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EVALUATION OF THE INDONESIA UNIVERSITY PARTNERSHIPS PROGRAM: PHASE THREE – PARTNERSHIPS #5-#8

Final Report
April 4, 2014

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Photo courtesy the UCSC/Indonesia Marine Biotechnology Collaboration

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5. Adaptation to Climate Risk in Indonesia; 07/08/2011 – 07/07/2014:
 - Columbia University (USA) and Institut Pertanian Bogor (IPB)
6. Strengthening Health Systems in Indonesia; 07/21/2011 – 07/20/2014:
 - Harvard Medical School (USA), Universitas Gadjah Mada (Yogyakarta), and Universitas Syiah Kuala (Banda Aceh)
7. Indonesian Marine Biotechnology; 07/21/2011 – 07/20/2014:
 - University of California Santa Cruz (USA), Universitas Diponegoro (Semarang, C. Java), Universitas Hasanuddin (Makassar, S. Sulawesi) and Eijkman Institute (Jakarta)
8. Supporting Indonesian Geothermal Education Capacity Building; 11/14/2011 – 01/31/2014:
 - University of Southern California (USA), Institut Teknologi Bandung (ITB), and Star Energy (Jakarta)

FINAL REPORT

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DISCLAIMER:

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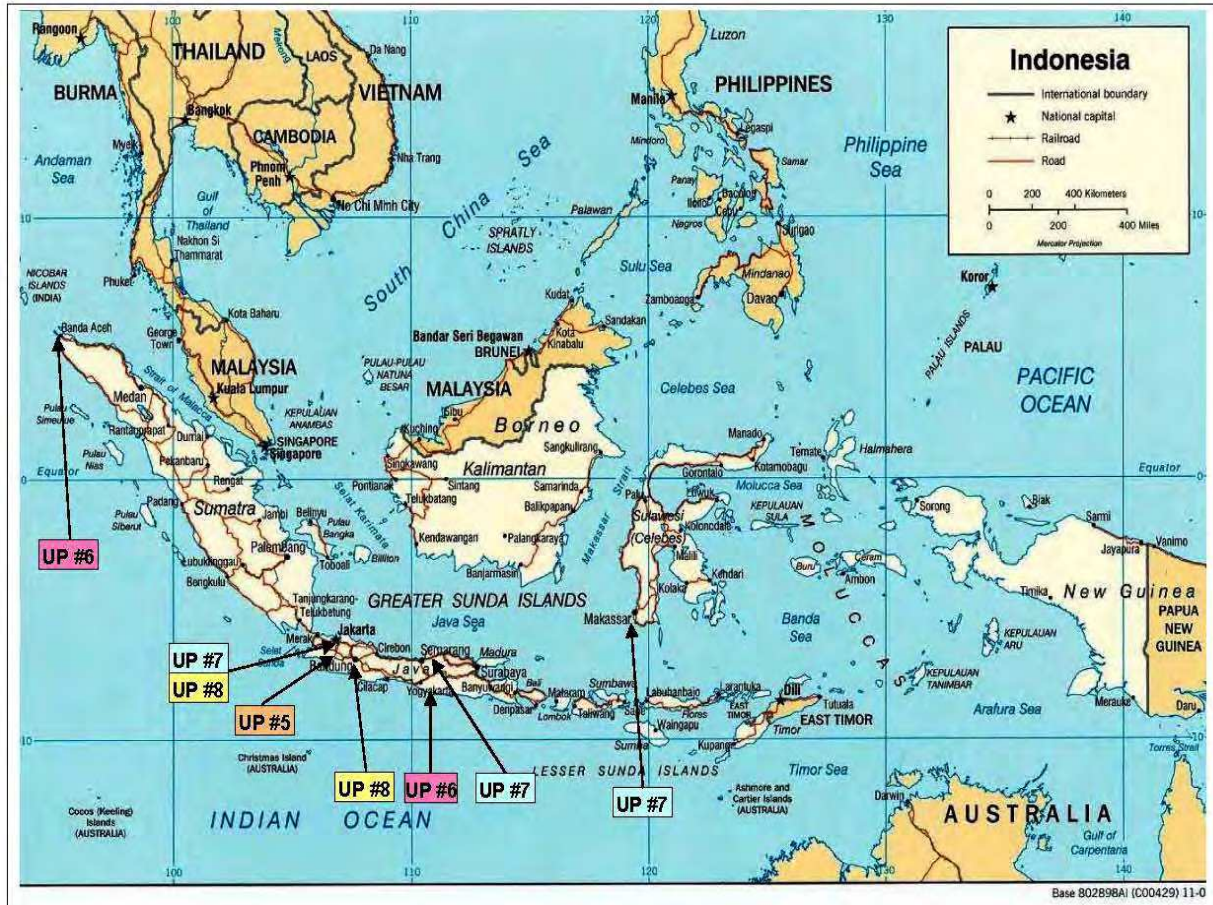
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ACRONYMS AND ABBREVIATIONS

ACRI	Adaptation to Climate Risk in Indonesia
AGW	Annual Geothermal Workshop
BKSDA	Balai Konservasi Sumber Daya Alam (Natural Resource Conservation Center)
BMKG	Badan Meteorologi, Klimatologi, dan Geofisika (Indonesian Meteorological, Climatological and Geophysical Agency)
CCROM-SEAP	Centre for Climate Risk and Opportunity Management in Southeast Asia Pacific
CITI	Certification in Human Subjects Protections
CT	Coral Triangle
CTI	Coral Triangle Initiative
CU	Columbia University, New York, NY
DIKTI	Direktorat Jenderal Pendidikan Tinggi (Directorate General for Higher Education, Ministry of Education and Culture)
DLP	Distinguished Lecture Program
Gol	Government of Indonesia
GRC	Geothermal Resources Council
GTZ	German Technische Zusammenarbeit (German Technical Cooperation)
IBTCI	International Business & Technical Consultants, Inc.
ICAIOS	International Conference on Aceh and Indian Ocean Studies
ICGB	International Collaborative Biodiversity Group
IGECB	Indonesian Geothermal Education Capacity Building
IRI/IRICS	International Research Institute for Climate and Society, Columbia University
IMB	Indonesian Marine Biotechnology
INAGA/API	Indonesian Geothermal Association (INAGA/API)
IOM	International Organization for Migration
IPB	Institut Pertanian Bogor (Agricultural University Bogor)
IRB	Institutional Review Board
ITB	Institut Teknologi Bandung (Technical University Bandung)
KPSI	Komunitas Peduli Skizofrenia Indonesia (Indonesia Schizophrenia Social Network)
LAPI	Lembaga Afiliasi Penelitian dan Industri (Industrial and Research Affiliation Agency)
LPPM	Lembaga Penelitian dan Pengabdian pada Masyarakat (Research and Community Service Unit)
MDR	Multi-Drug Resistant
MoA	Ministry of Agriculture
MOEC	Ministry of Education and Culture
MoH	Ministry of Health
MOU	Memorandum of Understanding
MTA	Mutual Transfer Agreement
NGO	Non-Governmental Organization
NIH	National Institute of Health

NSF	National Science Foundation
PEER	Partnerships for Enhanced Engagement in Research
PEMDA	Pemerintah Daerah (Local Government)
Ph.D.	Doctor of Philosophy
PI	Principal Investigator
PIC	Person in Charge
PIRE	Partnerships in International Research and Education
PMP	Performance Monitoring Plan
PNS	Pegawai Negeri Sipil (Government Employee)
PUSKESMAS	Pusat Kesehatan Masyarakat (Primary Health Care Center)
R&D	Research and Development
RFTOP	Request for Task Order Proposal
RSJ	Rumah Sakit Jiwa (Mental Health Hospital)
SGCB	Supporting Geothermal Capacity Building
SHSI	Strengthening Health Systems in Indonesia
TAB	Technical Advisory Board
TAG	Technical Advisory Group
UCSC	University of California Santa Cruz, CA
UGM	Universitas Gadjah Mada, Yogyakarta
UNDIP	Universitas Diponegoro, Semarang
UNHAS	Universitas Hasanuddin, Makassar
UNORC	Office of the United Nations Recovery Coordinator (for Aceh and Nias)
UNSYIAH	Universitas Syiah Kuala, Banda Aceh
UP	University Partnership, USAID/Indonesia
USAID	U.S. Agency for International Development
USC	University of Southern California, CA
WWF	World Wildlife Fund

Map of Partnership Locations



- UP#5 Adaptation to Climate Risk in Indonesia
- UP#6 Strengthening Health Systems in Indonesia
- UP#7 Indonesian Marine Biotechnology
- UP#8 Supporting Indonesian Geothermal Education Capacity Building

EXECUTIVE SUMMARY

Project Background

The Comprehensive Partnership between the United States and Indonesia identifies the creation of education partnerships as a top priority. In furtherance of this objective, USAID/Indonesia launched the University Partnerships (UP) program in December 2009 to help improve the quality and relevance of higher education in Indonesia.

This evaluation of the fifth, sixth, seventh and eighth partnership awards was the third of four sets of evaluations of the partnerships and was carried out in February 2014 by International Business & Technical Consultants, Inc. (IBTCI) on behalf of USAID/Indonesia under Task Order AID-497-TO-12-00004. The topics of the four partnerships evaluated were:

- UP#5-*Adaptation to Climate Risk in Indonesia*,
- UP#6-*Strengthening Health Systems in Indonesia*,
- UP#7-*Indonesian Marine Biotechnology*, and
- UP#8-*Supporting Indonesian Geothermal Education Capacity Building*.

Objectives of the Evaluation

The evaluation was asked to address the following five questions: **EQ1**-what are the specific knowledge and skills and the institutional capacity building that have occurred as a result of the partnership? **EQ2**-what were the project interventions that were effective between the participating universities? **EQ3**-what unintended results have occurred? **EQ4**-what are the lessons learned from the partnership that may be replicated in future programs? and **EQ5**-what are the strengths and weaknesses of the partnerships?

Evaluation Methodology and Limitations

The evaluation team was comprised of two expatriates, an Indonesia specialist, and an Indonesian coordinator. The team conducted semi-structured interviews involving 89 interviewees (48 women, 41 men) with the relevant Indonesian partnerships. The short duration (24 days in-country) of the evaluation process, which required extensive travel and interviews organized around the rainy season and a volcano eruption, was a limiting factor.

Included are overall recommendations across the four partnerships followed by selected key findings/conclusions and recommendations for each of the partnerships. The EQ cross-reference is to the evaluation questions.

Overall Recommendations across the Four Partnerships

There were common themes that emerged from the findings and conclusions of the four individual UP reports. The overall recommendations are based on these themes along with some insights gained during a debriefing session at USAID/Indonesia. The recommendations are both short-term (recommendations 1-4) and longer-term (recommendations 5-8) and include potential strategies suggested by the respondents.

I. *'Documentation/dissemination' of results for the local consumer.* Results of the partnerships need to be documented and “translated” into appropriate language and modalities for local

application, “end-users” or “consumers” of science and technology. A strategy would be to appoint a task force or hold a workshop of potential users to review and make suggestions as to appropriate action plans.

2. *Champions’ to understand and advocate for supportive policy.* To be effective, decision/policy-makers need to be knowledgeable about the results and ‘champions’ are needed to advocate for proper policy or support procedures to transfer the results into action. A good strategy is the use of a technical advisory board/group involving key influencing advocates, whether government, private sector, academic or field-level. Those UP institutions with active advisory groups can begin now to identify and facilitate such ‘champions.’

3. *Continued ‘funding’ to further achieve individual and institutional sustainability.* The Partnerships achieved improved participant knowledge and skills and improved capacity building activities and will have achieved some individual sustainability and organizational sustainability, although none are sustainable without additional funding. The projects were overly ambitious in their objectives considering the three-year time frame. A strategy is for USAID to assess the possibility of strategic complementarity funding among the current Partnerships.

4. *Further demonstration of Indonesian ‘financial and management capability’ with accountability.* There is need for testing alternate models; strategies could include the use of LAPI, the Industrial and Research Affiliation Agency at ITB (Institut Teknologi Bandung), development of a research consortium (e.g., an Indonesian Science Foundation) or a streamlined LPPM (Research and Community Service Unit). Enabling Indonesian recipients to contract directly with USAID is critical for the Indonesian institutions to gain access to alternative funding sources and to strengthening their overall institutional management capacity.

5. *Strengthen Partner ‘work force’ linkage opportunities and leadership opportunities for women.* More internships and linkages with the private sector and government sector are needed. A strategy is that the Indonesian institutions do a rapid assessment of the UP program linkage opportunities in their region. There are dynamic Indonesian women role models in science and more can be done in providing leadership awareness opportunities via these individuals. The UP institutions should identify these women and reach out to them although there was no perceived gender difference in the effectiveness of project implementation.

6. *Enhance ‘partner contacts’ and exchanges.* Longer and more ‘partner contacts’ and researcher exchanges would be useful. Benefits need to be mutual and expected outputs and responsibilities of partners better clarified.

7. *Strengthen ‘curriculum quality’ and practical training.* The program curriculum should be performance-based with clear objectives and scope and sequence guides, along with more practical modules, relevant simulations, case studies, and field work. Laboratories need more up-to-date equipment and better access to current technology. The Indonesian government, along with selected U.S. universities and private sector partners, can help provide this.

8. *More work on ‘technology transfer’ to the field.* Much of the effort to-date has been capacity building with the model development and/or research conducted as the mode for the knowledge sharing and capacity building effort. A strategy is to develop supportive policy and a process for the ‘technical transfer’ of a prototype to the ‘field’ via Indonesian sponsored study trips to these exemplary institutions to better understand the ‘technology transfer’ process.

Adaptation to Climate Risk in Indonesia (ACRI)

Key Findings/Conclusions. (EQ1)-ACRI has satisfactorily achieved its climate risks tool development, engagement and awareness activities, and capacity building activities at the institutional level but needs more effort to provide a sustainable engagement of the local community; *(EQ2/3)*- Columbia University has made a significant contribution to the implementation of the interventions and practices, that is, planning and coordination of the Partnership has been excellent and partner contacts are providing valuable research insight and data for the IPB faculty and student; and *(EQ4/5)*- sustainability can be improved through empowered management, multiple financing sources, development of user-friendly materials, continued linking with a partner university, linking with a successful government project, and networking with national policy/decision-makers.

Recommendations

1. *More input and better coordination at the technical advisory level.* The Centre for Climate Risk and Opportunity Management (CCROM-SEAP) should consider setting up a technical advisory board/group consisting of government, private sector and donor representation to advise on relevant Climate Risk Management projects.
2. *Marketing plan and improved ‘technology transfer’ process.* A plan or process for marketing and operationalizing the climate tools is needed. Institutions in the U.S. are moving toward establishing ‘technology transfer’ offices; these institutions should be visited.
3. *Improve timeliness and decision-maker and farmer awareness of climate information.* The tool shows signs of being able to reduce early warning time and there is interest in expanding to other districts. A strategy is to link with the roll-out of the successful government sponsored Climate Field Program.
4. *Improve documentation and reporting.* More practically related modules, and user-friendly and transportable materials describing the modeling methods should be developed.

Strengthening Health Systems in Indonesia (SHSI)

Key Findings/Conclusions. (EQ1)-the strategy of using direct participation in actual research projects was an effective method for building capacity in basic and applied research; *(EQ2)*- Harvard Medical School was a key player in the overall planning, coordination and implementation of the Partnership and communication was excellent; *(EQ3)*: Harvard Medical School contributed to the unanticipated results and to the larger provincial and national mental health programs; and *(EQ4/5)*- key lessons to be considered in developing a sustainable program in mental health services are inclusive participation, more inter-disciplinary research, and improved program linkage between hospitals, sub-districts and community.

Recommendations

1. *No-cost extension of at least six months.* The projects are at a documentation/ dissemination and policy impact level. A final conference, reporting out of research results, and some policy-level planning and advocacy is recommended. The projects took time because they were participatory, required research training, and an Institutional Review Board (IRB) approval process.

2. *Contracting directly.* USAID should consider contracting directly with UGM/Department of Psychology with assistance from UGM management. UGM has the emerging leadership that could well be in a position to be strengthened to handling a contract/cooperative agreement.
3. *Local program leadership/advocates.* Yogyakarta can lead an effort to build a National Training 'Center/Model' for mental health in Indonesia. A future partnership could include prevention, children and adolescent mental health, and providing more relevance to the community at large.
4. *Strategic plan to scale up to a more comprehensive, sustainable mental health system for Yogyakarta.* This could be done for the whole province or a pilot district. There is need to work closely with the SHSI partnership, Provincial Health Office, university leaders, and community primary health care groups in developing this plan.

Indonesian Marine Biotechnology (IMB)

Key Findings/Conclusions. (EQ1)- IMB has satisfactorily achieved its marine biology objectives in knowledge sharing and skill technology transfer, UNDIP and UNHAS have begun to improved their institutional marine biology training capacity, and selected lecturers have improved their capacity to conduct basic and applied research addressing the important topic of multi-drug resistance (MDR) isolates; *(EQ2)*- University of California Santa Cruz (UCSC) made a significant contribution to the overall planning and coordination of the Partnership, the UCSC contacts provided valuable technology support and research insight to UNDIP and UNHAS; *(EQ3)*- UCSC contributed to activity implementation and had a positive effect on the unanticipated results; and *(EQ4/5)*-key lessons in developing sustainability include more inter-disciplinary research (e.g., pharmacology and medicine), improved linkage with the private sector, and a continued linkage with international research institutions (e.g., Eijkman Institute and UCSC).

Recommendations

1. *Support inter-disciplinary involvement and coordination with more partners.* Marine biology program/research development should be a priority in Indonesia because of potential for anti-drug biotic research. The Coral Research Triangle area is a natural location for such research. Current partners are a good fit, although one or two more partners would be good.
2. *Develop more Indonesian capability in laboratory analysis.* Replicating the UCSC Linington lab at the Eijkman Institute would reduce the need for a Mutual Transfer Agreement (MTA) and inefficiencies involved with transferring micro-organisms from Indonesia to UCSC. UNDIP, UNHAS, and the Eijkman Institute would benefit from more laboratory equipment.
3. *Improve student and researcher exchanges, and an expanded cadre of expertise.* Currently, the number of individuals with recognized expertise is limited and any mobility of these researchers will hinder human resource capacity.
4. *Improve program quality, documentation, and reporting of findings.* There is need for strengthened program quality, more practically related modules, and more published manuscripts/papers of the research methods, findings, and impact successes.

US-Indonesian Geothermal Education Capacity Building (IGECCB)

Key Findings/Conclusions. (EQ1)- Institut Teknologi Bandung (ITB) institutional management and program staff should be commended for the initiative and leadership they demonstrated in implementing the institutional strengthening, improved knowledge and skills, capacity building, and enrollment increase (women and men) in the geothermal program; *(EQ2/3)*-overall planning and communication with the University of Southern California (USC) has been a challenge (as there were technical communication issues) and interventions were coordinated and delivered almost entirely with the effort and leadership of ITB, Star Energy and an active Advisory Board; and *(EQ4/5)*- ITB geothermal energy program has potential sustainability providing the two advocates (ITB and Star Energy) continue to support and complement each other.

Recommendations

1. *Research consortium with industry.* There is need for developing a consortium to focus on the priority needs of industry.
2. *Improved teaching and a curriculum model.* There is need to develop better teaching modules and to upgrade the curriculum guides.
3. *Linkage to the Geothermal Resource Council (GRC).* The GRC would be a good linkage to a consortium of universities and international partners; a series of short courses based on competency-based standards with certification could be offered through GRC.
4. *Responsive to the Polytechnics.* In general, Polytechnics did not participate in the geothermal training courses; ITB could provide leadership in this area by working closely with Star Energy and the Polytechnics to provide training and a geothermal emphasis at the Polytechnics.
5. *Student support – scholarships, industry linkage, and follow up.* More scholarships and exchange opportunities for students should be provided with support from government, donors and industry along with more industry work-experience options and a tracer study of graduates.
6. *Need to develop ITB financial and management capability* to receive donor funding directly. Lembaga Afiliasi Penelitian dan Industri (LAPI) Foundation at ITB is an option to be tested.

I. INTRODUCTION

Project Background

The Comprehensive Partnership between the United States and Indonesia identifies the creation of education partnerships as a top priority. In furtherance of this objective, USAID/Indonesia launched the University Partnerships (UP) program in December 2009 to help improve the quality and relevance of higher education in Indonesia. Establishing U.S.-Indonesia university partnerships leverages U.S. universities' expertise to strengthen the research and teaching capacity of Indonesian institutions. To date, USAID has made awards to 16 U.S.-Indonesia university partnerships, typically with the U.S. university as the awardee and one or more Indonesian partner organizations as sub-awardees. The range of awards was from \$600,000 to \$1,000,000 in funding from USAID/Indonesia.

This evaluation of the fifth, sixth, seventh and eighth UP partnership awards was the third of four sets of evaluations of UP partnerships by International Business and Technical Consultants, Inc. on behalf of USAID/Indonesia under Task Order AID-497-TO-12-00004 and was carried out in February 2014. The topics and university partners of the four partnerships evaluated were:

5. Adaptation to Climate Risk in Indonesia; 07/08/2011 – 07/07/2014:
 - Columbia University (USA) and Institut Pertanian Bogor (IPB)
6. Strengthening Health Systems in Indonesia; 07/21/2011 – 07/20/2014:
 - Harvard Medical School (USA), Universitas Gadjah Mada (Yogyakarta), and Universitas Syiah Kuala (Banda Aceh)
7. Indonesian Marine Biotechnology; 07/21/2011 – 07/20/2014:
 - University of California Santa Cruz (USA), Universitas Diponegoro (Semarang, C. Java), Universitas Hasanuddin (Makassar, S. Sulawesi) and Eijkman Institute (Jakarta)
8. Supporting Indonesian Geothermal Education Capacity Building; 11/14/2011 – 01/31/2014:
 - University of Southern California (USA), Institut Teknologi Bandung (ITB), and Star Energy (Jakarta)

Purposes of the Evaluation

The purposes of the evaluation were to: 1) assess the extent of the knowledge and skills transfer that has occurred between the lead U.S. university and the Indonesian partners as sub-awardees; 2) determine the extent or level of the capacity building that has taken place within the partnerships; 3) assess the effectiveness of the project interventions between the partners to improve teaching and research services; 4) assess whether the projects are sustainable and have achieved project objectives; 5) obtain lessons learned from the partnerships that can be applied to the future direction of the UP program; and 6) demonstrate how institutions have achieved measurable improvements in the quality and relevance of their teaching and research.

Specifically, each of the evaluations was asked to address the following five questions:

- I. What are the specific knowledge and skills and the institutional capacity building that have occurred as a result of the partnership between the U.S. university and the Indonesian partner(s)?

2. What were the project interventions that were effective between the participating universities toward improving the quality of the research services, teaching, and curriculum development?
3. What unintended results have occurred toward achieving USAID's Education Strategy in IR 2.2 (Strengthened Management of Targeted Higher Education Institutions), and IR 2.3 (Improved Teaching, Research, and Service at Targeted University Departments) under the partnership?
4. What are the lessons learned from the partnership that may be replicated in future programs based on its sustainability in curriculum development, research services, publications, public/private partnerships, and possibilities for engagement with other partners (government, NGO, or private sector) at the end of the award?
5. What are the strengths and weaknesses of the partnership between the U.S. university and the Indonesian partner(s)?

Evaluation Methodology and Limitations

The IBTCI evaluation team was comprised of one American specialist, Dr. G. Boardman, one Dutch specialist, J. Ceelen, and one Indonesian specialist, Dr. Dwatmadji; Ms. W. Kusuma provided logistical support. During its evaluation of the four UPs, the team visited seven Indonesian partner organizations and had telephone/e-mail input from an eighth. Discussions/inputs were obtained from project and university management, technical advisory groups, faculty and students, provincial/district-level officials, key agency stakeholders and the U.S. partner universities (Columbia University, Harvard Medical School, University of California Santa Cruz, and University of Southern California) to verify and complement data collected from document review, the Indonesian site visits, and interviews.

The evaluation team examined a wide range of reports provided by the Mission and/or obtained from U.S and Indonesian partner universities, other organizations and related web sites. The team conducted semi-structured interviews involving 89 interviewees (48 women and 41 men) with the relevant Indonesian partnerships, which included several small group discussions. Some interviewees were included in more than one session, resulting in a total of 134 participants in the different sessions. The evaluation drew on the analytical framework established and used in the 2011 USAID report *Best Practices for USAID International Higher Education Institutional Partnerships: Asia and Middle East Regions* in developing its research instruments.

The short duration (28 days in-country) of the evaluation process, which required extensive travel and interviews organized around the rainy season and a volcano eruption, was a limiting factor. There were inconsistencies in the Performance Monitoring Plans, resulting in some incompleteness in the reporting of selected indicators and some of the gender data. There were no comparison groups. More time to visit the Indonesian universities would have been helpful. Given the university and national sensitivities which may be implicit in the implementation of multi-institutional partnership programs, the team was cognizant of the cultural and geographical differences among sites visited and considered these differences in the evaluation.

Organization of the Report

The report contains: an introduction, sections for each of the four partnerships, and overall recommendations. Annexes include the scope of work (**Annex A**), work plan/itinerary (**Annex B**), interviewees (**Annex C**), data collection instruments (**Annex D**), conflict of interest forms (**Annex E**), and references (**Annex F**). Detailed information about each of the partnerships is contained in a separate volume being submitted to USAID/Indonesia.

II. ADAPTATION TO CLIMATE RISK IN INDONESIA (ACRI)

ACRI Overview

On July 8, 2011, USAID/Indonesia (USAID) awarded a three-year University Partnerships (UP) cooperative agreement No. AID-497-A-11-00011 totaling US\$636,549 to Columbia University (CU) and Institut Pertanian Bogor (IPB) to provide support for the partnership entitled “Adaptation to Climate Risk in Indonesia.” The purpose of this cooperative agreement is to help build capacity to strengthen Indonesia’s capacity for climate change adaptation in meeting its development challenges.

The three ACRI objectives were:

1. Through collaborative, place-based research, build capacity of Indonesian researchers on the latest methods and tools to manage climate risks to sustainable development in Indonesia, with a focus on agriculture and peatland fires;
2. Improve knowledge of local authorities and other stakeholders on techniques and methods for adaptation to climate risks, and improve their access to problem-relevant climate forecasts appropriate to decision making; and
3. Enhance awareness of national and provincial-level government officials and private-sector stakeholders on climate change adaptation priorities and methods, and increase stakeholder support for expanded climate risk management efforts.

The six related planned components to accomplish these objectives were:

1. Development of agricultural risk management research capacity through creation of a dynamic cropping calendar and forecast index insurance in Indramayu district, West Java;
2. Development of capacity for research on peatland fire early warning through collaborative efforts in Kapuas district, Central Kalimantan;
3. Development of climate modeling and analysis for adaptation measures in agriculture and peatland fires;
4. Engagement of local authorities and critical stakeholders, including in the private sector, engaged and trained in Indramayu district on the use of dynamic crop calendars and index insurance;
5. Engagement of local government officials in seasonal fire early warning combined with incentives for reduced fire in Kapuas district; and
6. Sustainable engagement of research community with key stakeholders in government, private sector, and NGOs for adaptation to climate risks in Indonesia.

Institutional Management - IPB’s Center for Climate Risk and Opportunity Management – Southeast Asia and Pacific (CCROM-SEAP) and Columbia’s International Research Institute for Climate and Society (IRI)

At IPB, the partnership was coordinated through CCROM-SEAP (the Center for Climate Risk and Opportunity Management – Southeast Asia and Pacific). The Center was established in 2008 and, during the start-up phase, was supported by the Indonesian government, the Asian

Development Bank, and the World Bank. GTZ, Japan, Australia and the United Nations were also involved during the early years under an umbrella of organizations within the SEAP region. Climate Risk Management was the common focus of the collaborating organizations. CCROM-SEAP has tended to specialize in: formulation of tools, methods and approaches for managing climate risks; generation of demand driven biophysical, socio-economic and impact data; increased awareness for demand and uptake of risk management efforts; strengthening a network of institutions across the region to manage increasing opportunities of the changing climate; and sharing common experiences and lessons learned. Some related research activities have included water resource, agriculture and food security, human health, livelihoods, and hydro-meteorological shocks.

Columbia University has been working with USAID/Indonesia since 2004. Its International Research Institute for Climate and Society (IRI), housed within the Earth Institute, has been working with Indonesian stakeholders since 2006, with peatlands and fire a major emphasis; IRI is responsible for managing the CA with IPB. IRI is highly recognized internationally, thus providing a degree of international credibility to CCROM-SEAP and IPB by association.

Evaluation Question #1: Partnership Objectives Achieved

Included is information on the achievement of the partnership objectives related to participant knowledge and skills about climate change adaptation priorities and methods and institutional capacity building in basic and applied research (Components 4 & 5 – Objective 2).

The supportive data for the sections on improved participant knowledge and skills and improved capacity building in basic and applied research are from three sources: project reports (illustrative indicators), interviews, and a quality assessment survey. (See Data volume for more detailed indicators, tool development, and survey data.)

