partners. HELM supported COIN in holding a series of six webinars for members to learn about key opportunities for partnerships, such as partnering with Erasmus+. The HELM team also held two regional forums for COIN members in the East and West regions of Indonesia respectively, allowing for maximum participation. During each forum, the regional networks evaluated progress on the action plan to date and planned activities for the coming months. HELM also provided regular, demand-driven assistance through Advisors on the Go activities in collaboration with other core areas.

Higher Education Financial Management (HEFIN). This network is still in the process of being established to continue the learning process in financial management after HELM ends. Forty-seven HEIs are interested in participating in the network and during the Risk Management Forum in August 2016; leaders of the network were selected.

Indonesian Alliance of Study Programs of Higher Education Leadership and Management (AP-KMPT). At the Second International Symposium on Higher Education Leadership and Management, on July 26, 2016, the four HELM post-graduate universities announced the formation of the Aliansi Program Kepemimpinan dan Manajemen Pendidikan Tinggi (AP-KMPT) or Indonesian Alliance of Study Programs of Higher Education Leadership and Management. The alliance brings universities together to discuss issues related to post-graduate programs in their respective universities.

UNMUL'S RESEARCH INSTITUTE GAINS PRIME CLUSTER STATUS AND CREATES A KALIMANTAN RESEARCH NETWORK

Indonesia's Directorate General of Higher Education (DIKTI), through the Directorate of Research and Community Service (DP2M), defines four cluster categories for research institutes based on the academic qualifications of instructors and the degree to which academics contribute to research. The four cluster categories range from "base," to "middle," "prime," and finally "independent" at the highest cluster level. The higher the cluster status of the research institution, the larger the research grants DIKTI can provide.

After considerable work and progress in 2014, the Universitas Mulawarman's Research Institute (Lemlit UNMUL) in Samarinda, East Kalimantan, improved its organizational status from middle cluster to prime cluster. The process of learning how to achieve this status was so compelling, they also created a Kalimantan Research Network so that research institutes on the island of Kalimantan could share ideas, resources, and research. According to the former head of UNMUL's Research Institute (2011-2015), Prof. Dr. Makrina Tindangen, M.Pd, the partnership between UNMUL and USAID's HELM project contributed to this success. "HELM's contribution to improving our research institution's organizational status from middle cluster to prime cluster is greatly appreciated. After joining HELM activities and analyzing the reason previous bids for prime cluster were rejected, we established a new group of researchers in instructional capacity. We interacted with other higher education institutions at HELM events and learned how universities with established research institutes in the prime clusters solved similar problems. Their solutions helped us design our own system and plan ahead. At the end of the day, the influence of the HELM workshops was practical, but it was also motivational and increased our team's desire for research," explained Prof. Makrina. "We learned how to plan our own research institute and how to partner with other institutes as well."

Prof. Makrina was so inspired she established a forum for research institutes and their services within the Kalimantan academic community. "This idea came from working with HELM and other HELM partners," noted Prof. Makrina. "We felt the importance of networking and sharing knowledge. There are so many benefits: We can optimize the use of laboratories by sharing the use of equipment and field laborator[ies]." Developing linkages between university clusters is important given the differing natural environments and access to natural resources among the lower-rated research clusters, which are primarily located in more remote regions with plentiful natural resources, and the higher-rated research clusters, which are primarily located in regions lacking in natural resources. These partnerships enable shared access to knowledge and resources for the institutes' research needs. Prof. Makrina was pleased with the accomplishment, saying, "We now have a mutually-beneficial network of research collaboration activities in Kalimantan."

Prof. Makrina went on to say: "These changes created a new challenge for us as we need to maintain our new status by continually improving research, increasing publications, and enhancing cooperation with community, government, and industry."

SECTION 7

CONCLUSIONS, LESSONS LEARNED, AND OVERALL RECOMMENDATIONS

HELM's five year journey in strengthening higher education in Indonesia has spanned a period of considerable local change. When HELM was first launched in 2011, the Higher Education Reform Act was still in draft and DIKTI was grappling with a public higher education system that had few comprehensive standards. DIKTI also had an outdated framework in which to determine quality, a centrally-managed and constraining financial and partnership scheme that limited interaction with international higher education organizations and industry, and a ballooning number of private higher education institutions flooding the market. Students who were entering higher education with a disadvantage, such as first generation students and individuals from remote areas with poorer quality secondary schools, had few programs to help them bridge the significant financial, cultural, and academic gaps that lay before them. The programs that did exist, such as the important national Bidikmisi scholarships, were often elusive to the students who needed them most or not sufficient for student success. Finally, higher education professionals in the 50 institutions with which HELM partnered primarily operated in a top-down management style that siloed operations and did not foster teamwork or support well-informed, strategic change management. Even the most motivated staff struggled to adapt and produce the kinds of environments for students that could be considered world class.

