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EVALUATION OF THE INDONESIA UNIVERSITY PARTNERSHIPS PROGRAM: PHASE FOUR – PARTNERSHIPS 9-11

Final Report
July 17, 2014

This report was independently produced for review by the United States Agency for International Development by International Business & Technical Consultants, Inc. (IBTCI) under Task Order AID-497-TO-12-00004 of the Evaluation Services IQC. The authors are Dr. Sean A. Tate, Dr. Dwatmadji, Mr. Mohammad Rum Ali, and Ms. Kusuma Wardani. The authors' views expressed in this report do not necessarily reflect the views of the United States Agency for International Development or the United States Government.

Photo Credit: UTEP-UNMUL, Field Visit from Kabo Jaya Village, East Kalamantan

EVALUATION OF THE INDONESIA UNIVERSITY PARTNERSHIPS: PHASE FOUR – PARTNERSHIPS 9-11

9. *Smart Strategic Coalition for Sustainable Agricultural and Economic Development in Indonesia, 3/16/2012-3/31/2015.*
 - Washington State University, Institut Pertanian Bogor, and Indonesian Institute of Sciences, Bogor.
10. *Enhancing Behavior Change through Conservation- 03/15/2012- 03/31/2015.*
 - University of Texas El Paso, Universitas Mulawarman, and Rare.
11. *Climate Change Mitigation Capacity Program, 03/22/2012-03/31/2015.*
 - Columbia University, University of Indonesia.

FINAL REPORT

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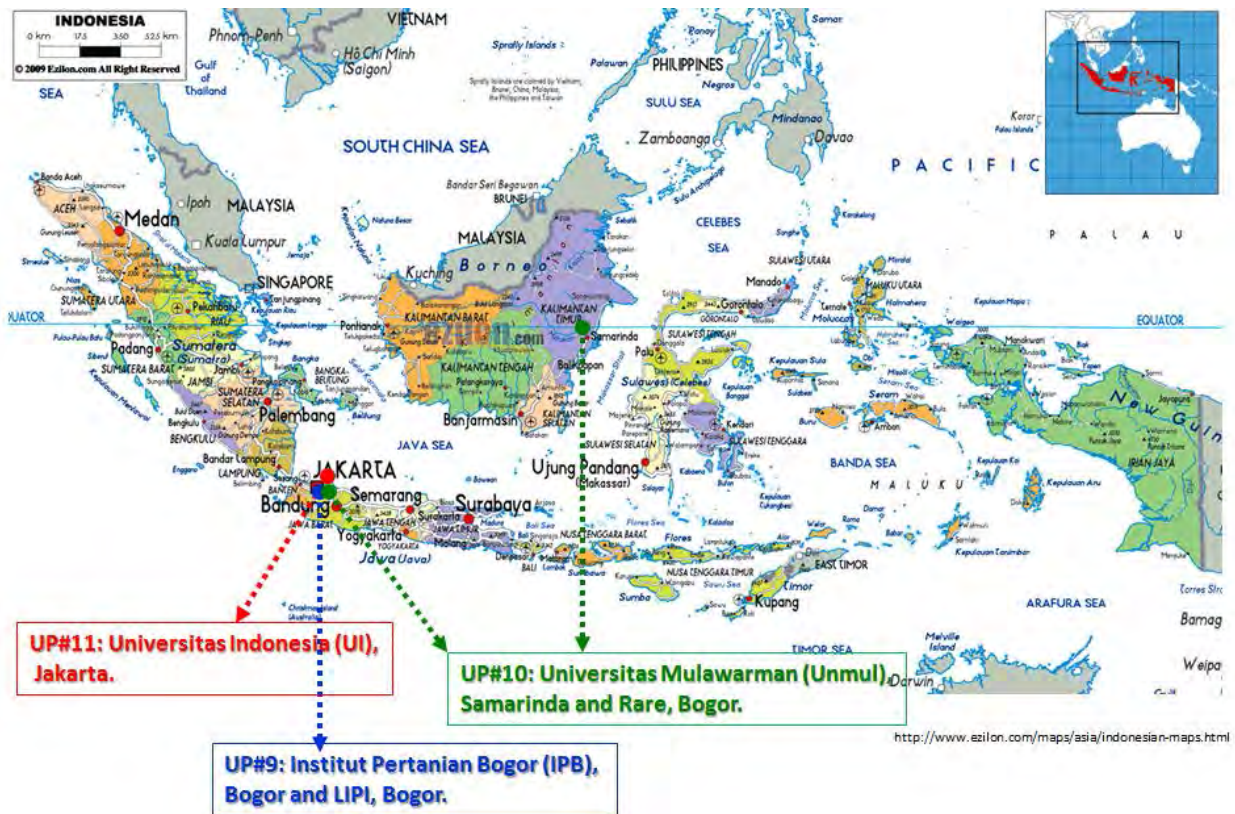
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ACRONYMS AND ABBREVIATIONS