Improved Participant Knowledge and Skills (Objective 2)

Indicators (participant trainings, institutional discussions and vulnerable households):

Indicator 1 (participants receiving training - target 150). One hundred fifty-eight individuals were engaged and/or participated in trainings/discussions, including 111 farmers, 20 farmer group participants, and 27 IPB stakeholders – staff, students and district officials – target exceeded.

Indicator 2 (institutions/organizational discussions held target 14). Twenty-one institutions/organizations at district and provincial level engaged in discussions related to the Index Insurance, Dynamic Crop Calendar and/or Fire Risk Management - target exceeded.

Indicator 8 (vulnerable households reached/farmers - target 100). In April 2013, 86 farmers (3 workshops - 66 men, 20 women) engaged in Index Insurance discussions and game exercises in Indramayu District. Later, in October 2013, a group of 60 farmers (50 men, 10 women) from households in Majasih Village and 33 farmers (30 men, 3 women) from households in Tugu Village attended crop failure workshops, which included discussions on the Dynamic Crop Calendar and Index Insurance - target exceeded.

Project Reports and Interviews. Based on the project reports and an interview of the workshop coordinators and trainers, the participants gained an awareness and/or knowledge of the Index Insurance, Dynamic Crop Calendar, and/or Early Fire Warning tool applications. An evaluation

of workshop satisfaction was conducted but there was no monitoring of the level of awareness or improvement except through informal feedback via individual comments by participants to the organizers. The ratio of men to women attending the Indicator 1 and 2 trainings and discussions was 2:1. Indicator 8 household/farmer break-out included above.

Insurance for farmers has had a mixed history in Indonesia as the understanding of the concept and its application to harvest failure in the past has not worked well. The response to the concept has been mixed. The idea will have to be handled carefully. The index insurance discussions were initially piloted in two Indramayu sub-districts, Cantigi (Cantigi village) and Sliyeg (Tugu and Tambi Lor villages). Because of the low turnout of farmers for the sessions, additional workshops were conducted in the Sliyeg sub-district (Majasih and Tugu villages). These latter workshops focused more on climate impact on crop failures as related to insurance. The farmers have an awareness of crop calendars and crop failures, so this was a less sensitive topic of discussion. Turnout was better. Other key local stakeholders were also involved as part of this input process.

Finding 1: Awareness and engagement level indicators showed that target values have been met or exceeded although there was no formal monitoring of the level of the knowledge and skills obtained during the workshops and discussions.

Finding 2: Farmer turnout for the initial orientation and discussion sessions on Index Insurance was less than expected with little interest shown for follow-on sessions. Discussions related to the Insurance Index will continue to be a challenge. The additional workshops were held on the topic of Crop Failure, which is more familiar to the farmers.

Survey: Based on a rating by eight ACRI respondents (2 women and 6 men) on the statement of “The results being delivered are contributing effectively to the achievement of the Partnership purpose and goals,” the results were 75.0% satisfactory and 25.0% unsatisfactory. On the statement “The Partnership is likely to contribute to its objectives, and there is evidence that the targeted beneficiaries will benefit from the Partnership,” the rating was 75.0% satisfactory and 25.0% unsatisfactory. On a gender statement, “The Partnership and its activities are gender-sensitive and gender-balanced,” the rating was 75.0% satisfactory, 12.5% unsatisfactory and 12.5% no response.

Finding 3: The ratings were consistent with the indicator and interview information related to achieving project objectives with a majority of the respondents expressing satisfaction (75%) with the knowledge and skill awareness activities.

Improved Institutional Capacity Building in Basic and Applied Research (Objective 2)

Indicators (courses developed or modified, scholarships and exchanges):

Indicator 3 (new courses or curricula - target 1). One new course and new curricula have been developed - target met.

Indicator 4 (modified courses or curricula - target 2). Two courses were modified and additional practical training materials developed - target met.

Indicator 6 (scholarships and exchanges - target 13). Twenty four individuals participated in USG-funded scholarship and exchange programs; 8 students - 2 IPB (1 man, 1 woman) and 6

CU (4 men, 2 women) and 16 faculty/researchers - 4 IPB (4 men) and 12 CU (10 men, 2 women) - target exceeded.

Project Reports and Interviews. One new course in the *Science of Climate Change* has been developed and two courses have been modified (*Tropical Climatology* and *Applied Climatology*). Several single lectures have been added to different courses, some new training materials developed and practical session modules have been developed. The new course on the *Science of Climate Change* was officially approved in September/October 2013 and is being offered.

Two dissertations, one completed, ‘Development of Climate Index Insurance Model for Improving Rice Farmers Resistance to Cope with Climate Changes’ and one in progress, ‘Development of a Community-Based Fire Early Warning System’, and two master’s thesis on the topic of ‘climate change and crop production’ have been developed related to the tools resulting from the achievement of the Partnership objectives. This was an initial step in demonstrating development of a research capability of students and faculty at IPB to conduct applied research in the field of climatology. In addition, several papers have been written by the faculty related to the tools and presented at national conferences.

Student participants indicated that participation in the U.S. exchange with Columbia University was a dream come-true as experiences were well organized and there was strong networking, partner contacts and research consultation. Follow-through with the partner contacts was maintained after the visits. Capacity-building is continuing as both faculty and students indicated that resource data and information continues to be exchanged. Hydrology software, land-set maps, and forest and land fire maps were received along with a data set on fire spots; all were in support of student Ph.D. research. Participants remain committed and sincere in their relationships and professional communications. In addition, the Columbia University students visiting IPB are conducting research while at IPB.

Finding 4: The exchanges are highly successful as contact partners continue to communicate and are exchanging professional resource information, ideas, data and models. In addition, reviews and critiques are being provided and exchanged.

Survey. Based on a rating of eight ACRI (2 women and 6 men) respondents on the statement, “Capacity building activities are being effectively carried out, skills transferred, and the acquired skills meet the needs of the Partnership owner and stakeholders,” results were 87.5% satisfactory and 12.5% unsatisfactory. On the statement, “Institutional strengthening activities are being effectively carried out”, results were 87.5% satisfactory and 12.5 % unsatisfactory.

Finding 5: The ratings indicated that a significant majority (87.5%) of the respondents were satisfied with the capacity building activities.

Sustainable Engagement of Research Community with Key Stakeholders for Adaptation to Climate Risks in Indonesia (Component 6 - Objective 3)

Project Reports and Interviews. The project reports show that indicators were used across multiple objectives. Indicators should be uniquely mapped to the tasks and objectives. For example, indicators 1, 2, 3, 4 and 6 identified in Progress Report (Quarter 8, Year 2) for Component 6 – Objective 3 are the same indicators used for demonstrating climatology

awareness, knowledge/skill and capacity building activities related to Objective 2. Based on a review of participant attendance sheets included in the project reports, key national, provincial and district-level officials along with selected private sector stakeholders participated in the awareness workshops, especially the index insurance activities.

Faculty interviews indicated that the Objective 1 tools (dynamic cropping calendar and index insurance – Component 1, fire early warning – Component 2, and climate modeling and analysis – Component 3) were developed but need further refinement and pilot testing before they are ready for the end-user/consumer – Component 6/Objective 3. More user-friendly training materials are needed and an effective model of technology transfer, engagement and authorization by and of the appropriate government policy/decision-makers is needed. Additional efforts will need to be made on these activities during the final months of the project to fully achieve Component 6 as it relates to Objective 3.

Survey. Based on a rating of eight ACRI respondents (2 women and 6 men) on the statement of “Relevant information on Partnership achievements/results are being collected and used, and are accessible to stakeholders in appropriate format and language,” the results were 50.0% highly satisfactory, 25.0% satisfactory and 25% unsatisfactory.

Conclusions

Conclusion 1: ACRI has satisfactorily achieved its climate risks modeling/tool development (Objective 1) and engagement and awareness (Objective 2) at the institutional and district-level.

Conclusion 2: ACRI has satisfactorily achieved the capacity building activities at the institutional level (also Objective 2), although there is need for more systematic curriculum development and practical activities to be developed. This would further enhance the potential for student knowledge and skill building.

Conclusion 3: ACRI is limited in its efforts to provide a sustainable engagement of the research community (Objective 3) for adaptation of the tools at the district and farmer level although some awareness activities have been conducted with the key stakeholders and, in general, participant satisfaction was positive.

In summary, ACRI has made satisfactory progress on Objective 1 – Components 1-3, satisfactory progress on Objective 2 – Components 4-5 but still has work to do on Objective 3 – Component 6.

Evaluation Question #2: Partnership Interventions and Practices

Included is information on Columbia University’s contributions to IPB delivery of effective interventions and practices in the achievement of the partnership objectives and other partnership practices such as planning, communication/coordination, implementation and evaluation.

Columbia University’s Contributions to Implementation of the IPB Partnership Interventions and Practices

Project Reports and Interviews. The supportive data included are primarily from the project reports and from U.S. Partner and Indonesian interviews. Columbia University played a major role in the development of the Insurance Index tool and related gaming process. According to

the principal investigator, there was about an 80% input into the development process from Columbia University. IPB and Columbia University worked together in the field (Indramayu District) in delivering the gaming process/index-based incidents and interactive games. The change process utilized was based on Columbia University's experience and contextualized to Indonesia. Relative to the Dynamic Crop Calendar, the principal investigator stated that IPB had a Crop Calendar tool previously and the Columbia University contribution was one of critique and review and assisting with validation.

Columbia University assisted in development of a web-site based on IPB input for the Indonesia Rainfall Analysis Tool and three new products; mapping fire vulnerability based on a historical set of data – fire, land cover and land use, mapping fire risk based on fire vulnerability and climate factors, and forecasting fire risk on a seasonal scale based on climate monitoring. Input from Columbia University was provided in the development of using climate forecasts and methods for applying statistical and dynamic downscaled forecast approaches. Additionally, while in Indonesia, Columbia University staff assisted in the conduct of workshops for IPB faculty and assisted Ph.D. students in acquiring hard-to-get research data, maps and software required for their research. See Data volume for the related CU Climate web-sites.

Finding 6: Columbia University has played a major part in enhancing the quality of the climate tools developed, ensuring quality delivery of the interventions, and in strengthening the capacity of IPB students and faculty.

Contributions by Columbia University to Other IPB Partnership Practices such as Planning, Communication and Coordination, Implementation and Evaluation

Partnership planning and implementation was joint. Several IPB faculty now understand the proposal development process as a part of participating in the writing of the partnership proposal and related work plans and from the joint conduct of workshops for faculty. According to IPB project management, there was a good distribution of tasks and responsibilities between IPB and Columbia University. There was a lot of shared responsibility. Communications between students and faculty of IPB and Columbia University partner contacts has been excellent. There is a monthly Skype conference call. Different partner contacts have been arranged for each of the different climate tools. The partners have been responsible via emails and Skype calls – in terms of answering of questions, responding to requests for information, and discussing ideas for research. The preparation and production of reference documents has been cooperative. Also, reports are joint as they are initially prepared by IPB and then sent to Columbia University for their input, formatting and finalization.

Conclusions

Conclusion 4: Columbia University has made a significant contribution to the implementation of the interventions and practices and to the overall planning and coordination of the Partnership. Communication continues to be excellent and the Columbia University partner contacts provide valuable research insight and access to data for the IPB faculty and student.

Evaluation Question #3: Unanticipated Partnership Results

Included is information on unanticipated partnership results and Columbia University contributions to these results.

Unanticipated Partnership Results and Columbia University Contributions to these Results

Unanticipated partnership results include:

- Fourteen years of data provided by Columbia University for an IPB Ph.D. student along with the necessary land set maps;
- Development of a Columbia University responsive partner contact group list; if an IPB individual has a question, s/he can send the question to the list of contacts and if someone on the Columbia University group list has knowledge about the item, s/he will respond;
- Request for IPB to prepare a proposal to the UN Office for Reducing Emissions from Deforestation and Forest Degradation Coordination in Indonesia, a proposal funded by DIKTI to pilot the Indramayu model for involvement and input by farmers (Dynamic Crop Calendar only) in Pacitan, a district in East Java province; and a request for CCROM-SEAP to be the lead for a detailed climate risk study for two more districts and a general study for all provinces in Indonesia;
- Cooperation, communications, responsiveness and commitment of the Columbia University faculty has exceeded IPB faculty and student expectations;
- Possibility of integrating the climate tools (index insurance, early fire warning and dynamic crop calendar) with the roll-out of the government Climate Field School Program, which has a positive image; and
- An increased number of students from Columbia University are becoming interested in participating in an exchange at IPB. Columbia University is willing to provide some additional funds for student visits. Relatively speaking, the cost of a U.S. student to study at IPB is nominal for such an experience; thus, some students can afford their own costs.

Finding 7: Columbia University contributed to six of the seven unanticipated results identified; three of the unanticipated results related to improving IPB's capacity to conduct basic and applied research.

Evaluation Question #4: Lessons Learned From Partnership Sustainability

Included is information on lessons learned from the IPB Partnership that could help future U.S. – Indonesia University partnerships programs to be more sustainable. The supportive data included are primarily from the U.S. Partner and Indonesian interviews.

Lessons Learned that could Affect Sustainability

Finding 8: Empowered Management/Multiple Funding Sources - the IPB Partnership works through CCROM-SEAP (a Center for Climate Risk and Opportunity Management). For long-term sustainability it is important to work through a sustainable agency which can receive funding from multiple sources with a dedicated and sustainable management staff.

Finding 9: Enhanced Curriculum Development - materials need to be transportable and user-friendly, and use appropriate language for maximum end-user impact and sustainability.

Finding 10: Linking with a Partner University – effective partnerships can be a useful tool in strengthening institutional empowerment and participation; that is, enhancing and building of a sustainable institutional capacity; trust, transparency, commitment and respect are keys.

Finding 11: Linking with a Successful Project – sometimes change can be implemented by linking with an on-going successful program; e.g., integrating the new climate risk management tools with the roll-out of the government sponsored Climate Field Program.

Finding 12: Networking with National Policy/Decision-Makers - Prof. Boer is a member of a National Team for Climate Change and is taking part in an effort to develop a National Action Plan, which is working to translate government policy into local action plans; that is, trying to mainstream climate change into the system. This can be an effective strategy within which the new climate risk management strategies can integrate and/or learn how to better implement outreach involving district officials, farmers groups and local community leaders.

Conclusions

Conclusion 5: Key lessons to be considered in developing sustainability could be empowered management, multiple financing sources, user-friendly materials and curriculum development, linking with a partner university, linking with a successful project, and networking with national policy/decision-makers.

Evaluation Question #5: Partnership Strengths and Weaknesses

Included is information on strengths and weaknesses of the partnership, in particular related to planning, communication/coordination, implementation, and monitoring and evaluation. The supportive data included are primarily from the U.S. Partner and Indonesian interviews.

Strengths

- Indonesian faculty and staff time devoted to the Partnership exceeded the investment. IPB gained credibility and recognition for the institution through partnering with such a credible institution as Columbia University and the International Research Institute for Climate and Society (IRI/IRICS) at Columbia University. The opportunity for IPB to have an exchange of advanced technology on climate and more up-to-date information has been increased.
- There was a good team working relationship among the IPB researchers working through CCROM-SEAP on the climate tools as well as with the Columbia University partners.
- The researchers now understand that they are capable of working with local government, that climate risk technologies can be applied locally, and that the tools can be transferred to local users; it is just that more work is needed.

Weaknesses

- There is a need for more scholarship funds. Faculty and student exchanges have been excellent, although it is expensive for an Indonesian student to visit Columbia University, much more so than for a U.S. faculty member or student to visit Indonesia.
- Columbia University costs and overhead are high – it would be more efficient to provide the funding directly to the Indonesian Partner University, providing financial capability can be demonstrated.
- There was not enough time and funds to accomplish the full range of activities envisioned for the Partnership.
- Both farmers and forestry staff are interested in the Fire Early Warning tool; access to internet is a limitation.

Ratings

Overall strength and weakness ratings by two IPB project managers (done independently) on selected Partnership practices ranged from very good to excellent with three averages – two in monitoring and evaluation and the other one in documentation and dissemination. The project management rating scores were: planning – 3 (very good) & 4 (excellent), communication/ coordination – 3 & 3 (very good), implementation – 3 & 3 (very good), and monitoring and evaluation – 2 & 2 (average). Respect to Partnership outcome measures, the ratings were: achievement of Partnership objectives – 3 & 3 (very good), Partnership program sustainability – 4 (excellent) & 3 (very good), Partnership documentation and dissemination – 3 (very good) & 2 (average), and unplanned Partnership outcomes – 3 & 3 (very good).

Finding 13: The strength of the Partnership was in the joint collaboration and coordination of the partners in the overall planning and implementation of the program.

Finding 14: The weakness of the Partnership was in the limited funding, time available, any limitations in the data utilized for the modeling methods and procedures, and ability to present the climate information in a format adaptable to the end-user.

Recommendations

The following recommendations are drawn from report findings, related project documentation, site visits and the Indonesian and U.S. Partners:

1. *More input and better coordination at the technical advisory level.* CCROM-SEAP should consider setting up a technical advisory board consisting of government, private sector and donor representation to advise on relevant Indonesian Climate Risk Management projects. Simultaneously, Indonesia utilizes a Climate Team concept at both the national and local level to identify relevant climate risks. The concept is well accepted in Indonesia. The challenge becomes how to integrate different coordinating and advisory strategies; that is, a Technical Advisory Board and Climate Team along with Farmer Group Meetings to effectively develop and implement climate change models at the local level.
2. *Marketing plan and improved ‘technology transfer’ process.* There should be a plan or process for marketing and operationalizing the climate tools. Typically, university researchers see their role as developers and not as implementers of policy. There is a need for better role clarification – academic vs. government vs. consumer. Many institutions in the U.S. are moving toward establishing ‘technology transfer’ offices within the university. This is a concept to be tested in Indonesia.
3. *Improved timeliness and decision-maker and farmer awareness of climate information.* Climate information is not always timely and not all decision-makers are well informed; consequently, there is a need to work more closely with decision-makers. Also, maybe, implementation processes need to be more bottom-up than top-down in their development and implementation; consequently, there continues to be a need on how to better include more farmer input and advocacy in the development of the climate models. Farmers and forestry staff are interested in the Fire Early Warning tool. The tool reduces early warning time from 6-12 months to 1-2 months. There was interest in expanding the tool to other districts.

4. *Improved documentation, monitoring/evaluation, and reporting.* There should be more structured curriculum guides and practically related modules, more user-friendly and transportable materials for the field, more published manuscripts and papers describing the modeling methods and models, and better monitoring and evaluation of impact successes. The Partnership also needs better information about the USAID reporting requirements as the quarterly and annual reports are starting to consume too much of the researcher's time and need to be more focused and relevant to specific USAID reporting format guidelines.

III. STRENGTHENING HEALTH SYSTEMS IN INDONESIA (SHSI)

SHSI Overview

On July 22, 2011, the Harvard Medical School entered a three-year Cooperative Agreement No. AID-497-A-11-00017 with USAID/Indonesia totaling US\$436,685 plus a cost share of \$169,840 to build interuniversity partnerships between Harvard Medical School, Gadjah Mada University, and Syiah Kuala University, in order to conduct a program of “action research” linking university researchers with the public health system to build capacity for public mental health care in Indonesia. This program is to build on a unique set of relationships that have grown up among faculty members from these three institutions who have worked with national, provincial, and district health officials to develop and test innovative models for providing mental health services in the Indonesian public health system.

The program has three overarching goals.

1. The first and broadest goal is to develop and evaluate approaches to mental health care in ways that lead to improvement in the identification and treatment of persons with mental illness in selected district-level primary health care systems.
2. A second goal is to build capacity in two key Indonesian universities - one a “central” university in a setting with a reasonable level of mental health resources, and one a “regional” university with limited mental health resources – to carry out collaborative, “action research” aimed at improving mental health services in the public health sector that meet local needs and concerns.
3. The third methodological goal is to test a specific approach to linking academic institutions to development problem solving and innovation, within the health care sector, that can provide a model for university-public sector collaboration.

Specific sub-goals of the project include:

1. Strengthen existing collaborations and build new partnerships among programs and researchers at Harvard Medical School, Gadjah Mada University (Yogyakarta), and Syiah Kuala University (Banda Aceh); create an innovative program linking the universities to each other and to the public health system that will strengthen Indonesian health services and build new capacity.
2. Develop sustainable programs within Gadjah Mada University and Syiah Kuala University to carry out “action research” aimed at improving treatment of psychosocial and mental health problems in local communities, working in collaboration with national, provincial and district health services.
3. Build capacity in the provincial and selected district health care systems (*Dinas Kesehatan*) of Yogyakarta and Aceh to collaborate with universities in conducting research and utilizing findings to improve their capacity to treat mental health problems effectively.
4. Develop empirical, publishable research focused on national and local priorities for mental health care, with special attention to evaluating specific models for providing mental health services, including those that rely on community mental health nurses in primary care centers (*puskesmas*), psychologists in primary care centers, and mobile mental health outreach teams.

5. Develop a formal training module for “action research for improving public health systems,” to be used to build capacity in universities and the public health system to collaborate in conducting innovative research aimed at improving health services.
6. Disseminate research findings in ways that influence policy development at local/national levels.

Partnership Overview

The SHSI partnership came about as the result of the involvement and commitment of Prof. Byron Good and Prof. Mary-Jo DelVecchio Good to the development of Mental Health Systems in Indonesia, with a special emphasis on psychotic illness, dating to 1988. The Goods have been involved as Fulbright Senior Scholars, through the Freeman Fellowship Program, through a National Science Foundation grant, as consultants with the International Organization for Migration (IOM) in Banda Aceh (2005-2007), and in organization of Indonesian international and national bioethics conferences. They have spent two-six months per year in Indonesia since 1996. They have collaborations at the Gadjah Mada University (UGM) – Faculty of Psychology and Faculty of Medicine/Psychiatry, Syiah Kuala University (UNSYIAH) – Faculty of Medicine/Study Program in Psychology, Ministry of Health, provincial/district/sub-district health offices, mental health hospitals, and community-level cadres.

The SHSI program was built upon years of collaboration linking Harvard Medical School and UGM and UNSYIAH; specifically, research activities carried out with the current Indonesian UGM program directors, Dr. Subandi and Dr. Marchira, and UGM program coordinator, Tri Hayuning Tyas. UGM (Psychology and Psychiatry) and UNSYIAH (Psychology) have different levels of experience and research capacity with UGM being the senior institution, although faculty members in neither university were carrying out the kind of action research projects that had been the central achievement of the SHSI Partnership before this program began. The psychology program at UNSYIAH’s Faculty of Medicine is a young program with young academic staff and limited experience.

Evaluation Question #1: Partnership Objectives Achieved

Included is information on the achievement of the partnership objectives related to participant knowledge and skills and research-based capacity-building, resulting from strengthened collaborations, international exchanges, conduct of collaborative action research projects in Yogyakarta and Aceh, and dissemination of the research findings in a way to influence policy.

The supportive data for improved participant knowledge and skills are from the project reports (illustrative indicators), in-country interviews, USA partner comments, and quality assessment survey. (See Data volume for more detailed indicators, tool development and survey data.)

Improved Participant Knowledge and Skills (Goal 2)

Indicators (problem identification, trainings, material development, and exchanges):

Indicator 2b (use large workshops to bring together stakeholders – target 2). A large workshop was held at UGM and one at UNSYIAH (January 2012); numbers unavailable and stakeholder and gender disaggregation numbers not reported – target met.

Indicator 2c (identification of specific problems in mental health – target of 1 per university).

Five target problems and related projects identified per university – target met.

Indicator 2e (use teams for teaching purpose – include students). At least 7 psychology and psychiatry students participated, exact number not available – target met.

Indicator 2h (conduct IRB training for participating team members). IRB trainings held in Yogyakarta and Aceh; 48 persons CITI certified – target met.

Indicator 2i (develop training materials as needed for each project). Training materials were developed for each project – target met.

Indicator 4b (develop a training module for MoH). This is a target for year 3 and is pending.

If (international exchange – target 2 in year 2 and 8 in year 3). Target for year 2 met and target for year 3 pending.

Project Reports and Interviews. Indicator targets are being met. The interviews indicated that the Harvard professors were demanding in the quality and rigor of the training provided. The research techniques taught were comprehensive and demonstrated extensive knowledge of mixed methods and their application to the mental health field. The inclusive nature of the teams - inter-disciplinary (psychology and psychiatry), provincial/district and the practitioner was excellent. Proposals were well-thought out and of high quality. The level of research expectation may have been above some of the participants, especially in Aceh, where participants were younger and less experienced, but all were held to the same high standard. Trainings were extensive and thorough. Proposals were presented to the Technical Advisory Group (TAG) in Yogyakarta, critiqued and reviewed. The Aceh TAG was informal and acted more like a management team (see the Data volume for sample minutes of the TAGs). Overall, Aceh attendance was more lax and researchers required more intensive interaction.

Finding 1: Participant interviews showed high quality and satisfaction with the trainings and exchanges; target values were exceeded except for year 3 targets, which are pending.

Survey. Based on a rating by nine Yogyakarta respondents (7 women and 2 men) on the statement, “*The results being delivered are contributing effectively to the achievement of the Partnership purpose and goals,*” the results were 89% satisfactory, 0% unsatisfactory, and one not filling the form. In Aceh, based on 12 respondents (10 women and 2 men), the results were 92% satisfactory and 8% unsatisfactory. On the statement “*The Partnership is likely to contribute to its objectives, and there is evidence that the targeted beneficiaries will benefit from the Partnership,*” 100% of both Yogyakarta and Aceh respondents gave a rating of satisfactory. On a gender statement, “*The Partnership and its activities are gender-sensitive and gender-balanced,*” the Yogyakarta ratings were 67% satisfactory and 11% unsatisfactory with two forms not filled and in Aceh, the results were 75% satisfactory and 17% unsatisfactory with one form not filled.

Finding 2: The ratings were consistent with the indicator and interview information related to effectiveness and achieving project objectives. The majority of the respondents expressed satisfaction (89% or better) with the technical knowledge and skill training provided. Gender-sensitive and gender-balance was at 67% satisfaction.

Improved Institutional Capacity Building in Basic and Applied Research (Goal 2)

Indicators (create teams, conduct preliminary research, and implement):

Indicator 2a & 2d (create action research teams and conduct action research – target of 3 projects in Yogyakarta and 3 projects in Banda Aceh). Five teams created in Yogyakarta and 5 teams created in Banda Aceh although eventually one of the teams in Banda Aceh stopped and another was attached to one of the other research projects as there were health issues with some researchers and one PIC went abroad – target exceeded in Yogyakarta and target met in Banda Aceh.

Indicator 2f (conduct preliminary research to gather baseline). Five teams in Yogyakarta and 5 teams in Banda Aceh completed the preliminary research – target exceeded.

Indicator 2j (implement the action research projects – target of 3 projects in Yogyakarta and 3 projects in Aceh). Target exceeded – 5 projects being implemented in Yogyakarta and 3 projects in Aceh - with the fourth attached.

Project Reports and Interviews. The capacity building occurred through actual participation in action research projects; that is, ‘learning by doing.’ The research projects were: Yogyakarta – (1) ‘The Development of a Discharged Model to Improve Functioning and Reduce Re-Hospitalization among Psychotic Patients of Ghrasia Mental Hospital in Yogyakarta, Indonesia’; (2) ‘Training on Mental Health for Primary Health Care Workers to Provide Psycho-education to Family Care Providers of Persons with a Psychotic Disorder’; (3) ‘Family Psycho-education to Caregiver of People with Schizophrenia’; (4) ‘Outcome Study of Indonesia’s Unlocking Program for Persons with Severe Mental Illness: An Assessment of the Central Java Program’; and (5) ‘Evaluation of Capacity Building Needs Cadre for Mental Health in Primary Health Care (PHC) Level’ and for Aceh - (1) ‘Discharge Planning from RSJ Banda Aceh’; (2) ‘Bebas Pasung Project Aceh’; (3) ‘Relapse Prevention Project Meulaboh, Aceh’; (4) ‘DSSJ (Desa Siaga Sehat) Program in Aceh – folded into the Pasung and Relapse Prevention projects; and (5) Health Promotion Program with a Focus on Depression’ - folded into the Discharge Planning project.

Finding 3: The action research projects were well-designed and rigorous with proper protocols, data collection techniques and monitoring of data quality. The research teams were interdisciplinary and demonstrated high standards in their implementation.

Finding 4: Each project demanded full participation of the team members and a considerable time investment. The projects were challenging and represented a serious research effort related to practical mental health issues in Indonesia.

Survey. Based on a rating by 9 Yogyakarta respondents (7 women and 2 men) on the statement, “Capacity building activities are being effectively carried out, skills transferred, and the acquired skills meet the needs of the Partnership owner and stakeholders”, results were 89% satisfactory, 0% unsatisfactory and 1 form not completed. Based on 12 Aceh respondents (10

women and 2 men), the results were 83.9% satisfactory and 16.10% unsatisfactory. On the statement, “Institutional strengthening activities are being effectively carried out,” the Yogyakarta results were 78% satisfactory, 11% unsatisfactory, and one form not filled. In Aceh, the results were 83% satisfactory and 17% unsatisfactory. Comments indicated that the Harvard professors and UGM were too optimistic and not realistic enough that the Aceh research projects could be completed on time although the respondents were satisfied with the training activities provided. Other comments related to the amount of time research takes and management issues regarding reimbursements and Institutional Review Board (IRB) protocols.