Operating environment changes and adaptations. The implementation of HELM also occurred during important changes in the Government of Indonesia. In October 2014, Joko Widodo was elected the President of Indonesia, which led to a change of cabinet and the reorganization of ministerial operations as they relate to higher education. DIKTI was moved from the Ministry of Education and Culture to the Ministry of Research and Technology, a merger which combined the goals and elements of higher education in a new way. At the same time, President Widodo appointed one of HELM's alumni and leaders, a Papuan researcher who was the first female professor in Papua, to be the Minister of Women's Empowerment and Child Protection. All of these changes took time to settle, but they also opened up new opportunities to demonstrate good strategies HELM was uncovering and gain traction in areas where HEIs were experiencing the greatest challenges.

The HELM project was originally designed so that USAID could provide support to RISTEK-DIKTI and higher education institutions across the country to develop and implement higher education reform. The four core areas remained the lens through which HELM engaged the government and HEIs and the areas where the broadest and

deepest support occurred. The development of the complete professional development portfolio embodied within the training of trainers modules and materials was one of HELM's greatest achievements. The development of these detailed guidebooks combines with the 230 professionals certified to provide professional development support internally within the HELM partner institutions or externally to either other non-partner HEIs or through the newly launched DIKTI Training Center. They included hundreds of hours of training in the specific areas where HEIs needed the most support. The training content was compiled and transformed into interactive sessions with the assistance of leaders in the field who had been working with HELM since the beginning: rectors, directors, and leading researchers from around the world and from HELM's alumni. They are integrated in the strategies of HELM's blended learning courses developed with UGM, and blended media and technology into the program. They are now institutionalized at RISTEK-DIKTI through their website and Training Center and at HEIs in the units where continuing professional growth and adjustments occur.

Action research approach. The crosscutting attention to leadership development and change management was also a successful approach and culminated in the Action Research Project. A single special initiative that provided assistance for almost the entirety of the HELM project, the ARP approach helped middle to senior level leaders identify, research, apply, assess, and institutionalize some of the most pressing issues facing higher education in Indonesia. While ARP team members were primarily mid-level leaders (and not the rectors or vice rectors who would ultimately be responsible for the functioning of the whole HEI), they could see clearly where the gaps were in their abilities to deliver the best programs possible. They needed innovation, external and internal support, community, and time to uncover and test viable solutions. Twenty-five ARP activities resulted in almost as many solutions to some of the most pressing concerns facing their institutions.

The ARP efforts were initially envisioned as addressing purely local concerns, but as the teams identified their problems, HELM and the ARP teams realized that the problems selected represented the biggest and thorniest issues facing Indonesian HEIs: dropout rates or poor academic performance among first generation students; lack of data management systems to inform decisions and internal coordination in research, financial, and other areas of transparency; a vast number of issues in identifying, measuring, and ensuring quality assurance; internships and scholarships; ways to work successfully with industry and government to align research with important social and economic issues; and examining teaching practices. There was no one solution to these types of problems. Instead, 25 customized solutions were developed and shared, and a process to research and manage change was introduced as a means to stay on top of continuous change. The ARP project made experts out of Indonesian researchers who were motivated but needed a structured pathway and a community of supporters to overcome obstacles to mediated change. It is one of the most successful approaches resulting from the HELM project, and the research and practical models ARP developed were institutionalized across multiple HEIs with similar issues. This model, given its participatory nature and use of continuous evaluation and adaptation, attracted attention from international peers when four of the ARP teams presented their projects at the

Comparative and International Education Society conference in Washington, DC in March 2015.

International accreditation support. In addition to the professional development portfolio and the ARP approach, HELM uncovered other successful approaches as well. The roadmap to international competitiveness in engineering that was laid out by international partner Arizona State University at Universitas Andalas (UNAND) represented excellence in quality teaching and learning and international accreditation. After HEIs observed the marked differences in engineering study programs and the support UNAND received, demand for similar programs expanded. Likewise, the approaches HELM gathered for the career development centers and the entrepreneurial models for the akademi komunitas were absorbed with enormous enthusiasm. HEIs quickly customized approaches and looked for resource people and programs with which to work.