Finding 5: The ratings indicated a majority (89% - Yogyakarta and 78% - Banda Aceh) of the respondents were satisfied with the capacity building activities.

Conclusions

Conclusion 1: The strategy of using direct participation in the conduct of the actual research projects was an effective method for building capacity in basic and applied research.

Evaluation Question #2: Partnership Interventions and Practices

Included is information on the Harvard Medical School contributions to the SHSI delivery of effective interventions and practices in the achievement of the partnership objectives and selected other partnership practices such as planning, communication/coordination, implementation and evaluation. The supportive data are from the project reports, US Partner contacts, and on-site interviews. (See the Data volume for more detailed project report data.)

Harvard Medical School Contributions to Implementation of the SHSI Partnership Interventions and Practices

Project Reports and Interviews. The Harvard Medical School partner contacts (Prof. Byron Good and Prof. Mary-Jo DelVecchio Good) collaborated closely with the program directors, program coordinator and faculty members at both UGM and UNSYIAH along with the other participating researchers and data collectors from the mental hospitals, provincial/district/sub-district health offices, interested stakeholders, and consumer groups. The program was initiated by bringing together a variety of these mental health stakeholders to identify issues of importance. The projects were then designed and carried out by interdisciplinary teams from the health care system. This resulted in a commitment and understanding of the projects by the participants and should lead to improved sustainability of the work. Based on site-visits by the evaluation team to the provincial health office and two mental health hospitals, the public health officials and hospitals are committed and ready to implement the results. The Harvard professors were integral to the total process. The professors held seminars, met with the individual research teams, worked with the teams to seek IRB approvals, reviewed and critiqued instruments, and will provide oversight in the data analysis to be done during the upcoming Indonesia exchange to the Harvard Medical School and will provide oversight for the publication and dissemination phase.

Finding 6: Harvard Medical School played a major part in enhancing the quality of the research conducted; coordinating the training provided, oversight of development of the protocols, oversight and monitoring of the conduct the research, and will provide oversight in the data analysis, documentation and dissemination phase.

Harvard Medical School Contributions to Other SHSI Partnership Practices such as Planning, Communication/Coordination, Implementation and Evaluation

Harvard Medical School played the central role in conceptualizing the SHSI program, contacting UGM and UNSYIAH for collaborators, writing the proposal, revising the application following its review, and developing the final agreement to carry out the program. The financial and program management of the Partnership has been directed by the Harvard Medical School and the Harvard professors, including preparation of the quarterly progress reports. The Harvard professors have been involved in all phases of the program from conceptualization through grant writing, research design and implementation. This was possible because of the long-term relationships the professors had with the collaborators. Many of the psychologists and psychiatrists' researchers who participated in the research proposals, design, implementation, and data analysis had limited experience in the conduct of formal research; consequently there was intensive consultation by the professors on the development of the protocols, conduct of the studies, and monitoring progress and quality. Communication and coordination with the collaborators was excellent at all times. The professors were responsive and made an average of three trips a year to Indonesia for face-to-face sessions with the research teams.

Conclusions

Conclusion 2: Harvard Medical School was the key player in the overall planning and coordination of the Partnership. Communication was excellent and the Harvard Medical School is still providing valuable input and insight into the implementation of the program.

Evaluation Question #3: Unanticipated Partnership Results

Included is information on unanticipated partnership results and the Harvard Medical School contributions to these results.

Unanticipated partnership results:

- Prof. Mary-Jo Good/Harvard was working with Chinese collaborators on a study evaluating the outcome of a large mental health services reform program in China; this included a study of persons who were locked up by families, then unlocked as a part of the program. In both Yogyakarta and Aceh, individuals from the university and from the health care system (particularly from the hospitals) showed great interest in replicating the Chinese study and/or using it as a model for conducting an evaluation of the Indonesian program.
- Prof. Byron Good/Harvard has been working closely with a group in Taiwan that conducts training programs for psychiatrists and mental health workers from Southeast Asia. Prof. Good introduced the director of the program to UGM. Over the past three years, this director has supported several UGM team members to come to Taiwan to participate in a training and exchange program on the development of community mental health services. The director of the Taiwan program is now interested in bringing a team of psychiatrists

and mental health nurses and rehabilitation specialists to UGM to support the development of a formal training program for community mental health workers.

- Dr. Yati Soenarto of the Technical Advisory Group/Indonesia has been asked by the Sultan of Yogyakarta to establish a foundation that can support the development of mental health services in the province.
- There is now hope that there will be an emergence of real local leadership that will lead an effort to build Yogyakarta as a model training center for mental health in Indonesia. Both UGM and UNSYIAH have gained in status as the result of the association with Harvard.

Finding 7: Harvard Medical School contributed to each of the unanticipated results identified; which related to networking contacts with the potential of supporting the development of specific projects and the larger program in ways not anticipated.

Conclusions

Conclusion 3: Harvard Medical School has made a major contribution to the Partnership – not only contributing to specific project planning and coordination but also affecting the larger provincial and national mental health programs through their personal contacts and international networking.

Evaluation Question #4: Lessons Learned From Partnership Sustainability

Included is information on lessons learned from the SHSI Partnership that could help future U.S. – Indonesia University partnerships programs to be more sustainable.

Lessons Learned that could Affect Sustainability

Finding 7: Timeframe and Funding were Limiting Factors – quality action research in mental health requires, minimally, three years and more funding than was available through the USAID UP funding mechanism. An inclusive participation process was utilized for identifying problems, developing strategy, developing protocols, obtaining proper IRB's, conducting the baseline, conducting the intervention, data analysis, and documentation/dissemination. Each step takes time. Three years was a short period to build capacity and conduct an action research intervention that has sustainable impact.

Conclusions

Conclusion 4: Key elements to be considered in developing a sustainability program in mental health services are inclusive participation, more inter-disciplinary research and program planning, improved linkage between the hospitals, sub-districts and community for training and material development, and additional funding.

Evaluation Question #5: Partnership Strengths and Weaknesses

Included is information on strengths and weaknesses of the partnership, in particular related to planning, communication/coordination, implementation, and monitoring and evaluation.

Strengths

- The long-term ties between the Harvard professors and the program directors, coordinator and key national and local health care stakeholders in Indonesia, built on years of trust and

respect, were a real strength, along with pre-existing ties between the provincial and district health officials and mental hospitals.

- There was strong Indonesian leadership at the participating Indonesian universities; that is, UGM (Department of Psychology, Faculty of Medicine and University management) and at UNSYIAH (Dean of Faculty of Medicine, Director of Mental Hospital, and Psychology Study Program). In addition, the SHSI Partnership was able to build upon an existing institutional collaboration between UGM and UNSYIAH.
- The experience of actually conducting research, rather than simply participating in research training, really helped increase participant skills; that is, ‘learning by doing.’
- Participants were able to present their work in several international meetings, for example, the International Center for Acehese and Indian Ocean Studies (ICAIOS), without the use of USAID or Harvard funds.
- At UNSYIAH, where the members of the Medical Faculty’s Psychology program were young with little field experience, the project provided an opportunity to focus on ‘real life’ problems in mental health care in the field that should provide a long-term dividend for this group and for the mental health system of Aceh. It got members of the university program in psychology out into the community and helped them to connect academics to actual public health workers and local government agencies.

Weaknesses

- Harvard’s policy of requiring that subcontractors first cover their own expenses and then submit a request for reimbursement creates challenges in managing programs in a low-income setting. Initially, Harvard insisted that the IRB approval process go through Harvard. This was later changed to Indonesian institutional approval. There were also complaints from Harvard as to the bureaucracy of the USAID TraiNet process.
- The lack of a more didactic approach for persons with limited experience in conducting research. There was an under-estimation of the lack of research experience of many of the members who led and/or participated in the research projects, especially in Aceh.
- The time frame was short and funding minimal for such an ambitious project, especially objectives 5 and 6, which related to further development of the training modules, writing of publications, and dissemination into policy development.

Ratings

The ratings on the partnership practices of planning, communication/coordination, implementation and monitoring and evaluation at UGM were very good to excellent. The ratings of UNSYIAH were mostly average. Ratings on the achievement of partnership objectives were very good at both institutions. The areas needing more work were sustainability and documentation; this is part of the reason we recommend ‘bridging’ or extending the CA. Unanticipated outcomes were rated very good to excellent in Yogyakarta and poor in Aceh.

Finding 8: The strength of the Partnership was in the long-term relationship aspect of the collaboration and coordination of the partners in the implementation of the program.

Finding 9: The weakness of the Partnership was the Harvard and Indonesian bureaucracy in transferring funds, USAID TraiNet bureaucracy, tedious nature of the IRB approval process, overly ambitious goals in view of the time to conduct the project, and limited funding to accomplish the stated goals.

Recommendations

The following recommendations are drawn from report findings, related project documentation, site visits and the Indonesian and U.S. Partner comments. In view of the short time frame until the project is completed, the priority should be on recommendation 1; especially, a final conference, documentation/ dissemination and policy-level advocacy.

1. *Need for a no-cost extension of at least six months.* The projects took time on the front-end because of the need to be participatory and inclusive, level of research training required, and IRB approval process. The projects are now at a data analysis, documentation/ dissemination, and policy impact level. There is need for a final conference, reporting and sharing of research results, and policy-level advocacy. The impact on Indonesian mental health systems can only now be realized. The timing of Ramadan is also an influencing factor.
2. *Contract directly with the Indonesian University/UGM.* In view of the challenges of the Harvard Medical School bureaucracy and the need to develop Indonesian capacity to manage donor funding, there is interest and a desirability for USAID to contract directly with UGM. UGM's Department of Psychology, with assistance from UGM management, has the emerging leadership that could well be in a position to be strengthened to handling a contract/ cooperative agreement and/or grant directly.
3. *Further development and emergence of local program leadership/advocates.* Local leadership should be further developed to lead an effort to build Yogyakarta as a National Training 'Center/Model' for mental health in Indonesia. There is an existing Center for Public Mental Health at UGM, which has existed for the past five years that could be re-visited and enhanced to provide the foundation for the National Training Model. A future international partnership could be expanded to the level of prevention and children and adolescent mental health, which would be more relevant to the need of the Indonesian community at large.
4. *Development of a strategic plan to scale up to a more comprehensive and sustainable mental health system for Yogyakarta.* This could be done in Yogyakarta for the whole province or a pilot sub-district. This can be done working closely with the SHSI partnership, Provincial Health Office, university leaders, and community primary health care groups.

IV. INDONESIAN MARINE BIOTECHNOLOGY (IMB)

IMB Overview

On July 12, 2011, the University of California Santa Cruz (UCSC) entered a three-year Cooperative Agreement, No. AID-497-A-11-00014, with USAID-Indonesia totaling US\$649,803 plus a cost-sharing amount of \$201,718 to improve scientific ties between the two nations and develop an interwoven program of marine drug discovery and training/technology transfer between the University of California Santa Cruz, Universitas Diponegoro (Semarang, Central Java), and Universitas Hasanuddin (Makassar, South Sulawesi).

The program was designed to accomplish three main goals:

1. Creation of a bio-directional student/researcher exchange program providing research opportunities for the training of Indonesian scientists in the United States (U.S.), and training workshops by U.S. scientists at Indonesian institutions;
2. Design and development of a research-based curriculum in marine biology that will integrate the research and training elements of the program, and strengthen the caliber and relevance of modern biotechnology-related education in Indonesia; and
3. Discovery of novel antibiotics from Indonesian marine microorganisms for the treatment of multi-drug resistant bacterial pathogens.

To accomplish these goals, four aims (objectives) were defined along with specific activities to be implemented. The four aims (objectives) were:

1. Creation of a bi-directional student and researcher exchange program for technology transfer and project development between Indonesian institutions and UCSC;
2. Design and creation of a research-based teaching module in marine biotechnology for presentation in Indonesian member institutions;
3. Isolation and biological evaluation of marine bacteria and fungi against a panel of clinical multi-drug resistant (MDR) isolates from Indonesian public hospitals; and.
4. Isolation, structure elucidation, and biological validation of three antibiotic lead compounds, and preliminary medicinal chemistry optimization through semi-synthesis.

IMB Partnership – History and Development

The IMB partnership consists of four organizations working together in the field of marine natural products. Both the scientific and academic components of the partnership are governed by a scientific leadership committee, chaired by the UCSC project leader. The four partners brought together expertise and interests in marine microbiology from vertebrates (Universitas Diponegoro - UNDIP, Central Java), biological screening (Eijkman Institute, Jakarta), marine microbiology from sediments (Universitas Hasanuddin - UNHAS, South Sulawesi), and chemical isolation and structure elucidation (UCSC, USA). UCSC (Linnington Lab) and Eijkman Institute bring substantial experience and expertise to the partnership while UNDIP and UNHAS are developing but each has a professor who has established expertise in marine biology.

The Eijkman Institute was the link in the relationship between the principal researchers as its staff had a personal relationship with each of the other partners. Prof. Sudoyo/Eijkman Institute knew all of the partners. Prof. Radjasa/UNDIP had worked at Eijkman Institute and Prof. Litaay/UNHAS had worked with Prof. Crews/UCSC as part of another contract. Prof. Sudoyo is a

strong role model for women in science and has been given awards for her part in championing gender equity in science, such as the 2009 Kartini Award for inspirational women in science.

The Universitas Diponegoro has a new UPT Integrated Lab (Unit Pelaksana Teknis) funded as part of a building provided through the Asian Development Bank in 2012 and with USAID providing some needed marine biology equipment as a part of the current Partnership. The Eijkman Institute and UCSC/Linington and Crews laboratories are internationally recognized.

Evaluation Question #1: Partnership Objectives Achieved

Included is information on the achievement of the partnership objectives related to participant knowledge and skills resulting from international exchanges, a research-based curriculum in marine biology, and the identification and isolation of antibiotics from Indonesian marine microorganisms.

The supportive data for improved participant knowledge and skills and institutional capacity building in basic and applied research are from the project reports (illustrative indicators), U.S. partners, Indonesian interviews and quality assessment survey. (See the Data volume for more details on indicator, tool development and survey data.)

Improved Participant Knowledge and Skills (Aim 1)

Indicators (workshop/training participants):

Indicator 1.2 (Eijkman research workshop participants – target 15). There were 159 participants; 2012 workshop – 74 participants (41 women, 33 men) and 2013 workshop – 85 participants (38 women, 47 men) – target exceeded.

Indicator 1.4 (Marine biotechnology workshop participants at UNDIP and UNHAS – target 82). There were 61 participants (27 women, 34 men) at UNDIP and 79 participants (64 women, 15 men) at UNHAS for a total of 140 participants – target exceeded.

Indicator 1.5b (Number of Indonesian participants in training aspect of field expedition – target 33). There were 33 participants (12 women, 21 men) in the training aspect of the expedition – target met.

Project Reports and Interviews. Based on evaluation results of the UNDIP and UNHAS workshops included in the project reports and interviews with two lecturers and one graduate student who attended the UNDIP workshop, the topics were relevant and applicable to current projects and the speakers were well prepared and organized. Specific skills mentioned during the interviews that were enhanced included screening for bioactive compounds and isolation and purification techniques along with knowledge of more detailed and sophisticated techniques for conducting field expeditions.

Finding 1: Participant responses and interviews showed high satisfaction and relevancy with the workshop trainings, and numerical counts showed that target values were exceeded. There is an interest in expanding the workshops beyond Marine Biotechnology to also include Marine Biodiversity and Conservation.

Survey. Based on a rating by 5 IMB respondents (1 woman and 4 men) on the statement of “The results being delivered are contributing effectively to the achievement of the Partnership purpose and goals”, results were 100% satisfactory. On the statement “The Partnership is likely

to contribute to its objectives, and there is evidence that the targeted beneficiaries will benefit from the Partnership,” the rating was again 100% satisfactory. On a gender statement, “The Partnership and its activities are gender-sensitive and gender-balanced”, the rating was 80% satisfactory and one form unfilled.

Finding 2: The ratings were consistent with the indicator and interview information related to achieving project objectives and in regard to gender. The respondents expressed satisfaction with the technical knowledge and skill training provided. Participation in the workshops was essentially 60-40 (women – men), except for the field expedition which was 2:1 (men - women).

Improved Institutional Capacity Building in Basic and Applied Research (Aim 1 & 2)

(Indicators – researcher exchanges and curriculum development):

Indicator 1.1 (UCSC and Indonesia researcher exchange - target 4). Six research exchange visits occurred – there were two visits from Indonesia to UCSC (1 women, 1 man) and four from UCSC to Indonesia (1 women, 3 men) - target exceeded.

Indicator 2.1 (Creation of new curriculum in marine biology – target 60 participants). Two new courses were created – ‘Marine Chemical Ecology’ and ‘Marine Pharmacology’. Courses are on-going - target met.

Project Reports and Interviews. During the visits from Indonesia to UCSC, specific training was provided on BioMAP (a high throughput antibiotic screening technique) developed at UCSC and during the UCSC visits to Indonesia, the UCSC researchers along with the UNDIP and UNHAS researchers/instructors jointly presented the Marine Biotechnology Workshops and field training. In addition to the latest technology on screening and isolation and purification techniques, the workshops included such topics as organism selection, analytical chemistry and structure elucidation, emerging coral diseases, and marine chemical ecology and drug discovery.

The two new courses were created as part of a six-course sequence in Marine Biotechnology and Drug Discovery. These are elective courses, but the students are treating these courses as mandated, and interest and enrollments in the courses have been increasing. Based on an interview with one of the lecturers attending the Marine Biotechnology Workshops, the lecturer has developed a single lecture (PowerPoint) using information from the workshop on ‘*organism selection*’ and is integrating this material into his regular course on *Genetic Engineering and Microbiology*. A second lecturer has developed a step-by-step module on ‘*screening*’ and added it to his prior lecture on screening. At UNHAS a new Marine Biotechnology Master’s level program is planned that will be implemented this coming academic year.

Examples of enhanced research capacity at UNDIP: one lecturer has now submitted a proposal for a two-year grant to DIKTI, a graduate student is doing a Ph.D. thesis related to content gained from the workshop, a lecturer has shared research knowledge from the workshop about ‘*field collection, samples, documentation and screening*’ with his students and now has a team of six students working on a final project on ‘*coral disease*’ utilizing these techniques. This is a beginning step in demonstrating development of a research capability of faculty and students faculty at UNDIP to conduct applied research in the field of marine biology.

Graduate students at UNHAS now have an opportunity to present their work at a Marine Biotechnology Workshop (Makassar, 2013), International Symposium on Marine Science (Makassar, 2013), and at an International Fungi Conference (Bogor, planned).

Based on the project reports, the production of number of sediment and invertebrate samples (153), number of microbial isolation plates made (475), number of bioactive microorganisms discovered (69), number of bioactive and lead organisms shipped to UCSC (20), and number of chemical extracts screened for antibiotic activity by Eijkman Institute (508), all exceeded their targets.

Finding 3: Technology transfer occurred both during the Indonesia-to-UCSC visits and during the UCSC-to-Indonesia visits. There is an interest to continue to have the U.S. team present state-of-the-art findings in Indonesia at annual workshops.

Finding 4: Technical knowledge and research capacity of the lecturers who attended the biotechnology workshops have been enhanced as courses and course topics have been strengthened, research activity of the lecturers and their students improved, and research productivity of the IMB partnership increased.

Survey. Based on a rating of 5 IMB respondents (1 woman and 4 men) on the statement, “Capacity building activities are being effectively carried out, skills transferred, and the acquired skills meet the needs of the Partnership owner and stakeholders.” results were 100% highly satisfactory. On the statement, “Institutional strengthening activities are being effectively carried out.” results were again 100% satisfaction, with 80% at highly satisfactory.

Finding 5: The ratings indicated that all respondents were satisfied or highly satisfied with the capacity building activities.

Conclusions

Conclusion 1: IMB has satisfactory achieved its marine biology objectives in knowledge sharing and skill technology transfer and both UNDIP and UNHAS have begun to improved their institutional marine biology training capacity.

Conclusion 2: Selected lecturers have improved their individual capacity to conduct basic and applied research addressing the important Indonesian topic of multi-drug resistance isolates (MDR). More curriculum strengthening and practical activities are needed to further enhance the knowledge and skill building of both the lecturer and student. The training program needs to be expanded to include student/faculty internships and involve more Indonesian scientists. It is early in the research so the ultimate impact and commercialization of any research findings are yet to be determined.

Evaluation Question #2: Partnership Interventions and Practices

Included is information on University of California Santa Cruz contributions to IMB delivery of effective interventions and practices in the achievement of the partnership objectives and selected other partnership practices such as planning, communication/coordination, implementation and evaluation.

UCSC Contributions to Implementation of the IMB Partnership Interventions and Practices

Project Reports and Interviews. The supportive data included are from project reports, U.S. partner and Indonesian interviews.

UCSC played a major role as follows:

- Mentoring of Prof. Radjasa/UNDIP and Prof. Litaay/UNHAS (enhanced international networking and research funding opportunities),
- Transfer of marine biology technologies to Indonesia such as BioMAP,
- Assistance in preparation of Indonesian bacterial extracts library and follow-up in the chemistry and microbiology of bioactive hits,
- Help in determination of lead compounds,
- Assistance in the coordination and conduct of up-to-date marine biology workshops/trainings for researchers, lecturers, students and selected other marine biology stakeholders such as government officials, Coral Research Triangle and World Wildlife Fund (WWF),
- Provision of knowledge of '*Intellectual Property*' and '*Mutual Transfer*' agreements,
- Inclusion of UNDIP and UNHAS in other proposals, including ones for the US National Institute of Health (NIH), US National Science Foundation (NSF), a seven-country European Union (EU) Consortium, International Collaborative Biodiversity Group (ICGB), and Partnership for Enhanced Engagement in Research (PEER).

Finding 6: UCSC has played a major part in enhancing the quality and credibility of marine biology programs in Indonesia - specifically at UNDIP and UNHAS, helping to ensure quality training through up-to-date biotechnology workshops, conducting follow-up chemistry and analysis of bioactive hits, and in strengthening marine natural product and drug discovery research capacity of UNDIP and UNHAS students and faculty.

UCSC Contributions to Other IMB Partnership Practices Such as Planning, Communication/Coordination, Implementation and Evaluation

- Based on interviews with IMB project management and on UCSC comments, there was a shared distribution of tasks and responsibilities between the participating institutions. Partnership proposal preparation/planning, communications, and implementation were joint. In addition to informal phone calls between partner contacts and e-mails, there were official monthly conference calls between the key scientific members (Scientific Leadership Committee) led by UCSC with an agenda and minutes of items discussed. Reflections and monitoring comments from the exchanges, transfer of microbes, and implementation of workshops were discussed in the conference calls (sample minutes included in the Data volume).
- All workshops and trainings were delivered jointly; progress reports were prepared initially by UCSC but reviewed by the scientific leadership committee members.
- The UCSC exchange visits were joint and were covered by project funds as well as some additional visits through other funds.

- Based on the Eijkman Institute interview, the Institute played less of a role than initially anticipated as its dream was (and still is) more in replicating the UCSC Linington lab at the Eijkman Institute. The Institute could also have played a role in providing quality internships and in providing a setting for facilitating female leadership. This was an opportunity missed.

Conclusions

Conclusion 3: UCSC made a significant contribution to the overall planning and coordination of the IBTCI Partnership. Communication continues to be excellent, and the UCSC partner contacts provided valuable technology support and transfer and research insight to UNDIP and UNHAS while the expertise of the Eijkman Institute could have been better utilized.

Evaluation Question #3: Unanticipated Partnership Results

Included is information on unanticipated partnership results and any UCSC contributions.

- Recently both UNDIP and UNHAS have received institutional accreditations of an A. Both will receive full autonomy as universities as the result. The enhanced research and international recognition received by UNDIP and UNHAS as the result of the Marine Science program linkage to UCSC in the University Partnership program and the joint work of Prof. Radjasa and Prof. Litaay with the Eijkman Institute and UCSC in this area contributed to meeting the Indonesian accreditation standards for research, community service and international cooperation.
- Personal mentoring provided by Prof. Crews/UCSC to Prof. Radjasa/UNDIP at UNDIP, as symbolized by Crews' providing Prof. Radjasa with a "Magic Jack" telecomm device so he could make personal phone calls to Crews anytime at no cost, was unexpected and represented a high level of personal availability and commitment to the success of the Partnership.
- International networking options were provided by Prof. Linington and Crews/UCSC by including UNDIP and UNHAS in additional funding options such as National Institute of Health (NIH), National Science Foundation (NSF), European Union (EU) Consortium, International Collaborative Biodiversity Group (ICGB) and Partnership for Enhanced Engagement in Research (PEER).
- Cooperation, communications, responsiveness and commitment of the UCSC contact partners exceeded UNDIP and UNHAS expectations.

Finding 7: UCSC contributed to each of the four unanticipated results identified; all of which related to improving UNDIP and UNHAS capacity to conduct basic and applied research.

Conclusions

Conclusion 4: UCSC has made a major contribution to the Partnership - contributing to implementation of activities, planning and coordination, and affecting several positive unanticipated results.

Evaluation Question #4: Lessons Learned From Partnership Sustainability

Included is information on lessons learned from the IMB Partnership that could help future U.S. – Indonesia University partnerships programs to be more sustainable.

Lessons Learned that could Affect Sustainability

Finding 8: Enhanced Inter-Disciplinary Applied Research – there is a need for more inter-disciplinary program planning at UNDIP and UNHAS. One impact of marine biology research is its potential in the development of multi-drug resistance isolates (MDR) and drug discovery, which involves knowledge in pharmacology and medicine. These latter faculties need to be an integral part of the on-going marine biology research and program planning.

Finding 9: A Missed Opportunity - the majority of the graduate students at UNDIP are female, and most want to be lecturers/researchers; there is a need to provide a better linkage and exposure to private sector work opportunities. The Eijkman Institute facilitates interns in a work setting, has strong private sector contacts and was a key partner, yet this linkage opportunity was not utilized as a part of the program development at UNDIP or UNHAS. The Eijkman Institute also provides an excellent opportunity for developing female leadership skills as one of the leading women in science is Prof. Sudoyo at the Institute.

Finding 10: Significant individual researcher and institutional recognition resulted from this initial IMB Partnership. There is potential for UNDIP and UNHAS to grow into nationally and internationally recognized programs. Additional funding will be needed for this development. An inter-disciplinary team is needed along with a more enhanced laboratory and continued linkage to internationally known institutions.

Conclusions

Conclusion 5: Key elements to be considered in developing sustainability are more inter-disciplinary research and program planning, improved linkage with the private sector, additional funding, and a continued linkage with international known research institutions (e.g., Eijkman Institute and UCSC).

Evaluation Question #5: Partnership Strengths and Weaknesses

Included is information on strengths and weaknesses of the partnership, in particular related to planning, communication/coordination, implementation, and monitoring and evaluation.

Strengths

- Bi-directional exchanges played important role in the Partnership but needs more funds.
- There were dedicated and committed staff at UCSC and the Indonesian institutions and excellent and constant collaboration, coordination and communication among the partners in the overall planning and implementation of the program.
- The opportunity for networking with other potential international funding sources (e.g. NIH, NSF, EU, PEER, ICGB) was a real strength.
- The Coral Triangle Center and WWF made important contributions to the Workshops, but getting funds to bring these individuals in for participation was a challenge. The Coral Triangle Center uses a community-based approach vs. the scientific method approach and it was important for participants to understand the difference.
- The opportunity to acquire essential equipment for the marine biology laboratory was essential and greatly appreciated.

Weaknesses

- The financing mechanism was bureaucratic, especially working through LPPM. There were 3-6 month time delays in reimbursements.
- The reputations of the individual researchers were enhanced although other departments in the same faculties did not benefit as much and overall institutional building was not as strong as it could have been.
- Initially, there was a disparity in level of available technology between the U.S. and Indonesia institutions, which was a challenge when trying to transfer techniques.

Ratings

The ratings on the partnership practices of planning, communication/coordination, and implementation were excellent and that of monitoring and evaluation very good. The ratings on the Partnership outcomes of achievement of objectives, production and dissemination, and unanticipated outcomes were excellent and that of sustainability was very good.

Finding 11: The strength of the IMB Partnership was in the joint collaboration and coordination of the partners in the overall planning and implementation of the program.

Finding 12: The weakness of the Partnership was essentially in the administrative area - time to process invoices and a need by the Partners to better understand USAID regulations. A no-cost extension or 'bridge' funding would be helpful in sustaining the Partnership until other funding can be leveraged.

Recommendations

The following recommendations are drawn from report findings, related project documentation, site visits and the Indonesian and U.S. Partners. In view of the short time frame until the project is completed in July of 2014, priorities should be on recommendations one and two.

1. *Improved program quality, more documentation, and reporting of findings.* There is need for strengthened program quality and practically related modules, more published manuscripts/papers of the research methods and findings, and reporting out of impact successes.
2. *Continued support, greater inter-disciplinary involvement, and continued coordination with current partners.* Marine biology program development and research should continue to be a priority in Indonesia because of potential for anti-drug biotic research. The coral research triangle area is a natural location for such research. It is unexplored and a laboratory for field/expedition research in marine biology. The current partners are a good fit - although another partner or two could be added; e.g., Coral Research Center in Bali or WWF. There is need to include pharmaceutical and medical expertise and link better with the private sector.
3. *More student and researcher exchanges, and an expanded cadre of expertise.* Currently, the number of individuals with recognized expertise is limited and any mobility of these researchers will hinder human resource capacity.
4. *More Indonesian capability in laboratory analysis.* The UCSC Linington lab needs to be replicated at the Eijkman Institute to minimize the need for a MTA and inefficiencies involved with transferring micro-organisms from Indonesia to the Linington lab at UCSC. Also, there is need for more laboratory equipment for UNDIP, UNHAS and Eijkman Institute.

V. US-INDONESIAN GEOTHERMAL EDUCATION CAPACITY BUILDING (IGECB)

IGECB Overview

On November 14, 2011, the University of Southern California (USC) entered a three-year Cooperative Agreement, No. AID-497-A-12-00003, with USAID/Indonesia totaling US\$644,000 with a cost-sharing of \$218,859 to provide support for a program entitled “US-Indonesian Geothermal Education Capacity Building.” The award amount was later modified to \$1,126,549 plus a cost-sharing amount of \$500,309 and a new end date of January 31, 2015. The program is a joint endeavor with the Institut Teknologi Bandung (ITB) and Star Energy (Jakarta) and is committed to reinforcing geothermal development through education capacity building in Indonesia.

The program was designed to accomplish five key project goals:

1. Build capacity for the geothermal educational program at ITB which will provide for expanding the number of graduates who focus on geothermal energy development;
2. Broaden the exposure of students and faculty to the global geothermal power business;
3. Provide opportunities for USC to further develop and expand its geothermal education programs through a partnership in one of the most resource rich geothermal areas of the world;
4. Provide direct industry input into education initiatives, which is intended to lead to greater involvement and coordination between academia and industry in the Indonesian geothermal business (e.g., Star Energy and other potential industry partners) on the advisory board; and
5. Build on the experience base of both ITB and USC on geothermal related education and R&D. In addition, partners expect to benefit from operational experience of Star Energy to make such educational activities more relevant to the real life challenges and requirements of geothermal operators.

To accomplish these five goals, twelve tasks were defined. The tasks and the goals that they support were:

Goal 1: Task 2 - Scholarships and Tasks 6, 7, 8 and 9 - Development course/training: supports building capacity of geothermal education program;

Goal 2: Task 3 - Geothermal seminar and Task 4 - Attendance of students/faculty in conferences, seminars and workshops: supports broadening exposure of students/faculty to geothermal energy;

Goal 3: Task 10 - Develop a semester long course ‘Introduction to Geothermal System’ for ITB students, Task 11 - Sabbatical program from USC to ITB and Task 12 - USC Center for Geothermal Studies Annual Technology Workshop with Indonesian focus: supports providing opportunities for USC to further develop/expand its geothermal program;

Goal 4: Task 1 - Advisory Board, Task 3 - Geothermal seminar and Tasks 6, 7, 8 and 9 - Development course/training: supports providing direct industry input into education initiatives; and

Goal 5: Task 5 - Sabbatical program: supports building experience base of both ITB and USC on geothermal related education and R&D.

Partnership Overview

ITB has had a geothermal Master's program beginning in 2008 with about 10-12 students per year. Star Energy saw the need to enhance the human resource development in the geothermal energy sector in Indonesia and was looking for how to link to like-minded advocates and a funding source, supplemented by some cost-sharing. Star Energy had strong contacts within the American companies involved in geothermal energy in Indonesia. There was a prior association between ITB and Star Energy as ITB students were involved in field trips to Star Energy beginning in 2002. ITB also had a petroleum engineering undergraduate program beginning back in 1995. In 2010 Star Energy hired an external consultant from the U.S. to assist in finding outside funding and in forming a partnership. A USAID representative was attending one of the geothermal association meetings and made the initial contact. Star Energy identified the USC Global Energy Center through an advertising process and took the initiative to facilitate the Partnership, which accounts for the initial non-relationship between USC and ITB. Star Energy has continued to play a major role in the Partnership as the Star Energy representative serves as secretariat for the Technical Advisory Board.

Evaluation Question #1: Partnership Objectives Achieved

Included is information on the achievement of the partnership objectives related to participant knowledge and skills and geothermal energy education capacity-building, resulting from strengthened university and industry collaborations, delivery of geothermal trainings/seminars, and improved course offerings.

The supportive data for improved participant knowledge and skills and improved geothermal education capacity are from the project reports (illustrative indicators), interviews, partner comments and quality assessment survey. (See the Data volume for more detailed indicator and survey data.)

Improved Participant Knowledge and Skills (Goals 1 and 2)

Indicators (seminars/workshops and short-course offerings):

Task 3 (geothermal seminar – target of 600 participants). Attended by 1,130 participants included in six ITB geothermal seminars - target exceeded.

Task 4 (attendance at conferences /workshop – target 4). Attendance at four conferences/workshops/seminars in 2012 and four in 2013, attendance included 11 ITB lecturers and 69 students with 20 papers presented (2012) and 3 ITB lecturers and 50 students with 21 papers presented at the IIGCE Conference (2013). Fourteen papers were presented at the Trainers of Trainers Workshop (2013) - target exceeded.

Task 6a&b & Task 7, 8 and 9 (5 short-courses offered – total target of 30 participants). Attended by 89 participants (24, 25, 23, 12, and 5 respectively) - target exceeded.

Project reports and interviews. Participation targets were exceeded. Based on evaluation team interviews with lecturers and students, monitoring reports (on file), and Program Implementation (2013 report), the seminars/workshops, conferences and short-courses were well received. Demand for geothermal short-courses exceeds ITB's ability to offer the trainings. Eighty-one males (90%) and eight females (10%) participated in the short-courses.

Finding 1: Participant interviews and monitoring data showed high quality and satisfaction with the geothermal seminar and short-courses; target values were exceeded.

Survey. Based on a rating by 7 respondents (3 women and 4 men) on the statement, “The results being delivered are contributing effectively to the achievement of the Partnership purpose and goals”, the rating was 100% satisfactory. On the statement “The Partnership is likely to contribute to its objectives, and there is evidence that the targeted beneficiaries will benefit from the Partnership,” the results were again 100% satisfactory. On a gender statement, “The Partnership and its activities are gender-sensitive and gender-balanced,” the ratings were 57% satisfactory; three forms not filled.

Finding 2: The assessment survey ratings were consistent with the indicator and interview information related to effectiveness and achieving project objectives. The respondents surveyed expressed 100% satisfaction with the technical knowledge and skill training provided. Gender-sensitive and gender-balance was at 57% satisfaction. Geothermal energy is a male-dominated program discipline.

Improved Geothermal Education Capacity (Goals 1, 2 and 5)

Indicators (scholarships, exchange, and course development):

Task 2 (scholarships- target 20/year). 10 USAID and 10 government scholarships per year provided in 2012 & 2013 – target met.

Task 5 & 11 (exchange/sabbatical – target 2). Visa issues on Indonesia to USC exchange and scheduling issues on USC to Indonesia sabbatical; re-scheduled - target not met.

Task 8 & 9 (course development – target 2). Two new courses developed ‘Geothermal well design and drilling’ and ‘Geoscience data evaluation’ – target met.

Task 10 (USC to develop semester-long course). Not implemented for ITB students/lecturers - target not met.

Project Reports and Interviews. The capacity-building activities were met as the result of self-initiative shown by ITB. The unmet targets were related to USC, including the ITB lecturer who was scheduled to go to USC and, after considerable visa issues, was on his way to the airport to depart when USC cancelled the visit.

The number of masters students (first and second year) for the three years from 2009 -2011 averaged 16.6 with 14.0% women. The number of masters students (first and second year) for the three years from 2012-2014 averaged 40.3 with 26.4% women.

Finding 3: ITB demonstrated strong self-initiative and leadership in implementing the capacity building activities with minimal support from USC. Additionally, the average number of masters students enrolled per year in geothermal has more than doubled (16.6 to 40.3) over the past three years from the previous three years, and the percentage of women increased from 14.0% to 26.4% in a traditionally male-dominated program.

Survey. Based on a rating by 7 respondents (3 women and 4 men) on the statement, “Capacity building activities are being effectively carried out, skills transferred, and the acquired skills meet the needs of the Partnership owner and stakeholders,” and on the statement, “Institutional

strengthening activities are being effectively carried out,” the results on both were 100% satisfactory.

Finding 4: The assessment survey ratings showed 100% satisfaction with the geothermal capacity building activities.

Conclusions

Conclusion 1: ITB institutional management and program staff should be commended for the initiative and leadership they demonstrated in implementing the institutional strengthening, improved knowledge and skills, capacity building, and enrollment increase (female and male) in the geothermal program. Project success is due to this leadership along with the support of Star Energy.

Evaluation Question #2. Partnership Interventions and Practices

Included is information on University of Southern California contributions to ITB delivery of effective interventions and practices in the achievement of the partnership objectives and selected other partnership practices such as planning, communication/coordination, implementation and evaluation. The supportive data are from project reports, Indonesian interviews and US partner comments.

USC Contributions to Implementation of the ITB Partnership Interventions and Practices

Reports and Interviews. USC contributed to a joint ITB/USC exhibition at a GRC conference and to IIGW; Task 4 - Geothermal Resources Council (GRC) held in Reno, Nevada (October 2012). USC had planned a USC faculty exchange to ITB (Task 5) and to deliver a semester-long course to ITB via IPodia (Task 10) - entitled ‘Introduction to Geothermal Systems’. Neither occurred because of timing. The exchange is now planned for September 2014. The latter was approved by USC but technology continues to be a challenge and the course was not delivered. The intent of the USC Global Energy Center/USC Energy Institute (USC Viterbi School of Engineering) was to support the ITB Partnership through the use of modern technology, but voice quality, time difference and communications have been unreliable and challenging. There are three activities planned as part of the extension; Task 3N - ITB/USC Seminars: a) geothermal seminars and b) distinguished lecture program (DLP), Task 4N - TB/USC Third Annual Geothermal Workshop (AGW), and Task 7N & 8N - Course development (2 courses) - ‘Environmental Impact Assessment for Geothermal Project in Indonesia’ and ‘New techniques and Approaches in Geothermal Exploration’.

Finding 4: USC has played a minor part in implementation of the ITB Partnership interventions and practices, although there are several activities planned as part of the extension.

USC Contributions to Other IMB Partnership Practices such as Planning, Communication/Coordination, Implementation and Evaluation

Communication and coordination between ITB and USC has been inconsistent. This was a new relationship and partner contacts had not existed previously as ITB had networked with Stanford University in their previous associations. Relationships with USC are only beginning to develop. Quarterly progress and annual reports are prepared by ITB and sent to USC for final review. A Performance Monitoring Plan (PMP) was developed by USC based on ITB

information. The lead partner for the USAID subcontract is USC. The funding and financial reporting process flows through the USC Global Energy Center.

Conclusions

Conclusion 2: Overall planning and communication with USC has been a challenge. Initial reports are prepared by ITB and the interventions have been coordinated and delivered almost entirely with the effort and leadership of ITB and Star Energy and an active Technical Advisory Board.

Evaluation Question #3. Unanticipated Partnership Results

Included is information on unanticipated partnership results and any USC contributions to these results. The supportive data are from the Indonesian and US partner comments.

Unanticipated partnership results

- During the Indonesian International Geothermal Convention and Exhibition (IIGCE 2013), the Indonesian Geothermal Association (INAGA/API) gave awards to the following ITB students and faculty: ITB student - class of 2011, Second Winner of Essay Writing Contest; ITB student – class of 2010, Best Paper of Reservoir Engineering Category; and ITB faculty - Chairman of Graduate Program in Geothermal Technology, Continuing Efforts in Geothermal Education.
- Chevron Geothermal Indonesia provided a full sponsorship to an ITB female student to present a paper at the Stanford Geothermal Workshop (2013);
- PT Pertamina Geothermal Energy provided a full scholarship for one student to present a paper at the New Zealand Geothermal Workshop (2013);
- A joint supervision for Ph.D. research between Kyushu University and ITB;
- University of Auckland (New Zealand) and PT Pertamina Geothermal Energy for Master Degree program in Geothermal Technology;
- Geothermal Resources Council (GRC), USA. During ITB Geothermal Workshop (2013), GRC team gave additional training titled, “Exploration Drilling and Early Stage Geothermal Reservoir Characterization”, which provided an opportunity for Indonesia to share in the experience of geothermal exploitation;
- Participants of the “Train the Trainers” and “Geothermal Seminar” helped inform other people to be more aware about the activities of the geothermal exploration and exploitation; expecting that the geothermal industries will get more support from the communities to develop geothermal fields in their area; and
- ITB is establishing cooperation with UNSYIAH on geothermal education and geothermal exploration research. An MOU is already prepared. Also, API has requested ITB to conduct five courses per year with certificate.

Finding 5: The unanticipated results were a reflection of ITB’s efforts in strengthening and expanding their geothermal education program; results were unrelated to USC contributions.

Evaluation Question #4: Lessons Learned from Partnership Sustainability

Included is information on lessons learned from the ITB Partnership that could help future U.S. – Indonesia University partnerships programs to be more sustainable. The supportive data are from project reports, Indonesian interviews and US partner comments.

Lessons Learned that could Affect Sustainability

Finding 6: ITB University-Industry Collaboration – the collaboration between universities and industries is seen as beneficial to prepare Indonesia human resources and to strengthen future sustainability of geothermal training in Indonesia. Currently, there is no apprentice geothermal training in Indonesia. Strategies to expand industry linkages and involvement is key to the future success of the geothermal energy program.

Finding 7: ‘Train the Trainers’ and ‘Geothermal Seminar’ expansion – these programs were well received and need to be expanded to more people with different backgrounds, that is, NGOs, Polytechnics, and local technicians. The short-course series should be conducted in other locations such as Semarang, Medan, Yogyakarta, and Bali; and in Southern Sumatra and Western Java where drilling exploration is occurring.

Finding 8: Attendance at Technical Advisory Board meetings is a challenge. Members are interested but are busy. Most meetings are held in Jakarta. The board tries to meet quarterly and has been active in advising and linking industry to the geothermal program (see the Data volume for current membership and sample minutes), but attendance has been sporadic. The board is in the process of expanding its membership. Possibly rotating the secretariat, alternating the meeting site between Jakarta and non-Jakarta sites, or meeting in conjunction with an association meeting, conference or seminar might help attendance.

Conclusions

Conclusion 3: The ITB Geothermal Energy Program has Potential Sustainability, which is interesting, in view of the fact that the U.S. Partner linkage was weak. A lesson learned is that it is good to build on previous relationships. The key has been the strong leadership being provided at ITB and from Star Energy. The Partnership has enhanced ITB’s image and credibility among its constituents. Star Energy was instrumental to the initial Partnership and has continued to play a supporting role in the success of the program although now ITB is thinking ‘Ph.D.’ while Star Energy is thinking ‘technician training’; for example, at selected Polytechnics. These two advocates for geothermal energy training need to continue to support and complement each other for long-term sustainability of education capacity building.

Evaluation Question #5: Partnership Strengths And Weaknesses

Included is information on strengths and weaknesses of the partnership, in particular related to planning, communication/coordination, implementation, and monitoring and evaluation. The supportive data are from project reports, Indonesian interviews and US partner comments.

Strengths

- ITB networks/outreach with other universities, government and private sector have been strengthened. Internal networking within the trainings was a strength.

- The seminars/trainings were well-received and the number and quality of the seminars/trainings provided was a strength. Each participant in a workshop/seminar received a complete set of all materials – PowerPoint, handouts, and papers.
- The number of graduate students in the ITB geothermal energy program has doubled from 10-12 students in 2010 to 20-25 students in 2014; the goal is 30. Most are male students with only a few female students. Fortunately, the leader of the program is a woman, which helps to provide a role model for more female students in the future. The graduate students have a mix of undergraduate backgrounds; that is, mining, forestry, geophysics, environmental, and petroleum, chemical and civil engineering. This diversity of undergraduate backgrounds has been an asset to the program and provides a unique graduate.
- ITB has the capability to manage a project directly; they take little overhead resulting in maximal use of funds for program; currently, handling Star Energy funds.

Weaknesses

- Inability to access USC's strength; e.g., virtual classroom and distance education network and remote access of ITB to geothermal activities at USC - there were technical communication issues plus time difference, voice quality, and responsiveness issues; ITB would have liked the Partner to assist more with publications and joint presentations and USC would have liked more funding for student collaboration and a research component.
- ITB was slow in processing invoices and in reimbursements, typically up to six/seven months, sometimes a year; also there was lost time in understanding and obtaining the required USC Data University Number System (DUNS) needed in the accounting system.
- There is a need to improve the ITB teaching materials; that is, develop better teaching modules and guidelines, improve teaching methods – currently, depend mostly on lecture method with case studies; linkage to a Faculty with curriculum development and teaching methodology knowledge would be helpful. Also, there is need for more practical skills and applied research; academic knowledge is better.
- ITB has a minimal number of lecturers (15 plus 5-6 academic assistants); those qualified to supervise a thesis continues to be an issue. It is difficult for IBT to accommodate a lecturer being absent on an exchange program for three months.
- ITB laboratory facility is still being developed so ITB has an MOU of cooperation with the National Atomic Agency (Batan) and with the Ministry of Energy and Mineral Resources in Jakarta but there needs to be more such collaborations.
- There was a visa processing issue with one ITB faculty member in terms of an international exchange – multiple delays.
- English is the main mode of instruction; there is a need for improved English for faculty and students.

Ratings

The ratings on the partnership practices of planning, communication/coordination, implementation, and monitoring and evaluation with Star Energy were very good to excellent and those with USC were poor to average, especially on communication/coordination and implementation. The overall ratings on the Partnership outcomes of achievement of objectives,

sustainability, production/dissemination, and unanticipated outcomes were excellent while the USC Partnership ratings on the same criteria were poor to average.

Finding 9: The strength of the Partnership was in the joint collaboration and coordination with the private sector and the quality and number of seminars/trainings provided.

Finding 10: The weakness of the Partnership was a lack of consistent communication and coordination with the U.S. Partner. In addition, there was a lack of up-to-date communication technology and laboratory equipment at ITB along with a need for improved teaching and learning materials and assistance on preparing professional papers/publications.

Recommendations

The following recommendations are drawn from report findings, related project documentation, site visits and the Indonesian Partners:

1. *Develop a research consortium with industry.* There is a need for developing a consortium to focus on the priority needs of industry. Texas A&M has a successful research consortium with industry that could serve as a model.
2. *Improve teaching and curriculum guides.* There is need to develop better teaching modules and to upgrade the curriculum guides. The University of Nevada/Reno and the University of Denver are exemplary in this field and could provide a model.
3. *Develop linkage to the Geothermal Resource Council (GRC) for improved opportunities - institutions and program.* The GRC would be a good link to a consortium of universities and has access to a body of knowledge on both Indonesian and international geothermal energy. There is need for development of a series of short courses based on competency-based standards with certification as in New Zealand. People need to have practical training that meets certification. Short courses could be developed and offered under the sponsorship of the GRC. Through the GRC, linkage to a consortium of US Universities and/or international partners could be developed.
4. *Improve responsiveness to the Polytechnics.* In general, Polytechnics did not participate in the training/seminar courses offered by ITB through the IGECB Partnership. There is need to establish a geothermal emphasis at the Polytechnics. ITB could provide leadership in this area by working closely with Star Energy and the Polytechnics to develop and establish trainings/series of competency-based courses on geothermal energy.
5. *Increase Student support – scholarships, industry linkage, employment, and follow up.* There is a need to provide more scholarships and exchange opportunities for graduate students – more support from government, donor and industry, better industry work-experience options, improved linkage to employment/career opportunities, and a tracer study of the graduates.
6. *Develop ITB financial and management capability to receive donor funding directly.* The LAPF Foundation at ITB is an option that needs to be tested.

RECOMMENDATIONS ACROSS THE FOUR PARTNERSHIPS

These overall recommendations are based on the findings and conclusions of the individual UP reports presented in the earlier sections. The reports cover four diverse program areas: climate risk, mental health, marine biology and geothermal energy, but there were some common themes that emerged from these reports. The recommendations are based on these themes along with some insights gained during a debriefing session at USAID/Indonesia on February 28, 2014. The recommendations are both short-term (recommendations 1-4) and longer-term (recommendations 5-8). Potential strategies suggested by the respondents have been included.

1. *Documentation/dissemination of results for the local consumer.* Results of the partnerships need to be documented and “translated” into appropriate language and modalities for local application by the private sector, local governmental or non-governmental entities, or other “end-users” or “consumers” of science and technology. One strategy would be to appoint a task force or hold a workshop of potential users to review and make suggestions as to an appropriate action plan. The challenge has been that, typically, the academic is more interested in a professional paper or presentation than product development for the local consumer. Both are important.

2. *‘Champions’ to understand and advocate for supportive policy.* To be effective, decision/policy-makers need to be knowledgeable about the results and ‘champions’ are needed to advocate for proper policy or support procedures to transfer the results into action. A good strategy is the use of a technical advisory board/group involving key influencing advocates, whether government, private sector, academic or field-level. These potential support players need knowledge awareness and the more they are involved in the process the better. Those UP institutions with active advisory groups can begin now to identify and facilitate such ‘champions’.

3. *Continued funding to further achieve individual and institutional sustainability.* All of the Partnerships achieved their improved participant knowledge and skills and improved capacity building activities and will have achieved some individual sustainability and organizational sustainability, but none of the partnerships are at the level where they are sustainable without additional funding. The projects were overly ambitious in their objectives considering the three-year time frame. Some of the Partnerships have positioned themselves for other donor or government funding while others are struggling. All of the Partnerships are dealing with important Indonesian priorities, have made an excellent effort but need additional ‘bridging’ funding and or other funding for another one-two years to implement their interventions and strengthen their organizations. Sustainability takes time and most of the projects are only now at the stage of strategizing on how to further operationalize and institutionalize their interventions. There were delays in getting started in most of the Partnerships but overall the projects made excellent progress in achieving their objectives and have gained credibility through participation in the UP program. One strategy is for USAID to assess the possibility of strategic complementarity funding among the current University Partnerships.

4. *Further demonstration of Indonesian financial and management capability with accountability.* There is need for testing alternate models; strategies could include the use of LAPI, the Industrial and Research Affiliation Agency at ITB (Institut Teknologi Bandung), development of a

research consortium (e.g., an Indonesian Science Foundation) or a streamlined LPPM. The ability of enabling Indonesian recipients to contract directly with funders in an effective and efficient manner is an end goal and is critical for the Indonesian institution to gain access to alternative funding sources. The Indonesian agencies need more timely processes and procedures for receiving and disbursing donor funds in an accountable manner.

5. *Strengthen Partner ‘work force’ linkage opportunities and leadership opportunities for women.* More internships and linkages with the private sector and government sector are needed. One strategy is that each UP Indonesian institution conduct a rapid assessment of the UP program linkage opportunities in their region. Graduating students typically need six months to a year of work- place experience before they can be productive. In conjunction with this effort, more can be done in providing leadership awareness opportunities for women. There are dynamic Indonesian women role models in science and the UP institutions should identify these women and reach out to them even though there was no perceived gender difference in the effectiveness of project implementation.

6. *Enhanced ‘partner contacts’ and exchanges.* Longer and more ‘partner contacts’ and researcher exchanges would be useful. Program areas should continue to be supportive of donor and Indonesian priorities and the Indonesian institution needs to assume more responsibility in selecting and determining the appropriate partner or partners. Six months should be allowed at the beginning of a partnership to meet start-up management, financial and reporting requirements. Criteria for a ‘partner contact’ could include strong technical expertise, ‘cutting edge’ in their field, and organization/agency or individual who can make time for ‘mentoring’ and has access to additional funding that can be used to assist in a visit/exchange or supportive activity. Benefits need to be mutual and expected outputs and responsibilities of partners better clarified.

7. *Strengthened ‘curriculum quality’ and practical training.* The program curriculum should be performance- based with clear objectives, scope and sequence guides and more up-to-date resources. Much of the current curriculum exists in name only and is based on lecture, PowerPoint presentations, and reference lists. Improved laboratories with more up-to-date equipment and better access to current technology are needed along with more practical modules, relevant simulations, case studies, and field work. This is something the Indonesian government along with selected U.S. universities and private sector partners can provide.

8. *More work on ‘technology transfer’ to the field.* Much of the effort to-date has been capacity building with the model development and/or research conducted as the mode for the knowledge sharing and capacity building effort. Much was academic and needs further replication and pilot testing and translation into appropriate end-user language for impact. More work at the application phase is needed and there is need for supportive policy and a process for the ‘technical transfer’ of a prototype to the ‘field.’ There are institutions that are exemplary in the ‘technology transfer’ area and study trips to these institutions need to be supported by the Indonesian government.

ANNEXES

ANNEX A - SCOPE OF WORK

Background and Project

USAID launched the University Partnerships (UP) program in December 2009 to help improve the quality and relevance of higher education in Indonesia. Establishing partnerships between the U.S. universities and the Indonesian universities serves as an important vehicle to leverage U.S. universities' expertise to strengthen research and teaching capacity of Indonesian institutions. The UP program is implemented through announcements via the Annual Program Statement (APS) mechanism, with each partnership forming a separate cooperative agreement. The UP Partnership priority areas include public health, education, environmental protection/climate change, economic growth, and agriculture. To date, USAID has awarded a total of eleven partnerships between U.S. universities and Indonesian universities with the U.S. University as the lead and the Indonesian universities as the sub-awardee(s). The estimated amount of each of the three-year UP awards is from \$600,000 to \$1,000,000.

This Scope of Work relates to the tasks associated with the evaluation of the following four University Partnerships:

1. *Adaptation to Climate Risk in Indonesia – 07/08/2011 – 07/07/2014:*
 - Columbia University (USA) and Institut Pertanian Bogor (IPB)
2. *Strengthening Health Systems in Indonesia - 07/21/2011 – 07/20/2014:*
 - Harvard Medical University (USA), Universitas Gadjah Mada (Yogyakarta), and Universitas Syiah Kuala (Banda Aceh)
3. *Indonesian Marine Biotechnology Partnership – 07/21/2011 – 07/20/2014:*
 - University of California Santa Cruz (USA), Universitas Diponegoro (Semarang, C. Java), Universitas Hasanuddin (Madassar, S. Sulawesi) and Eijkman Research Center (Jakarta)
4. *Supporting Geothermal Capacity Building – 11/14/2011 – 01/31/2014:*
 - University of Southern California (USA), Institut Teknologi Bandung (ITB), and Star Energy (Jakarta)

The purposes of this evaluation are to: 1) assess the extent of the knowledge and skills transfer that has occurred between the lead U.S. university and the Indonesian university as the sub-awardee; 2) determine the extent or level of capacity building that has taken place within the partnerships; 3) assess the effectiveness of the project interventions between the partnerships in relation to improve the teaching and research services; 4) assess whether or not the projects are sustainable and have achieved the project objectives; 5) obtain lessons learned from the existing partnerships that can be applied to the future direction of the UP program; and 6)

demonstrate how the institutions have achieved measurable improvements in the quality and relevance of their teaching and research service.

Evaluation Questions

USAID/Indonesia identified several key questions to be addressed in this evaluation:

1. What is the specific knowledge and skills and the institutional capacity building that have occurred as a result of the partnership between the U.S. University and the Indonesian University?
2. What were the project interventions that were effective between the participating universities toward improving the quality of the research service, teaching, and curriculum development?
3. What unintended results or spillover have occurred toward achieving USAID's Education Strategy in IR 2.2 Strengthened Management of Targeted Higher Education institutions, and I.R. 2.3 Improved Teaching, Research, and Service at Targeted University Departments under the partnership?
4. What are the lessons learned from the partnership that may be replicated in future programs based on its sustainability in curriculum development, research service, publications, public/private partnerships, and possibilities for engagement with other partners (government, NGO, or private sector) at the end of the award?
5. What are the strengths and weaknesses of the partnership between the U.S. University and the Indonesian university?

The following research and analysis tasks will be completed to address these evaluation questions:

Literature and Documentation Review

The evaluators will review a wide range of reports cited in the RFTOP, such as the four partnerships' Work Plans, Performance Management Plans, and quarterly and financial reports, as well as the USAID/JBS Best Practices for AME Higher Education Partnerships study and other documents listed in Section C of this Scope. The evaluation will draw on the analytical methodology already established and successfully used in this AME review of best practices, as well as on the fall 2012 evaluation of the first four University Partnerships. Careful review will provide key descriptive information about the four partnerships (e.g., area of focus, award dates and amount, and cost sharing), as well as information critical for effective partnership practices and measurable outcomes. Reports will be reviewed for gender implications and outcomes.