Investing in and linking local champions. In all of these initiatives, HELM took a similar approach: invest in leaders and introduce them to ways to practice supportive and collaborative leadership and investigate solutions to their problems. As the solutions begin to take shape, provide them with the examples, resources, and technical support to customize a program to enable them to rise to the occasion. There was one final step that was indisputable, especially in Indonesia: help newly strengthened leaders garner participation from peers and teams beneath them and, importantly, manage up to authority figures to build support to institutionalize solutions with budgets and longer-term plans. These last crucial steps varied in their importance depending on the managerial climate and the amount of supportive leadership already in place.

In ongoing support to HELM alumni and beyond, one of the most sustainable approaches of the HELM project was building communities among higher education professionals. This project approach was crucial to higher functioning initiatives and to the sustainability of HELM activities. For example, when Indonesian President Widodo appointed Professor Yohana Yembise as Minister of Women's Empowerment and Child Protection, she was already a good friend of HELM. She had been an active member in the women's leadership activities early on and understood the role of networks and communities in changing attitudes and behavior – what she and others in Indonesia referred to as a 'mental revolution.' The strength of the HELM commitment and community led quickly to a much stronger set of activities to support women's leadership in higher education. HELM was able to build on this increase in activity to conduct the first collaborative research effort conducted for and by people committed to understanding the condition of women professionals in higher education. It was the first step in the gathering momentum for change. Now an independent legal entity with its own operating budget, the women's leadership group is well positioned to strengthen this effort from within. The other networks described above in Section 5 that were built under HELM activities, also give credence to the approach that investing in community and horizontal growth works.

Beyond HELM. As RISTEK-DIKTI moves into its new five year plan starting in 2017, the needle has moved on higher education quality in Indonesia. HEIs have much stronger systems to manage operations and change, and have better access to the tools that can improve their chances for success. Internet technology is growing rapidly, even in Papua, and the digital capacity to store, manage, and generate information will continue to expand with it. These are some of the ingredients of success. RISTEK-DIKTI and the higher education community still need support to develop new strategies that work and new ways to ensure that students and research excellence are at the centerpiece of higher education activity.

ANNEX A. MONITORING AND EVALUATION

NO.	INDICATOR	DISAGGREGATION	DATA SOURCE	FREQUENCY	LOP TARGET	LOP TO DATE RESULTS
1	Number of host-country individuals trained in Indonesia as a result of USG investments involving higher education institutions. (Standard)	Sex; HEI; Core management area; training activity; training method (direct/indirect)	HELM program and partner HEI records collected via the standard registration form and the standard attendance form	Quarterly	2,275 individuals trained (unique for all years)	Total: 3,872 Men: 2,503 individuals (65%) Women: 1,369 (35%)
3	Proportion of females who report increased self-efficacy at the conclusion of USG supported training/programming. (Standard)	Core management area; HEI; training activity	Pre- and post-tests collected at relevant HELM training events and retroactive post-test for long-term activities where pre-tests were not collected	Quarterly	n/a	n/a
5	Number of USG-supported organizational improvements that strengthen the institutional capacity of host country higher education institutions. (Standard)	HEI; core management area	SOPs, policy manuals, policy decrees from upper leadership, organizational charts, etc.	Annually	60 organizational improvements	528 organizational improvements
7	Number of USG-assisted higher education partnerships between US and host country institutions that address regional, national, and local development needs. (Standard)	Indonesian HEI	MOUs/partnership agreements signed between an Indonesian higher education institution and an American partner in higher education	Annually	13 partnerships	13 partnerships

NO.	INDICATOR	DISAGGREGATION	DATA SOURCE	FREQUENCY	LOP TARGET	LOP TO DATE RESULTS
8	Number of graduate programs in HE administration developed or strengthened. (Custom)	HEI	HEI records; study program documentation; curricula/teaching modules; annual reports of students enrolled and (eventually) graduated from the programs; symposium invitations; journal publications; websites; brochures; press releases	Annually	n/a (results are by fiscal year)	4 programs developed or strengthened
11.2	% of HEIs participating in Action Research which have completed a new change management initiative based on their ARP proposal. (Custom)	HEI; type of HEI; status of HEI; core management area	Approval from ARP advisors based on confirmation of proposal, final report, and proceedings	Annually	Batch 1: 90% Batch 2: 60%	Batch 1: 90% Batch 2: 93% Overall, 92% of all AR projects successfully completed
12.1	% of HELM-supported HEIs in each cohort that have new or improved standard operating procedures in finance including budgeting, procurement financial reporting, and auditing. (Custom)	HEI; type of HEI; status of HEI	SOPs at the institutional, department, or working unit level	Annually	56% of HEIs exhibiting new or improved SOPs in financial management in both cohorts (Results are cumulative).	68% of HEIs exhibition new or improved SOPs
13.1	% of HELM-supported HEIs reviewed by BAN-PT that are newly accredited. (Custom)	HEI, type of HEI, status of HEI	HEI partner records; BAN-PT	Annually	95%, or 42 out of 44 HEIs	91%, or 40 out of 44 HEIs