Site Visits and Interview Instruments

Using the proposed evaluation framework, site visits at the Indonesian institutions will allow the evaluation team to collect as much information as is available on the practices and outcomes of the four university partnerships being evaluated. Semi-structured interviews will be conducted at the partnership sites. The interview instruments will include key questions to be posed to administrators, faculty, students and other stakeholders. In addition, these interviews will be used to cross-check the information provided in the four partnerships' annual and other reports, previous evaluations, and related documents.

Discussions with U.S. Partners

Virtual discussions will be conducted with key persons at U.S. universities who have directly participated in these partnerships. The discussions will examine the respondents' experiences in creating these partnerships, managing and coordinating their implementation, and assessing their outcomes.

Lessons Learned

The findings of the above research will be used in the analysis of lessons learned from the four partnerships being evaluated, and in making recommendations on their relevance to the UP program. These findings will be organized and analyzed in comparison to the best practices and outcome measures in the AME study, with specific attention given to anticipated and unanticipated outcomes, sustainability, and strengths and weaknesses. The following timeline for the evaluation presents the basic flow of activities which will be solidified in the work plan.

ACTIVITY	TIME FRAME
The Evaluation Team reviews documents; begins development of research instruments; has initial discussions with U.S. university partners; travels to Indonesia.	January 18-February 2
The Evaluation Team holds initial briefings with USAID higher education team, AORs, and technical offices; reviews documents; develops research instruments; submits draft Work Plan/Evaluation Design to USAID; schedules and conducts initial meetings with Indonesian university partners; USAID approves Work Plan/Evaluation Design	February 3-8
The Evaluation Team meets with Indonesian university partners and other relevant stakeholders; conducts site visits and interviews; collects partnership data and documents partnership results	February 9-22
The Evaluation Team completes its site visits and interviews; analyses field work data; holds preliminary briefing on site visit findings with USAID higher education team.	February 23-28
The Evaluation Team returns to U.S.; completes analyses of field work data; writes and submits preliminary draft of final report; incorporates USAID feedback into writing of the final report; submits final report within 10 days of receipt of Mission feedback.	March 1-18

Deliverables

The contractor shall submit the following deliverables:

Work Plan and Evaluation Design. A Work Plan and Evaluation Design for the evaluation shall be completed according to the evaluation timeline and presented to the Contracting Officer's Representative (COR). The evaluation design will include a detailed evaluation design matrix (including the key questions, the methods and data sources used to address each question),

draft questionnaires and other data collection instruments, and known limitations to the evaluation design. The final design requires COR approval. The work plan will include the anticipated schedule and logistical arrangements and delineate the roles and responsibilities of members of the evaluation team.

Oral Briefings. The evaluation team shall debrief with the USAID Higher Education team and other relevant technical teams upon arrival in Jakarta and with other relevant technical teams. The evaluation team will also provide an oral briefing of its preliminary findings to the USAID Higher Education team, relevant USAID technical offices, and Agreement Officer's Representatives (AORs) and Alternates of the university partnership awards in advance of its departure from Indonesia.

Final Report. The Final Report shall be submitted to the COR in electronic form within 10 days following receipt of comments from USAID. The report shall include an executive summary and is not to exceed 30 pages (excluding appendices). The executive summary should be 3-5 pages in length and summarize the purpose, background of the project being evaluated, main evaluation questions, methods, findings, conclusions, and recommendations and lessons learned (if applicable). The report shall follow USAID branding procedures.

An acceptable report will meet the following requirements per USAID policy (please see: the USAID Evaluation Policy):

- a) The evaluation report should represent a thoughtful, well-researched and well organized effort to objectively evaluate what worked in the project, what did not and why.
- b) The evaluation report should address all evaluation questions included in the scope of work.
- c) The evaluation report should include the scope of work as an Annex. All modifications to the scope of work, whether in technical requirements, evaluation questions, evaluation team composition, methodology or timeline shall be agreed upon in writing by the USAID Mission Program Officer.
- d) Evaluation methodology shall be explained in detail and all tools used in conducting the evaluation such as questionnaires, checklists and discussion guides will be included in an Annex to the final report.
- e) Evaluation findings will assess outcomes and impact using gender disaggregated data.
- f) Limitations to the evaluation shall be disclosed in the report, with particular attention to the limitations associated with the evaluation methodology (selection bias, recall bias, unobservable differences between comparator groups, etc.).
- g) Evaluation findings should be presented as analyzed facts, evidence and data and not based on anecdotes, hearsay or the compilation of people's opinions.
- h) Findings should be specific, concise and supported by strong quantitative or qualitative evidence.
- i) Sources of information need to be properly identified and listed in an Annex, including a list of all individuals interviewed.
- j) Recommendations need to be supported by a specific set of findings.

k) Recommendations should be action-oriented, practical and specific, with defined responsibility for the action.

Key Documents for Review. Key USAID Partnership Documents, including:

- Cooperative agreements with each of the two partnerships to be evaluated
- Implementing partner Work Plans and Performance Management Plans (PMPs) for each partnership
- Quarterly reports, annual reports, and financial reports submitted by each partnership
- Manuals and research and training materials developed by each partnership
- “Best Practices for USAID International Higher Education Institutional Partnerships: Asia and Middle East Regions, Volume I and Volume II” – GEM II BPA, Aguirre Division of JBS International, Inc., August 2011.
- “Assessment of Higher Education Institutional Capacity in Selected Geographic and Subject Areas” – GEM II BPA, Aguirre Division of JBS International, Inc., April 2009.
- The World Bank, “Putting Higher Education to Work: Skills and Research for Growth in East Asia,” 2012.

ANNEX B – WORK PLAN

BACKGROUND AND PROJECT

According to the Indonesian Ministry of Education and Culture (and its predecessor, the Ministry of National Education), higher education is central to the economic and political development of the country and vital to competitiveness in an increasingly globalized and knowledge-based society. With about 3,000 institutions of higher education under its purview, the Ministry has embarked on an ambitious course to improve its colleges and universities as student enrollment continues to increase. Ongoing reforms are addressing areas such as academic quality assurance and relevance, university management and governance, and university financial management, and include efforts to provide greater opportunities for Indonesia's young women and its poorer students. USAID supports these areas of policy reform while also helping to strengthen individual institutions so they can excel within the changing environment.

There is a long history of collaboration between U.S. and Indonesian tertiary institutions. The collaboration has existed at many levels, including support for scholarships, exchange programs and research. Previous experiences clearly demonstrate the many advantages of collaboration between institutions. Thousands of Indonesians have received graduate degrees in the United States, and many now hold high positions in government, business, and academia. The course offerings and syllabi of many Indonesian institutions are similar in design to those found in the United States. These institutions of higher education can benefit greatly from partnering with U.S. institutions to improve management systems, curriculum relevance, teaching methodologies, stakeholder collaboration, and staff development, especially in the research and technical fields that are critical for Indonesia's economic competitiveness and national development.

The Comprehensive Partnership between the United States and Indonesia identifies the creation of education partnerships as a top priority. In support of this, USAID's education programs aim to form partnerships and encourage formal collaboration between U.S. institutions and the Government of Indonesia and the Indonesian people. The overall goal is to improve the quality of the Indonesian basic and higher education sectors, so that education services will be more relevant to the country's economic and social growth.

In furtherance of this aim, USAID launched the University Partnerships (UP) program in December 2009 to help improve the quality and relevance of higher education in Indonesia. Establishing partnerships between the U.S. universities and the Indonesian universities serves as an important vehicle to leverage U.S. universities' expertise to strengthen the research and teaching capacity of Indonesian institutions. The UP program is implemented through announcements via the USAID Annual Program Statement (APS) mechanism, with each partnership forming a separate cooperative agreement. The UP program priority areas include public health, education, environmental protection/climate change, economic growth, and agriculture. To date, USAID has awarded a total of 16 partnerships between U.S. universities and Indonesian universities, with the U.S. university as the awardee and one or more Indonesian partners as sub-awardee(s). The range of awards is from \$600,000 to \$1,000,000 in funding from USAID/Indonesia.

PURPOSES OF THE EVALUATION

This is one of a series of evaluations whose purpose is to: 1) assess the extent of the knowledge and skills transfer that has occurred between the lead U.S. university and the Indonesian university/ies as the sub-awardee; 2) determine the extent or level of the capacity building that has taken place within the partnerships; 3) assess the effectiveness of the project interventions between the partnerships in relation to improving teaching and research services; 4) assess whether or not the projects are sustainable and have achieved the project objectives; 5) obtain lessons learned from the existing partnerships that can be applied to the future direction of the UP program; and 6) demonstrate how the institutions have achieved measurable improvements in the quality and relevance of their teaching and research services. The third and fourth of the eleven UP partnerships will be evaluated in this phase.

EVALUATION QUESTIONS

The RFTOP and Task Order identified five key questions which will be answered through this evaluation:

6. What are the specific knowledge and skills and the institutional capacity building that have occurred as a result of the partnership between the U.S. university and the Indonesian university?
7. What were the project interventions that were effective between the participating universities toward improving the quality of the research services, teaching, and curriculum development?
8. What unintended results or spillover have occurred toward achieving USAID's Education Strategy in IR 2.2 (Strengthened Management of Targeted Higher Education Institutions), and IR 2.3 (Improved Teaching, Research, and Service at Targeted University Departments) under the partnership?
9. What are the lessons learned from the partnership that may be replicated in future programs based on its sustainability in curriculum development, research services, publications, public/private partnerships, and possibilities for engagement with other partners (government, NGO, or private sector) at the end of the award?
10. What are the strengths and weaknesses of the partnership between the U.S. university and the Indonesian university?

Information on the specific evaluation questions to be answered has already been shared with key contacts at each partner institution. All have been asked to assemble, prior to the team's arrival, documents that they believe would be useful for an effective evaluation.

INDONESIAN AND U.S. UNIVERSITY PARTNERS

As part of its evaluation of UP partnerships 5, 6, 7, and 8, the IBTCI team will visit the lead Indonesian universities and other organizations identified as the partner institutions responsible for implementing the activities and issues of concern which are the focus of the evaluation. Separate discussions will be carried out with partnership coordinators at the U.S. partner universities, to verify and complement the data collected during planned visits to and interviews with key respondents at the Indonesian partner institutions. **Annex A** includes the DRAFT project work plan and calendar, while **Annex B** includes the project team's DRAFT schedule for

its travel to project sites. Please note that weather and conditions on the ground may call for changes.

Following are the Indonesian and U.S. institutional partners in these four UP partnerships:

- 5) Adaptation to Climate Risk in Indonesia – 07/08/2011 – 07/07/2014 Columbia University, Institut Pertanian Bogor (IPB) (Bogor, W. Java)
- 6) Strengthening Health Systems in Indonesia – 07/21/2011 – 07/20/2014 Harvard Medical School, Universitas Gadjah Mada (Yogyakarta), Universitas Syiah Kuala (Banda Aceh)
- 7) Indonesian Marine Biotechnology Partnership - 07/21/2011 – 07/20/2014 University of California Santa Cruz (USA), Universitas Diponegoro (Semarang, C. Java), Universitas Hasanuddin (Makassar, S. Sulawesi), Eijkman Research Center
- 8) Supporting Geothermal Capacity Building – 11/14/2011 – 01/31/2014 University of Southern California, Institut Teknologi Bandung (ITB), and Star Energy

EVALUATION DESIGN AND METHODOLOGY

Overall Methodology

The evaluation will make use of “mixed methods” methodology that combines review of documents, in-depth one-on-one Key Informant Interviews, site visits, and, as feasible, focus groups. Given the nature of the topics of the evaluations and the anticipated uses of the evaluations, methods will be primarily qualitative. Given the fact that there are eight Indonesian partners to be visited in different parts of Indonesia plus other stakeholders, it is desirable for the team to divide into sub-teams for part of the time. To limit the potential for inter-evaluator variation, both before and after the splits, all team members will make site visits and participate in interviews jointly so as to ensure a common understanding and a common set of expectations.

As discussed under *Limitations* below, in addition to the normal logistics constraints of travel in the rainy season, various communities have suffered significant natural disasters. Flexibility, therefore, will be required.

Literature and Documentation Review

The evaluation team will examine a wide range of reports cited in the RFTOP. Especially relevant will be its comprehensive review of all documents available pertaining to the partnerships, including partnership work plans, quarterly and annual progress reports, white papers and research studies, and other appropriate partnership documents. Attention will be given to gender implications and outcomes. The team also will review best practice documents such as the 2011 report *Best Practices for USAID International Higher Education Institutional Partnerships: Asia and Middle East Regions*, prepared for USAID by JBS International, and other relevant reports generated locally and internationally. At the same time, the team will be cautious not to rely too heavily on dated secondary written sources when evidence-based primary information may be available and more relevant.

In-depth One-on-One Key Informant Interviews (KIIs)

The team will conduct semi-structured key informant interviews (KIIs) with relevant partnership participants, including key project partner contacts, to be identified, during visits to the eight Indonesian institutions named above in order to answer the five evaluation questions being asked about the two partnership programs cited. The key informant interview guides (KIIGs) used to conduct these partnership KIIs will include key questions to be posed to university administrators, management and faculty, and students and to selected non-university partner leaders as well as to other partnership participants and external stakeholders. In addition, interviews will be used to cross-check the veracity and accuracy of the details in partnership reports and to ascertain what intended or unintended benefits and challenges the interviewees may have encountered through the UP program in their respective institutions. Furthermore, the evaluators will use the interviewees' knowledge to understand the effects of each partnership program, such as the degree to which USAID-funded partnerships have influenced research and educational policies and activities in their respective institutions. Responses will present an opportunity for making recommendations to increase or improve U.S. government support for local university partnership program implementers.

U.S. Partnership Coordinator Discussions

The KIIGs will be used not only at the Indonesian institutions visited but also to conduct telephone or e-mail discussions with the U. S. coordinator for each of the partnerships. These discussions will examine the U.S. partnership coordinators' experiences in creating viable university-to-university relations and in managing and coordinating the effective implementation of activities to achieve the UP agreement's main objectives.

Proposed Methodology

From the names provided in the reports shared, and additional names discovered during documentation reviews and through references, KIIs will be conducted at all the partner institutions visited. Meetings will be conducted with USAID/Indonesia Mission staff working with the partnerships, both to elicit information as to the partnerships and to seek guidance from USAID on how best to prioritize the other meetings in-country. In order to ensure maximum advantage from meetings, the team will attempt to contact potential interviewees before arriving at each institution through e-mail or text, by phone, and, if needed, through a local logistics expert retained for this purpose by the team.

One international team member and, where necessary, an interpreter will be present for each KII to ensure accuracy when recording responses from the interviewee. The evaluation team is using the attached evaluation template, designed by the team, to prepare key informant interview guides (KIIGs) for KIIs conducted by the team with USAID staff; university partner administrators, researchers, teaching staff, and graduate students; partner institution program managers and directors; and other partnership stakeholders (e.g., public health professionals, community educators). Through these evaluation template-based KIIGs, the team will seek information and insights relating to the project's evaluation questions, including each partnership's benefits and challenges, perceptions and attitudes, and lessons learned; attention will be given to gender implications and outcomes.

Profile of Key Informants

The team will use the KIIGs to interview key partnership participants, including past and present principal actors who have or had key roles in the management and organization of each of the two partnerships, as well as other relevant stakeholders (e.g., researchers, training program presenters, public health professionals). As noted above, the team will seek guidance from these participants regarding other individuals not on the initial interview list who could provide the team with additional comprehensive evidence-based information.

Given the diversity of potential key informants and the number of universities and other partner organizations they represent, the team will conduct approximately 30 KIIs, including those with USAID/Indonesia staff responsible for UP program oversight.

Data Collection

Interviewers will take structured notes of respondents' answers and record any insights and observations that may be pertinent to the evaluation. Notes and information collected during each interview will be written up using a format agreed upon by team members prior to starting field activities; this format will facilitate analysis focused on the stated evaluation questions. It should be noted that because this is a mixed qualitative-quantitative approach, responses to the interview schedules may lead to new but relevant evaluation questions which may require appropriate field research adjustments.

Analysis

The analysis of the KII information will capture the respondents' answers vis-à-vis the key evaluation questions and other project objectives. The approach will allow the evaluation team to identify trends or significant feedback among the different respondent groups and will help shape principal findings and recommendations. For instance, senior level staff across all partner institutions might share similar information regarding lessons learned on a specific research or teaching problem, in which case the recommendations made by the team on that aspect may be stronger because they would be based on a significant quantity of cross-referenced data.

Focus Group Meeting Formats and Guidelines for Comparative Purposes

If time allows, informal focus group discussions in each of the lead Indonesian universities will be held to gather complementary qualitative information about tangible impacts associated with each partnership. Questions asked during these sessions will focus on the benefits and challenges experienced among the participants in their support of their respective program model. Their answers will provide supporting data and information for determining what worked, or did not work, in partnership planning, communication and coordination, implementation, and evaluation both within and external to the partner universities. The focus group setting will also provide an opportunity for assessing the common attitudes and perceptions that may exist, such as how a partner organization was able to incorporate components of existing university curricula and teaching into the new ideas and interventions being introduced by U.S. partners.

Methodology

Illustrative focus group questions have been prepared in anticipation of the need for uniformity among these focus groups. The information in this annex will serve mainly as *Focus Group Guidelines* that will assist the facilitator in selecting appropriate evaluation topics which need to be discussed. As is common in focus groups, a high level of interaction among contributors will be encouraged to enhance information sharing and transparency. Group answers will be recorded in detail by a member of the evaluation team. These responses will form the basis for comparing and assessing perceptions and attitudes arising from each partnership's delivery of technical services, research, training, and learning.

Focus Group Size

The evaluation team will seek to have at least five people per focus group in order to conduct an efficient session, but this size (as well as the gender of participants) will be subject to participants' schedules, venue ability, and other logistical considerations. When time allows, pre-planned contact with potential participants should increase focus group attendance.

Analysis

Similar to the KIIs, an agreed conceptual framework for analysis will be used to juxtapose data gathered during parallel focus group meetings in the partnerships. If one focus group, or formal discussion group, can be convened and successfully implemented for each partnership, the team should have data from two comparable focus groups to contribute to the analysis.

Semi-Structured Group Discussion

Some senior-level respondents in partner universities or other partnership stakeholder organizations may not be willing to participate in a more formal focus group or semi-structured one-on-one interview situation (i.e., KII). If the team identifies a few such senior partnership participants in a single location, the team will consider conducting a more informal semi-structured group discussion. A guide for conducting such a semi-structured group discussion, with illustrative questions based on the items in the primary research instrument, is attached.

Analytical Framework

The evaluation will draw on the analytic framework established and used in the 2011 USAID report *Best Practices for USAID International Higher Education Institutional Partnerships: Asia and Middle East Regions*, referenced earlier in this work plan. This framework uses two main constructs, namely, effective partnership practices and key partnership outcome measures. Four of these practices and four of these outcome measures are most useful in evaluating the UP partnerships:

Practices

- Partnership Planning Practices
- Partnership Communication and Coordination Practices
- Partnership Implementation Practices
- Partnership Evaluation Practices

Outcome Measures

- Achievement of Partnership Objectives
- Unanticipated Partnership Outcomes
- Partnership and Partnership Program Sustainability
- Partnership Documentation and Dissemination

These effective partnership practices and key partnership outcome measures have been integrated into the questions in the team’s evaluation template, which will serve as the basis for the team’s KIIGs. Thus the practices and outcome measures of the partnerships are at the center of the team’s analysis and – together with the data and insights gained through the literature and documentation review, KIIs, and focus groups – will enable the team to address more fully the five evaluation questions.

This analytic framework will, in turn, enable the team to analyze the lessons learned from these two partnership programs. It also will enable the team to make recommendations to help strengthen future U.S.-Indonesia higher education institutional partnership programs, including the institutional capacity and contributions of the Indonesian partner institutions.

Key Evaluation Considerations

Emphasis on Confidentiality

Given the university and national sensitivities which may be implicit in the implementation of ambitious multi-institutional partnership programs, several techniques to improve the anonymity of respondents/interviewees will be employed, such as small group discussions or one-on-one interviews without attribution.

Cultural Sensitivity

Members of the team have lived or worked in each of the geographic areas targeted and are well aware of the existing cultural and geographical differences. The design and implementation of appropriate focus group events, interviews, and meetings will require diplomacy and sensitivity to these differences. For example, we may find that people in North Sulawesi may respond differently to interview questions than people from Java or Lombok. Thus focus group participants in one area may require more formality and structure in the organization and implementation of such groups than focus group participants in another area of Indonesia.

Limitations

One important constraint on collection and analysis of data is that this round of the task order calls for evaluation of four partnerships in the same time frame as was available to conduct evaluation of two partnerships in each of the two preceding rounds. This necessarily means that analysis of partnerships under this round will not be able to go into the same level of depth as the previous rounds. Another constraint is the extensive flooding and other natural disasters that have afflicted Indonesia recently, which may make it infeasible to make visits to some locales and/or to meet with relevant stakeholders. We will discuss with our COR and the relevant AOR(s) how to work around this possibility.

PROJECT TIME FRAME

The project field work (reflecting Dr. Boardman’s days of arrival and departure from Indonesia) is scheduled from January 31, 2014 through March 1, 2014; USAID has authorized a six-day work week in Indonesia. An additional nine days is allocated for pre-field work literature and documentation review and other tasks and post-field work on the draft final report.

The project team will meet the USAID/Indonesia Education Team for an initial briefing at the U.S. Embassy in Jakarta at 8:15 a.m. on Monday, February 3, 2014. A final debriefing and sharing of preliminary field work findings is anticipated to take place at USAID/Indonesia on Thursday, February 27. A revised final report will be submitted within ten working days of receipt of comments from USAID/Indonesia.

ENDNOTES

EFFECTIVE PARTNERSHIP PRACTICES AND PARTNERSHIP OUTCOME MEASURES

The 2011 USAID report “Best Practices for USAID International Higher Education Institutional Partnerships: Asia and Middle East Regions,” prepared by JBS International (Aguirre Division), developed and applied a methodological framework using two main categories: effective practices and key outcome measures. These partnership practices and outcome measures are as follows:

Effective Partnership Practices

- Planning Practices
- Communication and Coordination Practices
- Implementation Practices
- Evaluation Practices

Key Partnership Outcome Measures

- Achievement of Partnership Objectives
- Unanticipated Partnership Outcomes
- Partnership and Partnership Program Sustainability
- Partnership Documentation and Dissemination

NOTES ON EVALUATION QUESTION #3

NOTE 1: Prior to the October-November 2012 IBTCI/JBS Intl. evaluation of University Partnerships #1 and #2, USAID/Indonesia agreed the IR 2.2 portion of this question could be deleted.

NOTE 2: In the published Education Strategy, IR 2.2 is stated as “Improved quality of tertiary education and research in support of country development priorities,” while IR 2.3 is stated as “Relevance and quality of workforce development programs improved.” These statements are different than the IR 2.2 and IR 2.3 statements in Evaluation Question #3.

ANNEX B.1 – WORKPLAN ROUND 3 - EVALUATION OF US-INDONESIA UNIVERSITY PARTNERSHIPS #5-8

Updated version: 28 February 2014

No.	TASKS AND ACTIVITIES	Location	January 2014				February 2014																				March 2014																
			Week 1				Week 2					Week 3					Week 4					Week 5					Week 6																
			M	-	S	S	M	-	S	S	M	T	W	T	F	S	S	M	T	W	T	F	S	S	M	T	W	T	F	S	S	M	T	W	T	F	S	S	M	-	S		
			20	-	25	26	27	-	-	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	1	2	3	-	8	
1	Task 1: Planning																																										
2	a) Documents and Reports																																										
3	Review project proposal, scope of work, task order	USA; Indonesia																																									
4	Determine project team's responsibilities, tasks, and activities	USA; Indonesia																																									
5	Review University Partnership-related documents and reports provided by USAID/Indonesia and other relevant parties	USA; Indonesia																																									
6	Travel USA - Jakarta																																										
7	Arrange the schedules and logistics for visits and interviews:	Jakarta																																									
	Partnership #5 - Adaptation to Climate Risk in Indonesia: - Institut Pertanian Bogor (Bogor)																																										
	Partnership #6 - Strengthening Health Systems in Indonesia: - Univ. Gadjah Mada (Yogya) + - Univ. Syiah Kuala (Banda Aceh)																																										
	Partnership #7 - Indonesian Marine Biotechnology: - Univ. Diponegoro (Semarang) + Univ. Hasanuddin (Makassar) + Eijkman Research Center (Jakarta)																																										

	Partnerships #8 - Indonesian Geothermal Education Capacity Building: - ITB (Bandung) + Star Energy (Jakarta)																					
8	b) Stakeholder Interviews and Meetings																					
9	Meet with USAID/Indonesia Education Office staff to review project focus and outputs:	Jakarta																				
	- UP #5 - UP #6 - UP# 7 - UP #8																					
10	Meet with USAID/Indonesia staff AORs coordinating the four partnerships for briefings on these partnerships:	Jakarta																				
	- UP #5 - UP #6 - UP#8																					
	- UP #7																					
11	Develop extensive program of visits with lecturers, researchers, lecturers, students, and other stakeholders of the four partnerships UP # 5-8) at all partner institutions	Jakarta																				
12	c) Work Plan for USAID/Indonesia																					
13	Obtain agreement with USAID/Indonesia Education Office staff on workplan dates	Jakarta																				
14	Finalize travel plans for the UP evaluation to Bogor (UP #5), Yogya + Banda Aceh (UP #6), Semarang + Makassar + Jakarta (UP #7), Bandung and Jakarta (UP #8)	Jakarta																				
15	Draft project workplan, including key tasks and activities, calendar, travel, etc.	Jakarta																				

16	Develop and finalize research instruments (e.g. for in-depth interviews, small group discussions, quality assesment forms)	Jakarta																																
17	Task 2: Developing and Understanding of UP #5 Implementation, Results, and Sustainability																																	
18	Conduct in-depth interviews/small group discussions with UP #5 management and stakeholders, incl. project investigator, management teams for each task, lecturers, students, department management, at IPB Bogor	Bogor																																
19	Conduct in-depth interviews regarding the UP #5 with relevant government and other stakeholders (e.g. governm. officials from Indramayu district, repres. Min of Agriculture), at IPB Bogor	Indramayu district (West Java) Bogor																																
20	Conduct interviews by phone + e-mail regarding the UP #5 with relevant government representatives (head forest fire management unit, and head local disaster management agency Kapuas district)	Jakarta																																
21	Task 3: Developing and Understanding of UP #6 Implementation, Results, and Sustainability																																	
<i>Travel to / from Yoga</i>																																		
22	Conduct in-depth interviews/small group discussions with UP #6 management and stakeholders, incl. project management, research teams, technical advisory group Yoga,	Yogya																																

	management faculty staff, etc., at UGM Yogya																		
23	Conduct in-depth interviews regarding the UP #6 with relevant government and other stakeholders (e.g. provincial health officials, staff mental hospitals Magelang and Pakem)	Yogya, Magelang, Sleman																	
	<i>Travel to / from Banda Aceh</i>																		
24	Conduct in-depth interviews/small group discussions with UP #6 management and stakeholders (e.g. project coordinator + staff, research teams, students, technical advisory group Aceh, management faculty, rector university), at Univ. Syiah Kuala Banda Aceh	Banda Aceh																	
25	Conduct in-depth interviews regarding the UP #6 with relevant local government and other stakeholders (e.g. provincial health agency, management mental hospital Banda Aceh)	Banda Aceh																	
26	Conduct in-depth interview regarding the UP #6 with former national-level official of Ministry of Health / member TAG Yogya	Jakarta																	
27	Task 4: Developing and Understanding of UP #7 Implementation, Results, and Sustainability																		
	<i>Travel to / from Semarang</i>																		

28	Conduct in-depth interviews/small group discussions with UP #7 management and stakeholders, incl. vice-dean faculty, program director, vice-director and assistant-director Central Lab. of Research and Services, bachelor-master-PhD students, at Univ. Diponegoro (Semarang)	Semarang																										
29	Conduct in-depth interviews/small group discussions with management and staff / reseachers of Eijkman Research Center related to UP #7, at Eijkman Research Center Jakarta	Jakarta																										
30	Task 5: Developing and Understanding of UP #8 Implementation, Results, and Sustainability																											
	<i>Travel to / from Bandung</i>																											
31	Conduct in-depth interviews/small group discussions with UP #8 management and stakeholders, incl. project directors, PICs, finance staff, advisory board, lecturers, students Master program, training participants, management faculty, at ITB Bandung	Bandung																										
32	Conduct in-depth interviews/small group discussions with STAR Energy management and staff regarding UP #8	Bandung																										
33	Task 6: Developing Recommendations for Possible USAID/Indonesia Action																											
34	Develop Findings, conclusions, and recommendations regarding the UP #5 overall long-term	Jakarta																										

	sustainability																			
35	Develop Findings, conclusions, and recommendations regarding the UP #6 overall long-term sustainability	Jakarta																		
36	Develop Findings, conclusions, and recommendations regarding the UP #7 overall long-term sustainability	Jakarta																		
37	Develop findings, conclusions, and recommendations regarding the UP #8 overall long-term sustainability	Jakarta																		
38	Hold Presentation / De-briefing with USAID/Indonesia (AORs and Education Office staff) on preliminary findings and conclusions (09.00 - 11.00)	Jakarta																		
39	Wrap-up / Internal meeting with USAID/Indonesia (13.00 - 14.00)	Jakarta																		
40	Task 7: Reports																			
41	Draft Work Plan to USAID/Indonesia	Jakarta																		
42	Partial Draft Final Report to USAID / Indonesia (<i>submission: 8 March</i>)	Indonesia, USA																		
43	Draft Final Report to USAID / Indonesia (<i>submission 15 March</i>)	USA, Indonesia																		

ANNEX B.2 – ITINERARY ROUND 3 - EVALUATION OF US-INDONESIA UNIVERSITY PARTNERSHIPS #5-8

Updated: 28 Febr. 2014 at 21.00 pm

No	Date	Time	Traveling	University /Institution
	Friday, January 31, 2014	13.00 pm	Boardman Arrives from U.S. (postponed)	Preparation
	Saturday, February 01, 2014	13.00 pm	Boardman Arrives from U.S.	Team meeting (postponed); replaced by: Preparation
	Sunday, February 02, 2014			Team meeting (09.15 - 18.00)
1	Monday, February 03, 2014	08.00 am	in Jakarta USAID, Gedung Sarana Jaya 14th floor. Jalan Budi Kemuliaan I/1 Jakarta Pusat (Behind the Indosat Building). Please arrive by 8 to clear security.	USAID 3 AORs UPs #5, #6, #8: 8:15 AM - Ms Rizki Atina, Alt COR for evaluation. Pak Jalu Cahyanto via telecon 9:00 - 10:00 AM - Mr. Bambang Heryanto, AOR for Strengthening Health System in Indonesia (UP # 6) 10:00 - 11:00 AM - Ms. Retno Setyaningsih, AOR for Supporting Geothermal Capacity Building (UP # 8) 11:00 - 12:00 PM - Mr. Antonius Djogo, AOR for Adaptation to Climate Risk in Indonesia (UP # 5) 12:00 - 12:30 PM - Mrs. Margaret Sancho, Director Education Office USAID Indonesia
2	Tuesday, February 04, 2014		in Jakarta	Planning for site-visits
Entire Team				
3	Wednesday, February 05, 2014	07.00 am	from Jakarta to Bogor (2 hours by hired car / taxi)	Adaptation to Climate Risk in Indonesia (Columbia University): Institut Pertanian Bogor (IPB) - Meetings with: - project investigator Indonesia; - each of the management teams for Task #1-6
4	Thursday, February 06, 2014	16.30 pm	from Bogor to Jakarta (2 hours by hired car / taxi)	- Meetings with: - district government officials from Indramayu; - representative Min. of Agriculture / post-graduate student; - lecturers and head Geophysics & Meteorology Dept.; - students
5	Friday, February 07, 2014	morn ing	in Jakarta	09.00 - 10.00 AM - Ms. Celly Catarina, AOR for Indonesia Marine Biology Partnership (UP # 7); - Making appointments with Kapuas District Offices for phone-interview; - Coordinate possibilities for a phone-interview with UP #7 Univ. Hasanuddin - Makassar
6	Saturday,		in Jakarta	- Preparation

	February 08, 2014			
7	Sunday, February 09, 2014	14.20 pm	from Jakarta to Yogyakarta (Garuda; Dep. 14.20 - Arr. 15.35)	<i><u>Strengthening Health Systems in Indonesia (Harvard Medical School)</u></i> : Universitas Gadjah Mada (UGM), Yogyakarta - Initial Meeting with Project Manager
8	Monday, February 10, 2014		Yogyakarta	- Meetings with: - dean & vice-dean Faculty Psychology; - project directors & project manager; - research teams (1) Discharge Planning, (2) Family Psycho-Education, (3) Puskesmas Capacity Building; - head provincial health agency Yogyakarta
9	Tuesday, February 11, 2014		Yogyakarta (including field-visits to Magelang and Pakem - Sleman)	- Field-visit to Mental Hospital Magelang, meeting with members research team Unlocking Chain and staff Hospital; - Field-visit to Mental Hospital Pakem - Sleman, meeting with member research team Discharge Planning and staff Mental Hospital; - Meeting with technical advisory group (TAG)
10	Wednesday, February 12, 2014		Yogyakarta	- Wrap-up / De-briefing meeting with project directors and project manager
11	Wednesday, February 12, 2014	12.50 pm	from Yogyakarta to Bandung (Wings Air; Dep. 12.50 - Arr. 14.00)	<i><u>Supporting Geothermal Capacity Building (University of Southern California)</u></i> : Institut Teknologi Bandung (ITB) (Bandung, W. Java) - Star Energy
12	Thursday, February 13, 2014		Bandung	- Meetings with: - project directors; - advisory board; - Star Energy; - PICs for: Task 5 Sabbatical Program; Task 3 Seminars, Task 2 & 4 Scholarships & Research
13	Friday, February 14, 2014		Bandung	- Meetings with: - PICs for: Task 6-7-8-9; - students Training; - students Master Program; - dean & vice-dean Faculty Mining and Petroleum Engineering; - staff finance; - Wrap-up / de-briefing with project director
14	Saturday, February 15, 2014		Bandung	- Data and Information Processing and Analysis; - Correspondence with USA University Partners
15	Sunday, February 16, 2014	06.45 am	from Bandung to Airport Jakarta (by car / taxi - approx. 3 hours)	- <i><u>Indonesian Marine Biotechnology Partnership (University of California Santa Cruz)</u></i> : Universitas Diponegoro (Semarang, C. Java) - <i><u>Strengthening Health Systems in Indonesia (Harvard Medical School)</u></i> : Universitas Syiah Kuala (Unsyiah), Banda Aceh
Team 1 (Jerry Boardman & Dwatmadji)				-
15a	Sunday, February 16, 2014	13.30 pm	from Airport Jakarta to Semarang (Garuda; Dep. 13.30 - Arr. 14.45)	<i><u>Indonesian Marine Biotechnology Partnership (University of California Santa Cruz)</u></i> : Universitas Diponegoro (Semarang, C. Java)
16a	Monday, February 17, 2014		Semarang	- Meetings with: - program management; - bachelor - master - PhD students; - PIC Workshops

17a	Tuesday, February 18, 2014		Semarang	- Meetings with: program director; - vice-dean faculty; - Wrap-up / De-briefing with program director; - Data and Information Processing and Analysis
18a	Wednesday, February 19, 2014	09.55 am	from Semarang to Jakarta (Garuda; Dep. 09.55 - Arr. 11.05)	- Data and Information Processing and Analysis
Team 2 (Johan Ceelen)				
15b	Sunday, February 16, 2014	13.35 pm	from Airport Jakarta to Banda Aceh (flight Garuda; Dep. 12.00 - Arr. 14.50)	<i>Strengthening Health Systems in Indonesia (Harvard Medical School)</i> : Universitas Syiah Kuala (Unsyiah), Banda Aceh
16b	Monday, February 17, 2014		Banda Aceh	- Meetings with: - Dean Faculty of Medicine and Head Study Program Psychology; - Project Coordinator Aceh + staff Finance and Secretary; - members Research Team (1) Relapse Prevention, (2) Discharge Planning, (3) Health Promotion
17b	Tuesday, February 18, 2014		Banda Aceh	- Meetings with: - members Research Team (4) Unlocking Chain; - technical advisory group Aceh; rector university; - Wrap-up / Debriefing with project coordinator Aceh and staff finance and secretary
18b	Wednesday, February 19, 2014	08.50 am	from Banda Aceh to Jakarta (non-direct flight Garuda; Dep. 08.50 - Arr. 13.25)	
Entire Team				
19	Thursday, February 20, 2014		in Jakarta	<i>Indonesian Marine Biotechnology Partnership (University of California Santa Cruz)</i> : Eijkman Research Center (Jakarta); Meeting with Deputy Director and Research Assistants; - Data and Information Processing and Analysis; - Follow-up with USA University partners
20	Friday, February 21, 2014		in Jakarta	Phone-calls and correspondence by e-mail with officials Kapuas District (Head Forest Fire Management Unit, and with Head Disaster Management Agency Kapuas District; - Correspondence with USA University Partners; - Data and Information Processing and Analysis
21	Saturday, February 22, 2014		in Jakarta	- Data and Information Processing and Analysis
22	Sunday, February 23, 2014		in Jakarta	
23	Monday, February 24, 2014		in Jakarta	- Follow-up with USA University partners; - Meeting with member TAG Yogya from Ministry of Health; - Data and Information Analysis; - Draft Report preparation
24	Tuesday, February 25, 2014		in Jakarta	- Data and Information Analysis; - Draft Report Preparation

25	Wednesday, February 26, 2014		in Jakarta	- Draft Findings for Presentation; - Draft Report Preparation
26	Thursday, February 27, 2014		in Jakarta	- Draft Findings for Presentation; - Draft Report Preparation
27a	Friday, February 28, 2014	08.00 am	in Jakarta: USAID, Gedung Sarana Jaya 14th floor. Jalan Budi Kemuliaan I/1 Jakarta Pusat (Behind the Indosat Building). <i>Please arrive by 8.30 to clear security.</i>	<u><i>Presentation / De-briefing (09.00 - 11.00)</i></u>
27b		12.45 pm	in Jakarta: USAID, Gedung Sarana Jaya 14th floor. Jalan Budi Kemuliaan I/1 Jakarta Pusat	<u><i>Wrap-up / Internal meeting with USAID Indonesia (13.00 - 14.00)</i></u>
28	Saturday, March 01, 2014		in Jakarta + Boardman Departs to U.S.	- Draft Report Preparation

ANNEX C – LIST OF INTERVIEWEES

I. - USAID Indonesia - Jakarta

Held in Jakarta (February 3 & 7, 2014)

No	NAME	F/M	TITLE / FUNCTION	PARTNERSHIP / INSTITUTION	EMAIL	CELLPHONE / OFFICE PHONE
<i>Session #1 – February 3, 2014</i>			<i>Category: USAID Jakarta</i>			
1	Retno Setianingsih	F	Energy Program Specialist - AOR Supporting Geothermal Capacity Building Partnership	USAID Indonesia	rsetianingsih@usaid.gov	62-21-3435 4362
2	Antonius Djogo	M	AOR Adaptation to Climate Risk in Indonesia Partnership	USAID Indonesia	adjogo@usaid.gov	62-21-3435 4393
3	Ashley Jane Netherton	F	AOR Adaptation to Climate Risk in Indonesia Partnership	USAID Indonesia	jnetherton@usaid.gov	62-21-3435 4392
4	Bambang Heryanto	M	Avian & Pandemic Influenza Specialist - AOR Strengthening Health System Partnership	USAID Indonesia	bheryanto@usaid.gov	62-21-3435 4390
5	Remy Rohadian	M	AOR Strengthening Health Systems Partnership	USAID Indonesia	rrohadian@usaid.gov	62-21-3435 4405
6	Margaret K. Sancho	F	Director, Education Office	USAID Indonesia	msancho@usaid.gov	62-21-3435 6694
7	Rizki Atina	F	AOR Evaluations of UP program	USAID Indonesia	ratina@usaid.gov	0815 1959 0008
8	Jalu Cahyanto	M	AOR Evaluations of UP program	USAID Indonesia	jcahyanto@usaid.gov	62-21-3435 4538
<i>Session #2 - February 3, 2014</i>			<i>Category: USAID Jakarta - Adaptation to Climate Risk in Indonesia Partnership</i>			
9	Antonius Djogo	M	AOR Adaptation to Climate Risk in Indonesia Partnership	USAID Indonesia, ENV/ Columbia University	adjogo@usaid.gov	62-21-3435 4393

No	NAME	F/M	TITLE / FUNCTION	PARTNERSHIP / INSTITUTION	EMAIL	CELLPHONE / OFFICE PHONE
10	Ashley Jane Netherton	F	AOR Adaptation to Climate Risk in Indonesia Partnership	USAID Indonesia/ Columbia University	jnetherton@usaid.gov	62-21-3435 4392
<i>Session #3 – February 3, 2014</i>			<i>Category: USAID Jakarta - Strengthening Health System Partnership</i>			
11	Bambang Heryanto	M	Avian & Pandemic Influenza Specialist - AOR Strengthening Health Systems Partnership	USAID Indonesia, Harvard/Health	bheryanto@usaid.gov	62-21-3435 4390
12	Remy Rohadian	M	AOR Strengthening Mental Health Systems Partnership	USAID Indonesia, Harvard/EDU	rrohadian@usaid.gov	62-21-3435 4405
<i>Session #4 – February 3, 2014</i>			<i>Category: USAID Jakarta - Supporting Geothermal Capacity Building Partnership</i>			
13	Retno Setianingsih	F	Energy Program Specialist - AOR Supporting Geothermal Capacity Building Partnership	USAID Indonesia, Environment Office	rsetianingsih@usaid.gov	62-21-3435 4362
<i>Session #5 - February 7, 2014</i>			<i>Category: USAID Jakarta - Indonesia Marine Biotechnology Partnership</i>			
14	Celly Catharina	F	Marine Program Specialist - AOR Indonesia Marine Biotechnology Partnership	USAID Indonesia, Education	ccatharina@usaid.gov	0811 962 8087 / 0818 0856 6833

2 - University Partnership Evaluation – “Adaptation to Climate Risk in Indonesia”

(Columbia University – USA, and Institut Pertanian Bogor - Bogor)

Held in IPB Bogor (February 5-6, 2014) and by Phone Call (February 21, 2014)

No	NAME	F/M	TITLE / FUNCTION	PARTNERSHIP / INSTITUTION	EMAIL	CELLPHONE / OFFICE PHONE
<i>Session #1 – February 5, 2014</i>		<i>Category: Program Management (IPB, Bogor)</i>				
1	Rizaldi Boer, Prof., Dr. Ir., MSc.,	M	Executive Director	Center for Climate Risk & Opportunity Management in Southeast Asia & Pacific (CCROM-SEAP)	rizaldiboer@gmail.com	0811 117 660
<i>Session #2 – February 5, 2014</i>		<i>Category: Program Management - Fire Early Warning System (IPB, Bogor)</i>				
2	Muhammad Ardiansyah, Dr., Ir.	M	Executive Secretary	Center for Climate Risk & Opportunity Management in Southeast Asia & Pacific (CCROM-SEAP)	ardysaja@gmail.com	0811 112 973
<i>Session #3 – February 5, 2014</i>		<i>Category: Program Management - Climate Prediction (IPB, Bogor)</i>				
3	Akhmad Faqih, Dr.	M	Head of Climate Modeling Division	Center for Climate Risk & Opportunity Management in Southeast Asia & Pacific (CCROM-SEAP)	akhmadfaqih@gmail.com	08788 223 5151
<i>Session #4 – February 5, 2014</i>		<i>Category: Program Management - Dynamic Cropping Calendar (IPB, Bogor)</i>				
4	Agus Buono, Dr.	M	Head of IT and Database Division (CCROM) and Head of Dept. Computer Science (IPB)	Center for Climate Risk & Opportunity Management in Southeast Asia & Pacific (CCROM-SEAP)	pudesha@gmail.com	0821 130 418 36
<i>Session #5 – February 6, 2014</i>		<i>Category: Extension Workers, District of Indramayu (IPB, Bogor)</i>				
5	Akhmad Budiharto, Ir., MM.	M	Expert Team Indramayu District	Agricultural Agency District of Indramayu	budiharto@gmail.com	0852 211 451 97

No	NAME	F/M	TITLE / FUNCTION	PARTNERSHIP / INSTITUTION	EMAIL	CELLPHONE / OFFICE PHONE
6	Carta Engkus Sudirga, A.Md.	M	Extension Worker and Extension Worker Coordinator	Agricultural Extension Center (BPP) Sliyeg sub-district, Indramayu district		0812 221 550 43
7	Ir. Casyam	M	Member of Climate Team Indramayu District	Agency for Food Security and Agricultural Extension (Badan Ketahanan Pangan dan Penyuluhan Pertanian) District Indramayu	rcasyam@yahoo.com	0812 148 2577
Session #6 - February 6, 2014			Category: Research/PhD Student (IPB, Bogor)			
8	Woro Estiningtyas, Dr.	F	Member of Research Team	Hidrology and Agricultural-Climatology Agency (Balai Penelitian Agroklimat dan Hidrologi-Balitklimat), Agricultural Research and Development Center, Ministry of Agriculture	woro_esti@yahoo.com	0816 1671 249
Session #7 - February 6, 2014			Category: Curriculum Development (IPB, Bogor)			
9	Rini Hidayati, Dr.	F	Former Head of Dept.	Dept. of Geophysics & Meteorology, Faculty of Mathematics & Natural Sciences, Bogor Agriculture University	rinihid@yahoo.com	0813 8318 8709
10	Perdian, Dr.	M	Lecturer	Dept. of Geophysics & Meteorology, Faculty of Mathematics & Natural Sciences, Bogor Agriculture University	perdian@gmail.com	0856 9355 5405
Session #8 - February 6, 2014			Category: Post Graduate Student (IPB, Bogor)			

No	NAME	F/M	TITLE / FUNCTION	PARTNERSHIP / INSTITUTION	EMAIL	CELLPHONE / OFFICE PHONE
11	Achmad Siddik Thoha, M.Si	M	PhD Student	Graduate School at IPB	siddikthoha@gmail.com	0815 1429 7728
12	Sisi Febriyanti Muin, S.Si	F	Master Student	Graduate School at IPB	blue.she2@gmail.com	0856 9728 4269
<i>Session #9 – February 21, 2014</i>			<i>Category: Fire Early Warning System, via Phone Call (District of Kapuas - Central Kalimantan)</i>			
13	Sumarjito	M	Head	Manggala Agni DAOPS Kapuas (Forest Fire Management Brigade Operational Area District of Kapuas), Central Kalimantan	sumarjito.smjt@gmail.com	0853 4870 3008
14	Nor Alamsyah	M	Head	BPBD (Badan Penanggulangan Bencana Daerah or District Disaster Management Agency) District of Kapuas, Central Kalimantan	bpbd.KPS@gmail.com	0812 5087 705

3. University Partnership Evaluation – “Strengthening Health Systems in Indonesia: Building New Capacity for Mental Health Care”

(Harvard Medical School - USA, Universitas Gadjah Mada - Yogyakarta, Universitas Syiah Kuala - Banda Aceh)

Held in UGM Yogyakarta (February 10-12, 2014), UNSYIAH Banda Aceh (February 17-18, 2014), and Ministry of Health Jakarta (February 24, 2014)

No	NAME	F/M	TITLE / FUNCTION	PARTNERSHIP / INSTITUTION	EMAIL	CELLPHONE / OFFICE PHONE
<i>Session #1 - February 10, 2014</i>			<i>Category: Dean and Vice Dean (UGM, Yogyakarta)</i>			
1	Supra Wimbari, MSc., PhD.	F	Dean	Faculty of Psychology, Universitas Gadjah Mada (UGM), Yogyakarta	supra8@gmail.com	62-274 -550435
2	Subandi, PhD.	M	Program Director/Vice Dean for Research, Community Services, and Cooperation Affairs	Faculty of Psychology, Universitas Gadjah Mada (UGM), Yogyakarta	masubandi@yahoo.com	0813 9239 1875
<i>Session #2 - February 10, 2014</i>			<i>Category: Project Directors, Management, and Program Manager (UGM, Yogyakarta)</i>			
3	Tri Hayuning Tyas, MA.	F	Program Manager	Faculty of Psychology, Universitas Gadjah Mada (UGM), Yogyakarta	greenfrog76@gmail.com	0811 2533 69
4	Carla R Machira, MD., PhD.	F	Program Director/ Psychiatrist/Assistant Vice Dean for Student Affairs and Alumni.	Faculty of Medicine, Universitas Gadjah Mada (UGM), Yogyakarta	carlamarchira@yahoo.com	62-274-902500 / 902505
5	Subandi, PhD.	M	Program Director/Vice Dean for Research, Community Services, and Cooperation Affairs	Faculty of Psychology, Universitas Gadjah Mada (UGM), Yogyakarta	masubandi@yahoo.com	0813 9239 1875
<i>Session #3 - February 10, 2014</i>			<i>Category: Team Research - Discharge Planning (UGM, Yogyakarta)</i>			

No	NAME	F/M	TITLE / FUNCTION	PARTNERSHIP / INSTITUTION	EMAIL	CELLPHONE / OFFICE PHONE
6	Subandi, PhD.	M	Program Director/Vice Dean for Research, Community Services, and Cooperation Affairs	Faculty of Psychology, Universitas Gadjah Mada (UGM), Yogyakarta	masubandi@yahoo.com	0813 9239 1875
7	Joep Djodibroto, MD., MA (HMPP)	M	Health Services Manager	Mental Health Hospital (RSJ) Grhasia, Sleman district, Yogyakarta	djodibroto@gmail.com	0815 7988 987
Session #4 - February 10, 2014		Category: Team Research - Consumer Group (KPSI) and Mental Health Village Cadre (UGM, Yogyakarta)				
8	Tika Prasetiawati, MD.	F	Psychiatrist	Academic Hospital Dr. Sardjito, Yogyakarta	tikap28@yahoo.com	0816 6754 13
9	Fiddira Mediale, MD.	F	Lecturer/Medical Doctor	Faculty of Medicine, Universitas Gadjah Mada (UGM), Yogyakarta	mediola.fiddira@gmail.com	0856 2582 882
10	Aspi Kristati, S.KM.	F	Public Health	Mental Health Hospital (RSJ) Grhasia, Sleman district, Yogyakarta	akristati@yahoo.com	0819 0424 0626
11	Anima Marastuti, MA.	F	Lecturer	Faculty of Psychology, Universitas Gadjah Mada (UGM), Yogyakarta	laras_tuti@yahoo.com	0812 2876 5500
Session #5 - February 10, 2014		Category: Team Research - Puskesmas Capacity Building (UGM, Yogyakarta)				
12	Carla R Machira, MD., PhD.	F	Program Director/ Psychiatrist/Assistant Vice Dean for Student Affairs and Alumni	Faculty of Medicine, Universitas Gadjah Mada (UGM), Yogyakarta	carlamarchira@yahoo.com	62-274-902500 / 902505
13	Siti Mulyani, NERS.	F	Nurse	Primary Health Care Center (Puskesmas) Kasihan II, Bantul district,	yanistm@yahoo.co.id	0853 8500 6629

No	NAME	F/M	TITLE / FUNCTION	PARTNERSHIP / INSTITUTION	EMAIL	CELLPHONE / OFFICE PHONE
				Yogyakarta		
<i>Session #6 - February 10, 2014.</i>			<i>Category: Provincial Health Office of Yogyakarta</i>			
14	Tri Hayuning Tyas, MA.	F	Program Manager	Faculty of Psychology, Universitas Gadjah Mada (UGM), Yogyakarta	greenfrog76@gmail.com	0811 2533 69
15	Carla R Machira, MD., PhD.	F	Program Director/ Psychiatrist/Assistant Vice Dean for Student Affairs and Alumni	Faculty of Medicine, Universitas Gadjah Mada (UGM), Yogyakarta	carlamarchira@yahoo.com	62-274-902500 / 902505
16	Arida Oetami, MD.	F	Head Provincial Health Office (former Head of Mental Health Hospital Ghrasia, Sleman district, Yogya)	Provincial Health Office, Yogyakarta		
<i>Session #7 - February 11, 2014</i>			<i>Category: Mental Health Hospital (RSJ Soerojo), Magelang district, Central Java</i>			
17	Jovita Panggelo, MD.	F	Doctor	Mental Health Hospital (RSJ) Soejono, Magelang district, Central Java	pjovita@yahoo.co.id	0813 2871 0589
18	Bambang Pratikno, S.Kes.	M	Nurse	Mental Health Hospital (RSJ) Soejono, Magelang district, Central Java	bama_pwj@yahoo.com	0812 2763 371
19	Tri Hayuning Tyas, MA.	F	Program Manager	Faculty of Psychology, Universitas Gadjah Mada (UGM), Yogyakarta	greenfrog76@gmail.com	0811 2533 69
<i>Session #8 - February 11, 2014</i>			<i>Category: Mental Health Hospital (RSJ Grhasia), Pakem, Sleman district, Yogyakarta</i>			

No	NAME	F/M	TITLE / FUNCTION	PARTNERSHIP / INSTITUTION	EMAIL	CELLPHONE / OFFICE PHONE
20	Joep Djojodibroto, MD., MA (HMPP).	M	Health Services Manager	Mental Health Hospital (RSJ) Grhasia, Pakem, Sleman district, Yogyakarta	djojodibroto@gmail.com	0815 7988 987
21	Aspi Kristati, S. KM.	F	Public Health	Mental Health Hospital (RSJ) Grhasia, Pakem, Sleman district, Yogyakarta	akristati@yahoo.com	0819 0424 0626
22	Amin Subargus, NERS.	M	Nursing Manager	Mental Health Hospital (RSJ) Grhasia, Pakem, Sleman district, Yogyakarta	aminsubargus@yahoo.co.id	
23	Veronika, NERS.	F	Research and Development (Diklat Litbang)	Mental Health Hospital (RSJ) Grhasia, Pakem, Sleman district, Yogyakarta	veronika_grhaha@yahoo.co.id	
Session #9 - February 11, 2014			Category: Technical Advisory Group Yogya (UGM, Yogyakarta)			
24	Yati Soenarto, Prof., Dr., MD.	F	Member Technical Advisory Group Yogya	Faculty of Medicine, Gadjah Mada University (UGM), Yogyakarta	yatisoenarto@yahoo.com	0811 2560 11
25	Sofia Retnowati, Prof., Dr.	F	Member Technical Advisory Group Yogya	Faculty of Psychology, Universitas Gadjah Mada (UGM), Yogyakarta	sofia_retnowati@yahoo.com	0812 8651 2600
26	Retno Siwi Padmawati, PhD.	F	Member Technical Advisory Group Yogya	Faculty of Psychology, Universitas Gadjah Mada (UGM), Yogyakarta	siwi.padmawati@gmail.com	0812 2692 432
Session #10 – Febr. 12, 2014			Category: Wrap Up (UGM, Yogyakarta)			

No	NAME	F/M	TITLE / FUNCTION	PARTNERSHIP / INSTITUTION	EMAIL	CELLPHONE / OFFICE PHONE
27	Supra Wimbari, MSc., PhD.	F	Dean	Faculty of Psychology, Universitas Gadjah Mada (UGM), Yogyakarta	supra8@gmail.com	62-274-550435
28	Subandi, PhD.	M	Program Director/Vice Dean for Research, Community Services, and Cooperation Affairs	Faculty of Psychology, Universitas Gadjah Mada (UGM), Yogyakarta	masubandi@yahoo.com	0813 9239 1875
29	Carla R Machira, MD., PhD.	F	Program Director/ Psychiatrist/Assistant Vice Dean for Student Affairs and Alumni	Faculty of Medicine, Universitas Gadjah Mada (UGM), Yogyakarta	carlamarchira@yahoo.com	62-274-902500 / 902505
30	Tri Hayuning Tyas, MA	F	Program Manager	Faculty of Psychology, Universitas Gadjah Mada (UGM), Yogyakarta	greenfrog76@gmail.com	0811 2533 69
Session #11 – Febr. 17, 2014			Category: Institutional - Faculty of Medicine (UNSYIAH, Banda Aceh)			
31	Mulyadi, MD., PhD.	M	Dean	Faculty of Medicine, Universitas Syiah Kuala, Banda Aceh	mul.0862@gmail.com	0813 3557 1574
32	Dahlia, S.Psi., M.Sc.	F	Head of Study Program Psychology	Study Program Psychology, Universitas Syiah Kuala, Banda Aceh	dahliarani_putra@yahoo.com.au	0812 6400 1993
Session #12 – Febr. 17, 2014			Category: Program Management (UNSYIAH, Banda Aceh)			
33	Arum Sulistyani, S.Psi., M.Sc.	F	Project Coordinator IUPP Aceh – Lecturer Study Program Psychology	Study Program Psychology, Medical Faculty, Universitas Syiah Kuala	astya_arum@yahoo.com	0813 6146 3163
34	Kartika Sari, S.PSi.,	F	Treasurer IUPP Aceh – Lecturer Study Program	Study Program Psychology, Medical	kartika.kamaruzzaman@gmail.co	0853 7048 6687