NO.	INDICATOR	DISAGGREGATION	DATA SOURCE	FREQUENCY	LOP TARGET	LOP TO DATE RESULTS
13.2	Number of study programs at HELM-supported HEIs reviewed by BAN-PT that receive an accreditation ranking of A or B. (Custom)	HEI, cohort, HEI location, HEI type, HEI status	HEI partner records; BAN-PT	Annually	1,555 study programs at HELM-supported HEIs accredited with rankings of A or B	1,741 study programs at HELM supported HEIs accredited with rankings of A or B
14	Percent change in new partnerships since project inception, reported by a sample of HELM-supported HEIs. (Custom)	Type of partnership, type of HEI, status of HEI	HEI collaborative documents or a summary sheet of new partnerships pursued or actively pursued as signed by the Vice Rector or Rector	Annually	n/a	n/a
15	Number of higher education professionals who participate in an interactive webinar session facilitated by HELM. (Custom)	HEI; type of HEI; Status of HEI (public/private); Sex; Core management area; Individual vs. group learning connection; Frequency of participation	UGM-provided attendance/registration form and HEI-provided attendance lists for group learning participants HELM-collected attendance/registration form for webinar sessions conducted by HELM.	Quarterly	n/a	Total: 658 unique individuals with 1,826 attendances Men: 448 (68%) Women: 210 (32%)

ANNEX B. HELM TECHNICAL PRODUCTS

PRODUCT	DESCRIPTION	LOCATION
Assessment of the Higher Education Financial Policy Environment (September 2012)	This report focuses on the related issues of finance and governance in higher education in the Asia region, and specifically in Indonesia.	DEC
Methodology Review and Analysis in Support of DIKTI strategic indicators and the annual/long-term plan (September 2012)	A review and analysis of the implementation of data collection, reporting, and analytical processes in support of DIKTI strategic indicators and long-term plan	DEC
Assessment of Financing of the Higher Education Sector in Indonesia (August 2012)	This assessment of higher education financing in Indonesia supplements previous analytical work to better understand the history and context of the regulatory environment for HEIs in Indonesia.	DEC
Assessment of Student Financial Assistance in Indonesia (September 2012)	This assessment reviews the existing public student financial assistance programs available in Indonesia.	DEC
Collaborative Assessment of 11 HEIs to Inform the Development of Follow-On Activities (January 2013)	This assessment summarizes the key findings conducted by two HELM field work trips to 11 Indonesian HEIs.	DEC
Trends and Opportunities in Quality Assurance and Collaboration with External Stakeholders for Indonesian HEIs (August 2012)	This report assesses quality assurance (QA) policies and approaches within HEIs and external to them, including HEI external stakeholder collaboration.	DEC
Analysis of Successfully Employed Approaches to Improved Quality and Relevance for Academic Programs in HEIs in Indonesia and Southeast Asia (August 2012)	This report offers an overview of the pressures on higher education in Indonesia from the standpoint of enrollment trends, autonomy status, and workforce needs within the broader context of Southeast Asia.	DEC
Indonesian Survey of Student Learning Activities (ISSLA) Pilot Study (January 2014)	This report was a strategy implementation study of the adaptation of the national survey of student engagement to Indonesia.	Submitted to USAID
Labor Demand Study of Industry Sectors in North Sumatra and South Sulawesi (January 2014)	This labor demand study examined firms' perceptions of graduate competencies.	Submitted to USAID
Assessment of Shared Learning Mechanisms and Best Practice Dissemination Among HEI Management in Indonesia (November 2013)	This assessment provides lessons learned and good leadership and management practices with HELM partner institutions and the broader HEI community in Indonesia.	Submitted to USAID
Preliminary design and methodology for HELM community college intervention (January 2014)	This paper includes initial studies into the design and methodology that will enable HELM to provide specific assistance in support of the AK sub-sector of higher education.	DEC
TOT Modules		