No	NAME	F/M	TITLE / FUNCTION	PARTNERSHIP / INSTITUTION	EMAIL	CELLPHONE / OFFICE PHONE
	MSi.		Psychology	Faculty, Universitas Syiah Kuala	m	
35	Maya Khairani, M.Psi, P.Psi.	F	Administrative Officer IUPP Aceh – Lecturer Study Program Psychology	Study Program Psychology, Medical Faculty, Universitas Syiah Kuala	khairani.maya@gmail.com	0852 6150 2720
Session #13 – Febr. 17, 2014			Category: Research Group Relapse Prevention (UNSYIAH, Banda Aceh)			
36	Dahlia, S.Psi., MSc.	F	PIC of Relapse Prevention Group – Head of Study Program Psychology	Study Program Psychology, Medical Faculty, Universitas Syiah Kuala	dahliarani_putra@yahoo.com.au	0812 6400 1993
37	Liza Salawati, dr., MKes.	F	Member Relapse Prevention Group – Lecturer Public Health	Medical Faculty, Universitas Syiah Kuala	liza1310@yahoo.com	0853 6266 8256
Session #14 – Febr. 17, 2014			Category: Research Group Discharge Planning (UNSYIAH, Banda Aceh)			
38	Karjuniwati, SPsi., MPsi.,Psi	F	PIC of Discharge Planning Group – Lecturer	Study Program Psychology, Medical Faculty, Universitas Syiah Kuala	karjuniwati@yahoo.com	0813 9298 4622
39	Marty Mawarpury, M.Psi	F	Member Discharge Planning Group – Researcher	Study Program Psychology, Medical Faculty, Universitas Syiah Kuala	marty.psi@gmail.com	0896 2647 5559
40	Rachmalia	F	Member Discharge Planning Group – Researcher	Nursing Faculty, Universitas Syiah Kuala	rachma_lia@yahoo.com	0812 6942 094
41	Arum Sulistyani, S.Psi., MSc.	F	Member Discharge Planning Group - Project	Study Program Psychology, Medical Faculty, Universitas Syiah	astya_arum@yahoo.com	0813 6146 3163

No	NAME	F/M	TITLE / FUNCTION	PARTNERSHIP / INSTITUTION	EMAIL	CELLPHONE / OFFICE PHONE
			Coordinator IUPP Aceh	Kuala		
Session #15 – Febr. 17, 2014		Category: Research Group Health Promotion (UNSYIAH, Banda Aceh)				
42	Lely Safrina, MSc.	F	Member Health Promotion Group - Psychologist	Study Program Psychology, Medical Faculty, Universitas Syiah Kuala	safrina_lely@yahoo.com	0811 6837 23
43	Rizanna Rosemary, MSi., MHC.	F	Member Health Promotion Group – Lecturer - Researcher at ICAIOS	Medical Faculty, Universitas Syiah Kuala	rizanna.rosemary@gmail.com	0821 6371 1064
44	Maya Khairani, M.Psi, P.Psi	F	Member Health Promotion Group - Lecturer	Study Program Psychology, Medical Faculty, Universitas Syiah Kuala	khairani.maya@gmail.com	0852 6150 2720
45	Risana Rachmatan, S.Psi., M.Si.	F	PI of Health Promotion Group - Lecturer	Study Program Psychology, Medical Faculty, Universitas Syiah Kuala	risana.ridwan@gmail.com	0812 6912 7843
Session #16 – Febr. 18, 2014		Category: Research Group 'Bebas Pasung' (Unlocking) (UNSYIAH, Banda Aceh)				
46	Mirza, MSi.	M	PI of Research Group 'Bebas Pasung' (Unlocking) - Lecturer	Study Program Psychology, Medical Faculty, Universitas Syiah Kuala	mirza@unsyiah.ac.id	0813 2886 7654
48	Syahrial, dr., Sp.KJ.	M	Co-PI - Psychiatrist – Head Mental Health Section	Mental Health Hospital (RSJ) Banda Aceh	rial_psy@yahoo.com	0813 1912 7772
49	Hayatullah	M	Field Coordinator Enumerators for Bebas Pasung in Bireun district – Staff YTA	Yayasan Tenaga Amal (YTA) (NGO)	hayatskm@gmail.com	0812 6949 9881

No	NAME	F/M	TITLE / FUNCTION	PARTNERSHIP / INSTITUTION	EMAIL	CELLPHONE / OFFICE PHONE
<i>Session #17 – Febr. 18, 2014</i>		<i>Category: Wrap Up (UNSYIAH, Banda Aceh)</i>				
50	Maya Khairani, MPsi., PPSi.	F	Administrative Officer IUPP Aceh - Lecturer	Study Program Psychology, Medical Faculty, Universitas Syiah Kuala	khairani.maya@gmail.com	0852 6150 2720
51	Kartika Sari, SPsi., MSi.	F	Treasurer IUPP Aceh - Lecturer	Study Program Psychology, Medical Faculty, Universitas Syiah Kuala	kartika.kamaruzzaman@gmail.com	0853 7048 6687
52	Arum Sulistyani, SPsi., MSc.	F	Project Coordinator IUPP Aceh - Lecturer	Study Program Psychology, Medical Faculty Universitas Syiah Kuala	astya_arum@yahoo.com	0813 6146 3163
<i>Session #18 – Febr. 18, 2014</i>		<i>Category: Technical Advisory Group Aceh (UNSYIAH, Banda Aceh)</i>				
53	M. Yani, dr., MKes.	M	Expert Staff Governor Aceh – for Special Areas & Human Resources (former Head Provincial Health Agency Aceh – till mid 2013, & first Head Study Program Psycho-logy at Unsyiah - 2007)	Governor’s Office Province Aceh	m_yani64@yahoo.com	0812 6044 5858
<i>Session #19 – Febr. 24, 2014</i>		<i>Category: Technical Advisory Group Yogya (Ministry of Health, Jakarta)</i>				
54	Pandu Setiawan, dr., SpKJ	M	Member Technical Advisory Group Yogya	Ministry of Health, Republic of Indonesia	gpandu_stw@yahoo.com	0815 5333 3467

4 - University Partnership Evaluation – “Indonesian Marine Biotechnology Partnership”

(University of California Santa Cruz - USA, Universitas Diponegoro - Semarang, Universitas Hasanuddin - Makassar, and Eijkman Research Center - Jakarta)

Held in UNDIP Semarang (February 17-18, 2014) and Eijkman Research Center Jakarta (February 20, 2014)

No	NAME	F/M	TITLE / FUNCTION	PARTNERSHIP / INSTITUTION	EMAIL	CELLPHONE / OFFICE PHONE
<i>Session #1 - February 17, 2014</i>			<i>Category: Program Management (UNDIP, Semarang)</i>			
1	Anto Budihardjo, R.rar.net., M.Biotech.	M	Vice Director	Central Laboratory of Research and Services, Universitas Diponegoro	abudiharjo@yahoo.com	0878 3561 3463
2	Handung Nuryadi	M	Assistant Director	Program Management	handung.nuryadi87@gmail.com	0819 3194 2728
<i>Session #2 - February 17, 2014</i>			<i>Category: Student (UNDIP, Semarang)</i>			
3	Maya Puspita	F	PhD Student	Faculty of Fisheries and Marine Science, Universitas Diponegoro.	maya.puspita@hotmail.co.id	0813 8409 9076
<i>Session #3 - February 17, 2014</i>			<i>Category: Student (UNDIP, Semarang)</i>			
4	Jasmine MA	F	Master Student	Faculty of Fisheries and Marine Science, Universitas Diponegoro	jasmine_masytha@yahoo.com	0878 8115 2648
5	Ary Giri Dwi K	M	Master Student	Faculty of Fisheries and Marine Science, Universitas Diponegoro	ary.giridwi@gmail.com	0857 2798 2380
6	Ragil Susilowati	F	Master Student	Faculty of Fisheries and Marine Science, Universitas Diponegoro	susilowati_ragil@yahoo.com	0813 9038 0660
7	Oktora Susanti	F	Master Student	Faculty of Fisheries and Marine Science, Universitas Diponegoro	oktorasusanti@gmail.com	0856 4311 3958

No	NAME	F/M	TITLE / FUNCTION	PARTNERSHIP / INSTITUTION	EMAIL	CELLPHONE / OFFICE PHONE
8	Sekar Widyaningsih	F	Master Student	Faculty of Fisheries and Marine Science, Universitas Diponegoro	sekar_widyaningsih@yahoo.co.id	0858 4883 8553
9	Didha Andini P	F	Master Student	Faculty of Fisheries and Marine Science, Universitas Diponegoro	didhaandiniputri@ymail.com	0857 4213 1301
10	Khoeruddin W	M	Master Student	Faculty of Fisheries and Marine Science, Universitas Diponegoro	khoe_papua@gmail.com	0813 3938 8590
11	Dian Sari M	F	Master Student	Faculty of Fisheries and Marine Science, Universitas Diponegoro	dianmaisarah@gmail.com	0856 4727 0043
12	Ilka Wulan Santi	F	Undergraduate Student	Faculty of Fisheries and Marine Science, Universitas Diponegoro	ikawulansanti.iws@gmail.com	0852 2917 5675
13	Yesaya Putra P	M	Undergraduate Student	Faculty of Fisheries and Marine Science, Universitas Diponegoro	yesayacintagod@yahoo.com	08574094 7648
14	Ulin Dewi Anggorowati	F	Undergraduate Student	Faculty of Fisheries and Marine Science, Universitas Diponegoro	ulindewianggorowati@gmail.com	0857 47006 4419
15	Olvi Cristianawati	F	Undergraduate Student	Faculty of Fisheries and Marine Science, Universitas Diponegoro	olvi.cristianawati@yahoo.com	0811 2906 334
Session #4 - February 18, 2014			Category: Person in Charge - Workshop (UNDIP, Semarang)			
16	Agus Trianto, MSc., PhD.	M	Workshop Speaker	Faculty of Fisheries and Marine Science, Universitas	agustrianto.undip@gmail.com	0812 4803 4105

No	NAME	F/M	TITLE / FUNCTION	PARTNERSHIP / INSTITUTION	EMAIL	CELLPHONE / OFFICE PHONE
				Diponegoro		
<i>Session #5 - February 18, 2014</i>			<i>Category: Director (UNDIP, Semarang)</i>			
17	Ocky Karna Radjasa, Prof., Dr., MSc.	M	Program Director	Faculty of Fisheries and Marine Science, Universitas Diponegoro	ocky_radjasa@undip.ac.id	0813 2633 1329
<i>Session #6 - February 18, 2014</i>			<i>Category: Faculty Management (UNDIP, Semarang)</i>			
18	Norma Afiati, Prof., Dr.	F	Vice Dean for Development and Collaboration	Faculty of Fisheries and Marine Science, Universitas Diponegoro	normaafiati@yahoo.com	0812 2819 625
<i>Session #7 - February 20, 2014</i>			<i>Category: Eijkman Program Management (Eijkman Research Center, Jakarta)</i>			
19	Herawati Sudoyo, Prof., MD., PhD.	F	Deputy Director	Eijkman Institute for Molecular Biology, Jakarta	hera_sudoyo@yahoo.com	0816 8136 45
20	Chelzie Crenna-Darussalam	F	Research Assistant	Eijkman Institute for Molecular Biology, Jakarta	chelzie@eijkman.go.id	0897 7178 828
<i>Session #8 - February 23, 2014</i>			<i>Category: UNDIP and UNHAS management (by phone call and email, several times)</i>			
21	Agus Sabdono, Prof., Dr.	M	Head of Lab. Marine Sciences	Faculty of Fisheries and Marine Science, Universitas Diponegoro	agus_sabdono@yahoo.com	0812 2921 5000
22	Maghdalena Litaay, Dr.	F	Program Manager	Dept. Biology, Faculty of Mathematics and Natural Sciences, Universitas Hasanuddin, Makassar	magdalenalitaay@yahoo.com	0812 4290 286

5 - University Partnership Evaluation – **“Supporting Geothermal Education Capacity Building”**

(University of Southern California - USA, Institut Teknologi Bandung – Bandung, and Star Energy – Jakarta)

Held in ITB Bandung (February 13-14, 2014)

No	NAME	F/M	TITLE / FUNCTION	PARTNERSHIP / INSTITUTION	EMAIL	CELLPHONE / OFFICE PHONE
<i>Session #1 - February 13, 2014</i>			<i>Category: Project Directors</i>			
1	Nenny Miryani Saptadji, Dr., Ir.	F	Head	Graduate Study of Geothermal Technology, Institut Teknologi Bandung (ITB)	nennys@tm.itb.ac.id	0811 8011 41
2	Racma Nilamsari, Ir.	F	Operation Business Support & Services	Star Energy, Jakarta	rachma.nilamsuri@starenergy.co.id	62-21-5325828
3	Sanusi Satar	M	Senior Representative Management	Star Energy, Jakarta	s.satar@starenergy.co.id	62-21-5325828
4	Rully S.	M	Operation Business Support & Services	Star Energy, Jakarta	rully.subanta@starenergy.co.id	62-21-5325828
<i>Session #2 - February 13, 2014</i>			<i>Category: Advisory Board</i>			
5	Alex Smillie	M	Senior Advisor	Star Energy, Jakarta	alex.smillie@starenergy.co.id	0811 9474 41
6	Abadi Poernomo, Ir., Dipl.Geoth.Eng. Tech.	M	Chairman	Indonesian Geothermal Association	apoernomo281@gmail.com	0811 8006 27
7	Rully S.	M	Operation Business Support & Services	Star Energy, Jakarta	rully.subanta@starenergy.co.id	62-21-5325828
8	Racma Nilamsari, Ir.	F	Operation Business Support & Services	Star Energy, Jakarta	rachma.nilamsuri@starenergy.co.id	62-21-5325828
<i>Session #3 - February 13, 2014</i>			<i>Category: STAR Energy</i>			

No	NAME	F/M	TITLE / FUNCTION	PARTNERSHIP / INSTITUTION	EMAIL	CELLPHONE / OFFICE PHONE
9	Alex Smillie	M	Senior Advisor	Star Energy, Jakarta	alex.smillie@starenergy.co.id	0811 9474 41
10	Sanusi Satar	M	Senior Representative Management	Star Energy, Jakarta	s.satar@starenergy.co.id	62-21-5325828
11	Rully S.	M	Operation Business Support & Services	Star Energy, Jakarta	rully.subanta@starenergy.co.id	62-21-5325828
12	Racma Nilamsari, Ir.	F	Operation Business Support & Services	Star Energy, Jakarta	rachma.nilamsuri@starenergy.co.id	62-21-5325828
Session #4 - February 13, 2014 Category: Sabbatical Program						
13	Muhammad Rachmat Sule, Ir., MT., Dr.rer.nat.	M	Lecturer & Geophysicist	Faculty of Mining and Petroleum Engineering, Institut Teknologi Bandung (ITB)	rachmat.sule@gmail.com	0813 2189 2285
Session #5 - February 13, 2014 Category: Person in Charge Seminar						
14	Sutopo, Dr.	M	Lecturer & Petroleum Engineer	Faculty of Mining and Petroleum Engineering, Institut Teknologi Bandung (ITB)	sutopo@tm.itb.ac.id	0815 6014 221
15	Nurita Putri	F	Academic Assistant	Faculty of Mining and Petroleum Engineering, Institut Teknologi Bandung (ITB)	nurita_putri@yahoo.co.uk	0822 6200 0187
Session #6 - February 13, 2014 Category: Scholarship and Research						
16	Nenny Miryani Saptadji, Dr., Ir.	F	Head	Graduate Study of Geothermal Technology, Institut Teknologi Bandung (ITB)	nennys@tm.itb.ac.id	0811 8011 41
17	Racma Nilamsari, Ir.	F	Academic Assistant	Faculty of Mining and Petroleum Engineering, Institut Teknologi Bandung (ITB)	nurita_putri@yahoo.co.uk	0822 6200 0187
Session #7 - February 14, 2014 Category: Person in Charge Training						

No	NAME	F/M	TITLE / FUNCTION	PARTNERSHIP / INSTITUTION	EMAIL	CELLPHONE / OFFICE PHONE
18	Suryantini, ST., Dipl. Geothermal Tech., MSc., Dr.Eng.	F	Lecturer	Faculty of Earth Science and Technology, Institut Teknologi Bandung (ITB)	suryantini@gc.itb .ac.id	0813 9230 1388
19	Hendro Wibowo, MSc.	M	Academic Assistant	Faculty of Earth Science and Technology, Institut Teknologi Bandung (ITB)	hendrowibowo@g mail.com	0813 2274 3650
<i>Session #8 - February 14, 2014 Category: Program Director</i>						
20	Nenny Miryani Saptadji, Dr., Ir.	F	Head	Graduate Study of Geothermal Technology, Institut Teknologi Bandung (ITB)	nennys@tm.itb.ac.i d	0811 8011 41
<i>Session #9 - February 14, 2014 Category: Training Participants</i>						
21	Udi Harmoko, Dr.Eng., MSi.	M	Lecturer	Faculty of Science and Mathematics, Universitas Diponegoro, Semarang	diansyal@gmail. com	0812 2512 261
22	Nanang Dwi Ardi, MT.	M	Lecturer	Faculty of Science and Mathematics, Universitas Pendidikan Indonesia, Bandung	nanang_dwiardi@u pi.edu	0812 2484 582
<i>Session #10 – Febr. 13, 2014 Category: Students</i>						
23	Novianti Ekasari	F	Master Student	Graduate Study of Geothermal Technology, Institut Teknologi Bandung (ITB)	noviatiekasari14 @gmail.com	0812 8520 1786
24	Bilqis Afifah	F	Master Student	Graduate Study of Geothermal Technology, Institut Teknologi Bandung (ITB)	bilqis_amatullah@ yahoo.com	0812 8737 6767
<i>Session #11 – Febr. 13, 2014 Category: Dean and Vice Dean</i>						
25	Sri Widiyantoro, Prof., Dr.	M	Dean	Faculty of Mining and Petroleum Engineering, Institut Teknologi Bandung (ITB)	dekan@ftm.itb.ac.i d	62-22-251 4922
26	Tutuka Ariadji, MSc., PhD.	M	Vice Dean for Academic Affairs	Faculty of Mining and Petroleum Engineering, Institut Teknologi Bandung (ITB)	tutukaariadji@gmai l.com	0811 2277 45

No	NAME	F/M	TITLE / FUNCTION	PARTNERSHIP / INSTITUTION	EMAIL	CELLPHONE / OFFICE PHONE
<i>Session #12 – Febr. 13, 2014</i>		<i>Category: Finance</i>				
27	Zuher Syihab, PhD.	M	Lecturer	Graduate Study of Geothermal Technology, Institut Teknologi Bandung (ITB)	zuher.syihab@tm.itb.ac.id	62-22-250 4955
28	Suryantini, ST., Dipl. Geothermal Tech., MSc., Dr.Eng.	F	Lecturer	Faculty of Earth Science and Technology, Institut Teknologi Bandung	suryantini@gc.itb.ac.id	0813 9230 1388
29	Yanti	F	Head of Financial Administration Unit	Faculty of Mining and Petroleum Engineering, Institut Teknologi Bandung (ITB)	yanti@ftm.itb.ac.id	0816 4212 724
<i>Session #13 – Febr. 13, 2014</i>		<i>Category: Wrap Up</i>				
30	Nenny Miryani Saptadji, Dr., Ir.	F	Head	Graduate Study of Geothermal Technology, Institut Teknologi Bandung (ITB)	nennys@tm.itb.ac.id	0811 8011 41
31	Suryantini, ST., Dipl. Geothermal Tech., MSc., Dr.Eng.	F	Lecturer	Faculty of Earth Science and Technology, Institut Teknologi Bandung (ITB)	suryantini@gc.itb.ac.id	0813 9230 1388
32	Zuher Syihab, PhD.	M	Lecturer	Graduate Study of Geothermal Technology, Institut Teknologi Bandung (ITB)	zuher.syihab@tm.itb.ac.id	62-22-250 4955

ANNEX D. DATA COLLECTION INSTRUMENTS

ANNEX D.I - BOGOR PARTNERSHIP INTERVIEW GUIDE (FEB. 2014)

DATE:

PARTNER UNIVERSITY:

INTERVIEWEE(S) AND POSITION(S):

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-

INTERVIEWER:

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Interviewer introduces himself and team members present; provides background information.

- We appreciate your talking with us about your experiences and insights related to your university's participation in the Adaptation to Climate Risk in Indonesia (ACRI) partnership funded by USAID through its University Partnerships (UP) program.
- USAID has contracted with a U.S. firm, IBTCI, to evaluate each of this program's 16 U.S.-Indonesia university research partnerships toward the end of its 3-year USAID award. Since the ACRI partnership ends soon, we are evaluating it now.
- USAID is interested in learning from ACRI partnership experiences so that it will be able to improve future U.S.-Indonesia university partnership programs. Thank you.

Note to Interviewer: Some questions may not apply to a particular interviewee. Be sensitive to this situation; amend or skip questions as needed. Also, ignore the bold headings and evaluation question references when asking questions; they are to help with analysis later.

GENERAL

1. What was your personal role in planning and implementing the Adaptation to Climate Risks in Indonesia (ACRI) partnership? What is the history of this partnership and your personal role?

ACRI PARTNERSHIP – OBJECTIVES ACHIEVED (Evaluation Question 1)

2. In what ways has the achievement of the three ACRI partnership objectives improved university and local authorities/stakeholder's (beneficiary) knowledge and skills? (was there gender balance?) Give specific examples.
 - Researcher capacity to use latest methods/tools to manage climate risks
 - Knowledge of local authorities and other stakeholders on methods/tools to manage climate risks and improved access
 - Awareness of government officials and private sector stakeholders and support for expanded management efforts

3. In what ways has the achievement of the three ACRI partnership objectives improved your university's capacity to conduct basic and applied research that addresses Indonesian priorities? Give specific examples.

- Researcher capacity to use latest methods/tools to manage climate risks
- Knowledge of local authorities and other stakeholders on methods/tools to manage climate risks and improved access
- Awareness of government officials and private sector stakeholders and support for expanded management efforts

ACRI PARTNERSHIP – EFFECTIVE INTERVENTIONS AND PRACTICES (Evaluation Question 2)

4. What Columbia University interventions or practices have improved the quality of your university's achievements with respect to the three ACRI partnership objectives? Give specific examples.

- Researcher capacity to use latest methods/tools to manage climate risks
- Knowledge of local authorities and other stakeholders on methods/tools to manage climate risks and improved access
- Awareness of government officials and private sector stakeholders and support for expanded management efforts

5. What other partnership practices (e.g., planning, communication/coordination, implementation, evaluation) have improved the quality of your university's achievements with respect to the three ACRI partnership objectives? Give specific examples.

- Researcher capacity to use latest methods/tools to manage climate risks
- Knowledge of local authorities and other stakeholders on methods/tools to manage climate risks and improved access
- Awareness of government officials and private sector stakeholders and support for expanded management efforts

ACRI PARTNERSHIP – UNINTENDED RESULTS (Evaluation Question 3)

6. What unintended (i.e., unplanned) ACRI partnership results have improved the quality of your university's achievements with respect to the three ACRI objectives? How has Columbia University contributed to these unintended results? Give specific examples.

- Researcher capacity to use latest methods/tools to manage climate risks
- Knowledge of local authorities and other stakeholders on methods/tools to manage climate risks and improved access
- Awareness of government officials and private sector stakeholders and support for expanded management efforts

7. What unintended (i.e., unplanned) ACRI partnership results have improved your university's capacity to conduct basic and applied research that addresses Indonesian priorities? How has Columbia University contributed to these unintended results? Give specific examples.

ACRI PARTNERSHIP – LESSONS LEARNED (Evaluation Question 4)

8. What lessons have you learned from the ACRI partnership that could help U.S.-Indonesia university partnership programs be more sustainable with respect to each of the following? Give specific examples.
- i. Outputs (curriculum development, research services, and research publications - refereed; other)
 - ii. Networking (public/private partnerships, collaboration with external stakeholders, e.g., government ministries and offices, NGOs, private companies)
 - iii. Impact (community education and outreach, entrepreneurship and commercialization)
 - iv. Management (planning, communication and coordination, implementation, monitoring and evaluation)

ACRI PARTNERSHIP – STRENGTHS AND WEAKNESSES (Evaluation Question 5)

9. In terms of your university, what are a few specific examples of ACRI partnership strengths?
10. In terms of your university, what are a few specific examples of ACRI partnership weaknesses (i.e., areas in which the ACRI partnership could be strengthened)?
11. *What are the relative strengths and weaknesses of the partnership with respect to the following partnership practices? [Please rate each partnership practice on a scale of 4 (Excellent) to 1 (Poor). Explain your rating.]*

	(4)	(3)	(2)	(1)
<u>Partnership Practices</u>	<u>Excellent</u>	<u>Very Good</u>	<u>Average</u>	<u>Poor</u>
Planning				
Communication and Coordination				
Implementation				

Monitoring and evaluation

12. What are the relative strengths and weaknesses of the partnership with respect to the following partnership outcome measures? [Please rate each partnership outcome measure on a scale of 4 (Excellent) to 1 (Poor). Explain your rating.]

<u>Partnership Outcome</u>	(4)	(3)	(2)	(1)
<u>Measures</u>	<u>Excellent</u>	<u>Very Good</u>	<u>Average</u>	<u>Poor</u>

Achievement of

Partnership Objectives

Partnership Program

Sustainability

Partnership Documentation

Production and

Dissemination

Unanticipated (unplanned)

Partnership Outcomes

13. To what extent is the ACRI partnership sustainable now that its USAID/Indonesia University Partnerships funding is ending? Give specific examples.

- a. Financial
- b. Programmatic
- c. Managerial
- d. Other

14. Is there a role for the government and/or private sector in providing support for U.S.-Indonesia university partnerships? Give specific examples.

- a. Financial

- b. Advisory
- c. Advocacy/policy

15. If you were to recommend a few key changes in future U.S.-Indonesia university partnership programs, what would they be? Give specific examples.

FACTOR

HOW TO IMPROVE IT

University research management,
supervision, and coordination

Relationships with U.S.
partner universities

Dissemination and outreach
of partner research results

Relevance and quality of
US technical assistance in:

- Research
- Teaching
- Curriculum development

University/private sector
partnerships

Other international/national
donor collaboration

Impacts on

- student learning
- stakeholder practice
- government policy

Sustainable funding and other
support for future university
research in Indonesia

ANNEX D.2. YOGYAKARTA/BANDA ACEH PARTNERSHIP INTERVIEW GUIDE (FEB. 2014)

DATE:

PARTNER UNIVERSITY:

INTERVIEWEE(S) AND POSITION(S):

-
-

INTERVIEWER:

-

Interviewer introduces himself and team members present; provides background information.

- We appreciate your talking with us about your experiences and insights related to your university's participation in the Strengthening Health Systems in Indonesia (SHSI) partnership funded by USAID through its University Partnerships (UP) program.
- USAID has contracted with a U.S. firm, IBTCI, to evaluate each of this program's 16 U.S.-Indonesia university research partnerships toward the end of its 3-year USAID award. Since the SHSI partnership ends soon, we are evaluating it now.
- USAID is interested in learning from the SHSI partnership experiences so that it will be able to improve future U.S.-Indonesia university partnership programs. Thank you.

Note to Interviewer: Some questions may not apply to a particular interviewee. Be sensitive to this situation; amend or skip questions as needed. Also, ignore the bold headings and evaluation question references when asking questions; they are to help with analysis later.

GENERAL

1. What was your personal role in planning and implementing the Strengthening Health Systems in Indonesia (SHSI) partnership? What is the history of this partnership your personal role?

SHSI PARTNERSHIP – OBJECTIVES ACHIEVED (Evaluation Question 1)

2. In what ways has the achievement of the three SHSI partnership objectives improved university and local authorities/stakeholder's beneficiary knowledge and skills? (was there gender balance?) Give specific examples.

- Develop and evaluate approaches to mental health care identification and treatment
- Build capacity in two key universities – a central with a reasonable level of resources and a regional with limited resources to conduct collaborative 'action research'
- Test an approach to linking academic institutions to development problem-solving within the health sector

3. In what ways has the achievement of the three SHSI partnership objectives improved your university's capacity to conduct basic and applied research that addresses Indonesian priorities? Give specific examples.

- Develop and evaluate approaches to mental health care identification and treatment
- Build capacity in two key universities – a central with a reasonable level of resources and a regional with limited resources to conduct collaborative 'action research'
- Test an approach to linking academic institutions to development problem-solving within the health sector

SHSI PARTNERSHIP – EFFECTIVE INTERVENTIONS AND PRACTICES *(Evaluation Question 2)*

4. What Harvard Medical School interventions or practices have improved the quality of your university's achievements with respect to the three SHSI partnership objectives? Give specific examples.

- Develop and evaluate approaches to mental health care identification and treatment
- Build capacity in two key universities – a central with a reasonable level of resources and a regional with limited resources to conduct collaborative 'action research'
- Test an approach to linking academic institutions to development problem-solving within the health sector

5. What other partnership practices (e.g., planning, communication/coordination, implementation, evaluation) have improved the quality of your university's achievements with respect to the three SHSI partnership objectives? Give specific examples.