PRODUCT	DESCRIPTION	LOCATION
Effective Facilitator in Higher Education	All modules are available in Bahasa Indonesia only and include flash drives that contain soft copies of the training module, accompanying worksheets, relevant videos, and additional reading materials.	Printed hard copy
Quality Assurance in Higher Education	The QA module focuses on continual quality improvement and theory and practices of coaching.	Printed hard copy
General Administration and Leadership in Higher Education	The GAL module focuses on how to be a more supportive leader and facilitate capacity building and teamwork.	Printed hard copy
Financial Management in Public Higher Education	The FM module focuses on training in overall financial management for public HEIs.	Printed hard copy
Financial Management in Private Higher Education	The FM module focuses on training in overall financial management for private HEIs.	Printed hard copy
Collaboration with External Stakeholders in Higher Education	The CES module focuses on how to establish collaboration and partnerships with external stakeholders and how to build a collaborative environment in higher education.	Printed hard copy
Action Research Project in Higher Education	The ARP module focuses on how to train new individuals in running an ARP process.	Printed hard copy
Case Studies and Books		
Quality Assurance: On Progress 2012-2016	This resource provides success stories of model quality improvements done by selected HEIs.	Printed hard copy
Best Practices on Career Development Centers for Indonesian Universities	This publication, available in Bahasa only, provides best practices and lessons learned from HELM's career development center approach.	Printed hard copy
Towards an Entrepreneurial Model for Akademi Komunitas: The Case of AK Aceh Tamiang	This case study, available in both languages, describes the entrepreneurial model and its successes and challenges in the AKs.	Printed hard copy
Navigating Change Through Action Research: Cases from 25 Higher Education Institutions Across Indonesia	This publication, finalized in both languages, emphasizes that action research is about process and summarizes each ARP team's experience.	Printed hard copy
Case Studies Collection on Higher Education Leadership and Management: Teaching Materials for Postgraduate Programs	This case study is meant to serve as teaching material for HE leadership and management at the postgraduate level.	Printed hard copy
Collaborative Research: An Analysis of Women's Leadership in Six Indonesian Universities on Four Islands: Confronting the Reality	This research paper analyzes six different Indonesian universities and investigates patterns to understand women's participation in leadership positions.	Printed hard copy
Visual Case Studies		
"Polytechnic Aceh Improves Student Employability through Strong Partnership with Industry and Government"	This video illustrates how Politeknik Aceh improves student employability through strong partnerships with industry and government.	RISKTEK-DIKTI website and YouTube: https://www.youtub

PRODUCT	DESCRIPTION	LOCATION
		e.com/user/helmindonesia
“Community Academy in Aceh Tamiang Builds Stronger Local Entrepreneurs”	A visual case study which highlights how the Community Academy in Aceh Tamiang builds stronger local entrepreneurs.	RISKTEK-DIKTI website and YouTube: https://www.youtube.com/user/helmindonesia
“USAID HELM helps Syiah Kuala University Use Action Research to Achieve an ‘A’ Level Accreditation”	This video shows how USAID HELM helps Universitas Syiah Kuala use action research to achieve an “A” level accreditation.	RISKTEKDIKTI website & YouTube: https://www.youtube.com/user/helmindonesia
“USAID HELM and University Muhammadiyah Malang Increase Student Centered Learning and Improve Educational Quality”	This video depicts how USAID HELM and Universitas Muhammadiyah Malang increase student-centered learning and improve educational quality.	RISKTEK-DIKTI website and YouTube: https://www.youtube.com/user/helmindonesia
“Addressing the Struggles of First Year Students in Papua through Academic Skills Classes”	This video outlines how the struggles of first year students in Papua are addressed through academic skills.	RISKTEK-DIKTI website and YouTube: https://www.youtube.com/user/helmindonesia
“Strengthening Research Collaboration with Community, Private Sector, and Local Government in Maluku”	This video depicts the strengthening of research collaboration with community, private sector, and local government in Maluku.	RISKTEKDIKTI website & YouTube: https://www.youtube.com/user/helmindonesia
“USAID HELM FORKOM KMPT e-magazine launching”	The first edition of this online magazine was launched on July 28, 2016, and, as a start-up, many articles featured were from HELM newsletters or websites.	http://emagazine-kmpt.net

U.S. Agency for International Development

1300 Pennsylvania Avenue, NW

Washington, D.C. 20523

Tel.: (202) 712-0000

Fax: (202) 216-3524

www.usaid.gov