- Develop and evaluate approaches to mental health care identification and treatment
- Build capacity in two key universities – a central with a reasonable level of resources and a regional with limited resources to conduct collaborative 'action research'
- Test an approach to linking academic institutions to development problem-solving within the health sector

SHSI PARTNERSHIP – UNINTENDED RESULTS *(Evaluation Question 3)*

6. What unintended (i.e., unplanned) SHSI partnership results have improved the quality of your university's achievements with respect to the three SHSI objectives? How has the Harvard Medical School contributed to these unintended results? Give specific examples.

- Develop and evaluate approaches to mental health care identification and treatment
- Build capacity in two key universities – a central with a reasonable level of resources and a regional with limited resources to conduct collaborative 'action research'
- Test an approach to linking academic institutions to development problem-solving within the health sector

7. What unintended (i.e., unplanned) SHSI partnership results have improved your university's capacity to conduct basic and applied research that addresses Indonesian priorities? How has Harvard Medical School contributed to these unintended results? Give specific examples.

SHSI PARTNERSHIP – LESSONS LEARNED (Evaluation Question 4)

8. What lessons have you learned from the SHSI partnership that could help U.S.-Indonesia university partnership programs be more sustainable with respect to each of the following? Give specific examples.
- a. Outputs (curriculum development, research services, and research publications - refereed; other)
 - b. Networking (public/private partnerships, collaboration with external stakeholders, e.g., government ministries and offices, NGOs, private companies)
 - c. Impact (community education and outreach, entrepreneurship and commercialization)
 - d. Management (planning, communication and coordination, implementation, monitoring and evaluation)

SHSI PARTNERSHIP – STRENGTHS AND WEAKNESSES (Evaluation Question 5)

9. In terms of your university, what are a few specific examples of SHSI partnership strengths?
10. In terms of your university, what are a few specific examples of SHSI partnership weaknesses (i.e., areas in which the SHSI partnership could be strengthened)?
11. *What are the relative strengths and weaknesses of the partnership with respect to the following partnership practices? [Please rate each partnership practice on a scale of 4 (Excellent) to 1 (Poor). Explain your rating.]*

<u>Partnership Practices</u>	<i>(4)</i> <u>Excellent</u>	<i>(3)</i> <u>Very Good</u>	<i>(2)</i> <u>Average</u>	<i>(1)</i> <u>Poor</u>
Planning				
Communication and Coordination				
Implementation				

Monitoring and evaluation

12. What are the relative strengths and weaknesses of the partnership with respect to the following partnership outcome measures? [Please rate each partnership outcome measure on a scale of 4 (Excellent) to 1 (Poor). Explain your rating.]

<u>Partnership Outcome Measures</u>	(4) <u>Excellent</u>	(3) <u>Very Good</u>	(2) <u>Average</u>	(1) <u>Poor</u>
Achievement of Partnership Objectives				
Partnership Program Sustainability				
Partnership Documentation Production and Dissemination				
Unanticipated (unplanned) Partnership Outcomes				

13. To what extent is the SHSI partnership sustainable now that its USAID/Indonesia University Partnerships funding is ending? Give specific examples.

- a. Financial
- b. Programmatic
- c. Managerial
- d. Other

14. Is there a role for the government and/or private sector in providing support for U.S.-Indonesia university partnerships? Give specific examples.

- a. Financial
- b. Advisory
- c. Advocacy/Policy

15. If you were to recommend a few key changes in future U.S.-Indonesia university partnership programs, what would they be? Give specific examples.

FACTOR

HOW TO IMPROVE IT

University research management,
supervision, and coordination

Relationships with U.S.
partner universities

Dissemination and outreach
of partner research results

Relevance and quality of
US technical assistance in:

- Research
- Teaching
- Curriculum development

University/private sector
partnerships

Other international/national
donor collaboration

Impacts on

- student learning
- stakeholder practice
- government policy

Sustainable funding and other
support for future university
research in Indonesia

ANNEX D.3 SEMARANG/MAKASSAR PARTNERSHIP INTERVIEW GUIDE (FEB. 2014)

DATE:

PARTNER UNIVERSITY:

INTERVIEWEE(S) AND POSITION(S):

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INTERVIEWER:

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Interviewer introduces himself and team members present; provides background information.

- We appreciate your talking with us about your experiences and insights related to your university's participation in the Indonesia Marine Biotechnology (IMB) partnership funded by USAID through its University Partnerships (UP) program.
- USAID has contracted with a U.S. firm, IBTCI, to evaluate each of this program's 16 U.S.-Indonesia university research partnerships toward the end of its 3-year USAID award. Since the IMB partnership ends soon, we are evaluating it now.
- USAID is interested in learning from the IMB partnership experiences so that it will be able to improve future U.S.-Indonesia university partnership programs. Thank you.

Note to Interviewer: Some questions may not apply to a particular interviewee. Be sensitive to this situation; amend or skip questions as needed. Also, ignore the bold headings and evaluation question references when asking questions; they are to help with analysis later.

GENERAL

1. What was your personal role in planning and implementing the Indonesian Indonesia Marine Biotechnology Partnership (IMB) partnership? What is the history of this partnership and your personal role?

IMB PARTNERSHIP – OBJECTIVES ACHIEVED (Evaluation Question 1)

2. In what ways has the achievement of the four IMB partnership objectives improved university and local authorities/stakeholder's beneficiaries knowledge and skills? (was there gender balance?) Give specific examples.
 - Creation of technology transfer and researcher exchange program
 - Design and creation of training course in marine biotechnology
 - Isolation and biological evaluation, marine microbiology/biological screening
 - Compound discovery and determination of lead compounds

3. In what ways has the achievement of the four IMB partnership objectives improved your university's capacity to conduct basic and applied research that addresses Indonesian priorities? Give specific examples.

- Creation of technology transfer and researcher exchange program
- Design and creation of training course in marine biotechnology
- Isolation and biological evaluation, marine microbiology/biological screening
- Compound discovery and determination of lead compounds

IMB PARTNERSHIP – EFFECTIVE INTERVENTIONS AND PRACTICES (Evaluation Question 2)

4. What University of California Santa Cruz interventions or practices have improved the quality of your university's achievements with respect to the four IMB partnership objectives? Give specific examples.

- Creation of technology transfer and researcher exchange program
- Design and creation of training course in marine biotechnology
- Isolation and biological evaluation, marine microbiology/biological screening
- Compound discovery and determination of lead compounds

5. What other partnership practices (e.g., planning, communication/coordination, implementation, evaluation) have improved the quality of your university's achievements with respect to the four IMB partnership objectives? Give specific examples.

- Creation of technology transfer and researcher exchange program
- Design and creation of training course in marine biotechnology
- Isolation and biological evaluation, marine microbiology/biological screening
- Compound discovery and determination of lead compounds

IMB PARTNERSHIP – UNINTENDED RESULTS (Evaluation Question 3)

6. What unintended (i.e., unplanned) IMB partnership results have improved the quality of your university's achievements with respect to the four IMB objectives? How has the University of California Santa Cruz contributed to these unintended results? Give specific examples.

- Creation of technology transfer and researcher exchange program
- Design and creation of training course in marine biotechnology
- Isolation and biological evaluation, marine microbiology/biological screening
- Compound discovery and determination of lead compounds

7. What unintended (i.e., unplanned) IMB partnership results have improved your university's capacity to conduct basic and applied research that addresses Indonesian priorities? How has the University of California Santa Cruz contributed to these unintended results? Give specific examples.

IMB PARTNERSHIP – LESSONS LEARNED (*Evaluation Question 4*)

8. What lessons have you learned from the IMB partnership that could help U.S.-Indonesia university partnership programs be more sustainable with respect to each of the following? Give specific examples.
- a. Outputs (curriculum development, research services, and research publications - refereed; other)
 - b. Networking (public/private partnerships, collaboration with external stakeholders, e.g., government ministries and offices, NGOs, private companies)
 - c. Impact (community education and outreach, entrepreneurship and commercialization)
 - d. Management (planning, communication and coordination, implementation, monitoring and evaluation)

IMB PARTNERSHIP – STRENGTHS AND WEAKNESSES (*Evaluation Question 5*)

9. In terms of your university, what are a few specific examples of IMB partnership strengths?
10. In terms of your university, what are a few specific examples of IMB partnership weaknesses (i.e., areas in which the IMB partnership could be strengthened)?
11. *What are the relative strengths and weaknesses of the partnership with respect to the following partnership practices? [Please rate each partnership practice on a scale of 4 (Excellent) to 1 (Poor). Explain your rating.]*

<i>Partnership Practices</i>	<i>(4)</i> <i>Excellent</i>	<i>(3)</i> <i>Very Good</i>	<i>(2)</i> <i>Average</i>	<i>(1)</i> <i>Poor</i>
Planning				
Communication and Coordination				
Implementation				
Monitoring and evaluation				

12. *What are the relative strengths and weaknesses of the partnership with respect to the following partnership outcome measures? [Please rate each partnership outcome measure on a scale of 4 (Excellent) to 1 (Poor). Explain your rating.]*

<u>Partnership Outcome Measures</u>	<i>(4)</i> <u>Excellent</u>	<i>(3)</i> <u>Very Good</u>	<i>(2)</i> <u>Average</u>	<i>(1)</i> <u>Poor</u>
Achievement of Partnership Objectives				
Partnership Program Sustainability				
Partnership Documentation Production and Dissemination				
Unanticipated (unplanned) Partnership Outcomes				

13. To what extent is the IMB partnership sustainable now that its USAID/Indonesia University Partnerships funding is ending? Give specific examples.

- a. Financial
- b. Programmatic
- c. Managerial
- d. Other

14. Is there a role for the government and/or private sector in providing support for U.S.-Indonesia university partnerships? Give specific examples.

- a. Financial
- b. Advisory
- c. Advocacy/policy

15. If you were to recommend a few key changes in future U.S.-Indonesia university partnership programs, what would they be? Give specific examples.

<u>FACTOR</u>	<u>HOW TO IMPROVE IT</u>
University research management, supervision, and coordination	
Relationships with U.S. partner universities	
Dissemination and outreach of partner research results	

Relevance and quality of
US technical assistance in:

- Research
- Teaching
- Curriculum development

University/private sector
partnerships

Other international/national
donor collaboration

Impacts on

- student learning
- stakeholder practice
- government policy

Sustainable funding and other
support for future university
research in Indonesia

ANNEX D.4 BANDUNG PARTNERSHIP INTERVIEW GUIDE (FEB. 2014)

DATE:

PARTNER UNIVERSITY:

INTERVIEWEE(S) AND POSITION(S):

-
-

INTERVIEWER:

-

Interviewer introduces himself and team members present; provides background information.

- We appreciate your talking with us about your experiences and insights related to your university's participation in the Indonesian Geothermal Education Capacity Building (IGECB) partnership funded by USAID through its University Partnerships (UP) program.
- USAID has contracted with a U.S. firm, IBTCI, to evaluate each of this program's 16 U.S.-Indonesia university research partnerships toward the end of its 3-year USAID award. Since the IGECB partnership ends soon, we are evaluating it now.
- USAID is interested in learning from the IGECB partnership experiences so that it will be able to improve future U.S.-Indonesia university partnership programs. Thank you.

Note to Interviewer: Some questions may not apply to a particular interviewee. Be sensitive to this situation; amend or skip questions as needed. Also, ignore the bold headings and evaluation question references when asking questions; they are to help with analysis later.

GENERAL

1. What was your personal role in planning and implementing the Indonesian Geothermal Education Capacity Building (IGECB) partnership? What is the history of this partnership and your personal role?

IGECB PARTNERSHIP – OBJECTIVES ACHIEVED (Evaluation Question 1)

2. In what ways has the achievement of the five IGECB partnership objectives improved university and local authorities/stakeholder's beneficiaries knowledge and skills? (was there gender balance?) Give specific examples.
 - Build capacity for the geothermal educational program
 - Broaden exposure of students/faculty to geothermal energy
 - Provide opportunities for USC to further develop/expand its geothermal program
 - Provide direct industry input into education initiatives (e.g. advisory board)
 - Build on experience base of both ITB and USC on geothermal related education and R&D

3. In what ways has the achievement of the five IGECB partnership objectives improved your university's capacity to conduct basic and applied research that addresses Indonesian priorities? Give specific examples.

- Build capacity for the geothermal educational program
- Broaden exposure of students/faculty to geothermal energy
- Provide opportunities for USC to further develop/expand its geothermal program
- Provide direct industry input into education initiatives (e.g. advisory board)
- Build on experience base of both ITB and USC on geothermal related education and R&D

ACRI PARTNERSHIP – EFFECTIVE INTERVENTIONS AND PRACTICES (Evaluation Question 2)

4. What University of Southern California interventions or practices have improved the quality of your university's achievements with respect to the five IGECB partnership objectives? Give specific examples.

- Build capacity for the geothermal educational program
- Broaden exposure of students/faculty to geothermal energy
- Provide opportunities for USC to further develop/expand its geothermal program
- Provide direct industry input into education initiatives (e.g. advisory board)
- Build on experience base of both ITB and USC on geothermal related education and R&D

5. What other partnership practices (e.g., planning, communication/coordination, implementation, evaluation) have improved the quality of your university's achievements with respect to the five IGECB partnership objectives? Give specific examples.

- Build capacity for the geothermal educational program
- Broaden exposure of students/faculty to geothermal energy
- Provide opportunities for USC to further develop/expand its geothermal program
- Provide direct industry input into education initiatives (e.g. advisory board)
- Build on experience base of both ITB and USC on geothermal related education and R&D

ACRI PARTNERSHIP – UNINTENDED RESULTS (Evaluation Question 3)

6. What unintended (i.e., unplanned) IGECB partnership results have improved the quality of your university's achievements with respect to the five IGECB objectives? How has the University of Southern California contributed to these unintended results? Give specific examples.

- Build capacity for the geothermal educational program
- Broaden exposure of students/faculty to geothermal energy
- Provide opportunities for USC to further develop/expand its geothermal program
- Provide direct industry input into education initiatives (e.g. advisory board)
- Build on experience base of both ITB and USC on geothermal related education and R&D

7. What unintended (i.e., unplanned) ACRI partnership results have improved your university's capacity to conduct basic and applied research that addresses Indonesian priorities? How has Columbia University contributed to these unintended results? Give specific examples.

IGECB PARTNERSHIP – LESSONS LEARNED (Evaluation Question 4)

8. What lessons have you learned from the IGECB partnership that could help future U.S.-Indonesia university partnership programs be more sustainable with respect to each of the following? Give specific examples.
- a. Outputs (curriculum development, research services, and research publications - refereed; other)
 - b. Networking (public/private partnerships, collaboration with external stakeholders, e.g., government ministries and offices, NGOs, private companies)
 - c. Impact (community education and outreach, entrepreneurship and commercialization)
 - d. Management (planning, communication and coordination, implementation, monitoring and evaluation)

IGECB PARTNERSHIP – STRENGTHS AND WEAKNESSES (Evaluation Question 5)

9. In terms of your university, what are a few specific examples of IGECB partnership strengths?
10. In terms of your university, what are a few specific examples of IGECB partnership weaknesses (i.e., areas in which the IGECB partnership could be strengthened)?
11. *What are the relative strengths and weaknesses of the partnership with respect to the following partnership practices? [Please rate each partnership practice on a scale of 4 (Excellent) to 1 (Poor). Explain your rating.]*

<u>Partnership Practices</u>	<u>(4)</u> <u>Excellent</u>	<u>(3)</u> <u>Very Good</u>	<u>(2)</u> <u>Average</u>	<u>(1)</u> <u>Poor</u>
Planning				
Communication and Coordination				
Implementation				
Monitoring and evaluation				

12. What are the relative strengths and weaknesses of the partnership with respect to the following partnership outcome measures? [Please rate each partnership outcome measure on a scale of 4 (Excellent) to 1 (Poor). Explain your rating.]

<u>Partnership Outcome Measures</u>	<u>(4) Excellent</u>	<u>(3) Very Good</u>	<u>(2) Average</u>	<u>(1) Poor</u>
Achievement of Partnership Objectives				
Partnership Program Sustainability				
Partnership Documentation Production and Dissemination				
Unanticipated (unplanned) Partnership Outcomes				

13. To what extent is the IGECB partnership sustainable now that its USAID/Indonesia University Partnerships funding is ending? Give specific examples.

- a. Financial
- b. Programmatic
- c. Managerial
- d. Other

14. Is there a role for the government and/or private sector in providing support for U.S.-Indonesia university partnerships? Give specific examples.

- a. Financial
- b. Advisory
- c. Advocacy/policy

15. If you were to recommend a few key changes in future U.S.-Indonesia university partnership programs, what would they be? Give specific examples.

FACTOR

HOW TO IMPROVE IT

University research management, supervision, and coordination

Relationships with U.S. partner universities

Dissemination and outreach of partner research results

Relevance and quality of US technical assistance in:

- Research
- Teaching
- Curriculum development

University/private sector partnerships

Other international/national donor collaboration

Impacts on

- student learning
- stakeholder practice
- government policy

Sustainable funding and other support for future university research in Indonesia

ANNEX D.5 EVALUATION TEMPLATE FOR KEY INFORMANT INTERVIEW GUIDES (FEB. 2014)

DATE (d/m/yr): _____ PARTNER UNIVERSITY: _____

NAME OF PARTNERSHIP: _____

PERSON(S) INTERVIEWED _____

AND POSITION(S): _____

INTERVIEWER'S(S) NAME(S): _____

TIME STARTED: _____ TIME ENDED: _____ TOTAL TIME: _____

EVALUATION QUESTION #1

EQ 1.1. How have the knowledge and skills of Indonesian university partnership participants (e.g., lecturers, researchers, students) improved as a result of each of the following partnership outcome measures?

- a. Achievement of partnership objectives
- b. Unanticipated partnership outcomes
- c. Partnership program sustainability
- d. Partnership documentation production and dissemination

EQ 1.2. How has the Indonesian partner university strengthened its institutional capacity in research, teaching, and curriculum development as a result of each of the following partnership outcome measures?

- a. Achievement of partnership objectives
- b. Unanticipated partnership outcomes
- c. Partnership program sustainability
- d. Partnership documentation production and dissemination

EVALUATION QUESTION #2

EQ 2.1. What partnership planning practices have improved the quality of the Indonesian partner university's research services, teaching, and curriculum development? How?

[E.G., joint planning by all partners from the earliest stages; early consideration of how to sustain project results; realistic time frames when planning intl. travel and project tasks]

EQ 2.2. What partnership communication and coordination practices have improved the quality of the Indonesian partner university's research services, teaching, and curriculum development? How?

[E.G., equal and full prior commitment by all partners on planned actions and goals; orientation of Indonesian universities to U.S. government award mgmt. procedures; orientation of U.S. universities to Indonesian culture; Indonesian partner linkages with key Indonesian government officials]

EQ 2.3. What partnership implementation practices have improved the quality of the Indonesian university's research services, teaching, and curriculum development? How?

[E.G., identification of partnership “champions” in each partner institution; encouragement of effective and low-cost partner communication; monitoring administrative procedures to ensure effective implementation; plans if senior administrators change in partner universities]

EQ 2.4. What partnership evaluation practices have improved the quality of the Indonesian university's research services, teaching, and curriculum development? How?

[E.G., “formative” assessments to support “mid-course corrections” that can be implemented in an orderly manner; use of partnership activity reporting formats and analyses consistent with those already used by U.S. and Indonesian partner universities; demonstrated understanding by university partners of the importance of assessment and its links with quality assurance]

EVALUATION QUESTION #3

EQ 3.1. What unintended (or “spillover”) partnership outcomes have strengthened each of the following institutional capacity components in the Indonesian partner university?

- a. General administration and leadership
- b. Financial management
- c. Internal quality assurance systems
- d. Collaboration with external stakeholders

- e. Institutional capacity to address long-term Indonesian sustainable development priorities
- f. Institutional contributions to long-term Indonesian sustainable development priorities

EQ 3.2. What unintended (or “spillover”) partnership results have improved each of the following activities in the Indonesian university’s departments targeted in the partnership?

- a. Teaching
- b. Research
- c. Curriculum Development
- d. (Community) Services

EVALUATION QUESTION #4

EQ 4.1. What lessons about effective partnership practices can be learned? Possible sustainability areas for probing are: curriculum development, research services, publications, public/private partnerships, and possibilities for engagement with other partners (e.g., government, NGO, or private sector)?

- a. Planning practices
- b. Communication and coordination practices
- c. Implementation practices
- d. Monitoring and evaluation practices

EQ 4.2. What lessons about key partnership outcome measures can be learned? Possible sustainability areas for probing are: curriculum development, research services, publications, public/private partnerships, and possibilities for engagement with other partners (e.g., government, NGO, or private sector)?

- a. Achievement of partnership objectives
- b. Partnership and partnership program sustainability

- c. Partnership documentation production and dissemination
- d. Unanticipated (unplanned) partnership outcomes

EQ 4.3. What lessons about strengthening Indonesian higher education institutional capacity and contributions can be learned from partnership sustainability in

- a. *curriculum development*
- b. *research service*
- c. *publication*
- d. *public/private partnerships*
- e. *possibilities for engagement with other partners (e.g., government, NGO, or private sector)?*

EVALUATION QUESTION #5

EQ 5.1. What are the relative strengths and weaknesses of the partnership with respect to the following partnership practices? [Please rate each partnership practice on a scale of 4 (Excellent) to 1 (Poor). Explain your rating.]

<u>Partnership Practices</u>	<u>(4)</u> <u>Excellent</u>	<u>(3)</u> <u>Very Good</u>	<u>(2)</u> <u>Average</u>	<u>(1)</u> <u>Poor</u>
Planning				
Communication and Coordination				
Implementation				
Monitoring and Evaluation				

EQ 5.2. What are the relative strengths and weaknesses of the partnership with respect to the following partnership outcome measures? [Please rate each partnership outcome measure on a scale of 4 (Excellent) to 1 (Poor). Explain your rating.]

<u>Partnership Outcome Measures</u>	<u>(4)</u> <u>Excellent</u>	<u>(3)</u> <u>Very Good</u>	<u>(2)</u> <u>Average</u>	<u>(1)</u> <u>Poor</u>
Achievement of Partnership Objectives				
Partnership Program Sustainability				

Partnership Documentation
Production and
Dissemination

Unanticipated (unplanned)
Partnership Outcomes

QUESTION 6. RECOMMENDATIONS FOR IMPROVING FUTURE UNIVERSITY PARTNERSHIPS

Please suggest how each of the following Indonesian university research partnership-related factors might be strengthened to increase the capacity and contributions of Indonesian universities to address longer term sustainable development priorities in Indonesia.

<i><u>FACTOR</u></i>	<i><u>HOW TO IMPROVE IT</u></i>
University research management, supervision, and coordination	
Relationships with U.S. partner universities	
Dissemination and outreach of partner research results	
Relevance and quality of US technical assistance in:	
- Research	
- Teaching	
- Curriculum development	
University/private sector partnerships	
Other international/national donor collaboration	
Impacts on	
- student learning	
- stakeholder practice	
- government policy	
Sustainable funding and other support for future university research in Indonesia	

ANNEX D.6 FOCUS GROUP GUIDE FOR UNIVERSITY PARTNERSHIP STAKEHOLDERS (FEB. 2014)

Instructions to Facilitator:

This document serves as a focus group guide; it is not a structured survey questionnaire. The questions below serve as examples of the kind of questions for an informal focus group discussion on the topic of, for example, “University Partnerships – Benefits and Challenges.” This format will help to keep the session on the general topic while giving participants enough flexibility to provide information that may be new to the topic under discussion.

The facilitator begins by explaining the objectives of the session and the reason for the focus group meeting.

The focus group meeting will start with the following steps:

- 1. Welcome the focus group participants; explain the purpose of the meeting and that individual responses will not be attributed.*
- 2. Present the problem and the issues that teams will be required to discuss (5 minutes).*
- 3. Ask questions and encourage the focus group to answer and discuss (10 minutes).*
- 4. Allow the focus group time for discussion, to formulate answers, and keep a record of their answers (30 minutes).*
- 5. Thank participants for coming, and close the focus group meeting.*

Name of Facilitator(s) : _____

Focus Group Date : _____

Location (University, City) : _____

Focus Group Participants:

	Name	Affiliation
1.	_____	_____
2.	_____	_____
3.	_____	_____
4.	_____	_____
5.	_____	_____
6.	_____	_____
7.	_____	_____
8.	_____	_____
9.	_____	_____
10.	_____	_____
11.	_____	_____
12.	_____	_____

Facilitator Instruction:

Please thank the focus group participants for their participation and state that their inputs will better focus the evaluation and possibly lead to future USAID-sponsored University Partnerships initiatives. Assure them that their responses are anonymous and that shared information and statements will not be attributed to individual participants.

ANNEX D.7 SEMI-STRUCTURED GROUP DISCUSSION GUIDE FOR UNIVERSITY PARTNERSHIP STAKEHOLDERS (FEB. 2014)

Use the following illustrative list of questions to guide a semi-formal discussion with a small group of senior level respondents who may be unwilling to take part in a more formal semi-structured one-on-one interview situation.

- Are there any specific gains or benefits you or your organization may have achieved from participation in the University Partnerships program? Comment about specific skills or knowledge which may have been gained.
- Are there specific examples of effective program interventions between your institution and the counterpart U.S. university which you may be willing to share – especially in the teaching or curriculum development areas?
- Have there been any unintended benefits or losses experienced in trying to achieve USAID’s current education strategy aimed at improving teaching, research services, and curriculum development in targeted university departments in the partnership? Give concrete examples of improvements that you may have experienced in any of the specific areas listed.
- Are there any lessons to be learned from your partnership experience that may benefit future university partnership programs in Indonesia? Specify, giving examples taken from the curriculum development, teaching, research, publications, or private sector support areas that could be used to encourage other public or private sector partners to help support and sustain existing and future partnership efforts of this kind.
- Are there any clear examples of University Partnerships program strengths or weaknesses you may wish to share about your experience in any of the U.S.-Indonesia university partnerships being evaluated in this project?

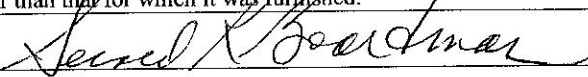
(More questions can be added)

ANNEX E – CONFLICT OF INTEREST FORMS

Disclosure of Conflict of Interest for USAID Evaluation Team Members

Name	Gerald R. Boardman
Title	Evaluation Specialist
Organization	IBTCI
Evaluation Position	<input checked="" type="checkbox"/> Team Leader <input type="checkbox"/> Team member
Evaluation Award Number (contract or other instrument)	AID-497-T0-12-00004
USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)	Indonesia Univ. Partnerships 5) Adaptation to Climate Risk in Indonesia; 6) Strengthening Health Systems in Indonesia; 7) Indonesian Marine Biotechnology Partnership; 8) Supporting Geothermal Capacity Building.
I have real or potential conflicts of interest to disclose.	<input type="checkbox"/> Yes No <input checked="" type="checkbox"/>
<p>If yes answered above, I disclose the following facts: <i>Real or potential conflicts of interest may include, but are not limited to:</i></p> <ol style="list-style-type: none"> <i>1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.</i> <i>2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.</i> <i>3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.</i> <i>4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.</i> <i>5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.</i> <i>6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.</i> 	

I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

Signature	
Date	March 10, 2014

Disclosure of Conflict of Interest for USAID Evaluation Team Members

Name	Johan Ceelen
Title	
Organization	IBTCI
Evaluation Position	<input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member
Evaluation Award Number (contract or other instrument)	AID-497-T0-12-00004
USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)	Indonesia Univ. Partnerships 5) Adaptation to Climate Risk in Indonesia; 6) Strengthening Health Systems in Indonesia; 7) Indonesian Marine Biotechnology Partnership; 8) Supporting Geothermal Capacity Building.
I have real or potential conflicts of interest to disclose.	<input type="checkbox"/> Yes No <input checked="" type="checkbox"/>
<p>If yes answered above, I disclose the following facts: <i>Real or potential conflicts of interest may include, but are not limited to:</i></p> <ol style="list-style-type: none"> <i>1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.</i> <i>2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.</i> <i>3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.</i> <i>4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.</i> <i>5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.</i> <i>6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.</i> 	

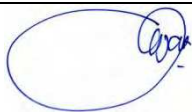
I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

Signature	
Date	10 March 2014

Disclosure of Conflict of Interest for USAID Evaluation Team Members

Name	Dwatmadji, PhD
Title	Education / Evaluation Consultant
Organization	IBTCI
Evaluation Position	<input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member
Evaluation Award Number (contract or other instrument)	AID-497-T0-12-00004
USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)	Indonesia Univ. Partnerships 5) Adaptation to Climate Risk in Indonesia; 6) Strengthening Health Systems in Indonesia; 7) Indonesian Marine Biotechnology Partnership; 8) Supporting Geothermal Capacity Building.
I have real or potential conflicts of interest to disclose.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<p>If yes answered above, I disclose the following facts: <i>Real or potential conflicts of interest may include, but are not limited to:</i></p> <ol style="list-style-type: none"> 1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated. 2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation. 3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project. 4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated. 5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated. 6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation. 	

I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

Signature	
Date	March 11, 2014.

ANNEX F – LIST OF REFERENCES

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