AOR	Agreement Officer Representative
APS	Annual Program Statement for USAID/Indonesia
ASEAN	Association of Southeast Asian Nations
BKSDA	Balai Konservasi Sumber Daya Alam or Natural Resource Conservation Center
BMKG	Badan Meteorologi, Klimatologi, dan Geofisika or Indonesian Meteorological, Climatological and Geophysical Agency
BROP	Barrier Removal Operation Plan
CEES CU	Columbia University's Center for Environment, Economy and Society
CETAL	Center for Excellence in Teaching and Learning
CM	Campaign Manager (from RARE)
CU	Columbia University, New York, NY
DIKTI	Direktorat Jenderal Pendidikan Tinggi (Directorate General for Higher Education, Ministry of Education and Culture)
DUNS	Data University Number System
ECFED	Education Community Food Enterprise Development, USDA/FAS
ENSO	El Niño - Southern Oscillation
F	Female
FAS	Foreign Agricultural Service, USDA
FP	Fakultas Pertanian (Faculty of Agriculture)
GIS	Geographic Information Systems
Gol	Government of Indonesia
HCVF	High Conservation Value Forests
HE	Higher Education
IDR	Indonesia Rupiah (currency unit - IDR 1000 = ~ \$0.104)
IPB	Institut Pertanian Bogor (Bogor Agricultural University), Bogor
IPCC	Intergovernmental Panel on Climate Change
ISS	Instructional Support Services
KKN	Kuliah Kerja Nyata
LCM	Land Change Modeler
LIPI	Lembaga Ilmu Pengetahuan Indonesia (Indonesian Institute of Science)
LP	Lesson Plan
LPPM	Lembaga Penelitian dan Pengabdian Masyarakat (Board for Research and Community Services)
LULUCF	Land Use, Land Use Change, and Forestry
M	Male
M&E	Monitoring and Evaluation
MoA	Ministry of Agriculture
MOEC	Ministry of Education and Culture
NGO	Non-government Organization
NIH	National Institute of Health
NSF	U.S. National Science Foundation
ORSP	Office of Research and Sponsored Programs
PED	Project End Date

PEER	Partnerships for Enhanced Engagement in Research
PEMDA	Pemerintah Daerah (Local Government)
Ph.D.	Doctor of Philosophy
PI	Principal Investigator
PIC	Person in Charge
PIR	Practice, Instruction, Research
PIR	Practice, Instruction, Research teams
PMP	Performance Monitoring Plan
PRA	Participatory Rural Appraisal
PRESTASI	Program to Extend Scholarships and Training to Achieve Sustainable Impacts
R&D	Research and Development
RCCC UI	University of Indonesia's Research Center for Climate Change
REDD	Reduced Emissions from Deforestation and forest Degradation
REDD+	Reduced Emissions from Deforestation and forest Degradation Plus sustainable management of forests
RFS	The Rainforest Standard™
RQ	Research Question
SAO	Study Abroad Office
STEM	Science, Technology, Engineering, Mathematics
TAG	Technical Advisory Board
TOR	Term of Reference
TOT	Training of Trainers
UI	Universitas Indonesia (University of Indonesia), Jakarta
UNFCCC	United Nations Framework Convention on Climate Change
UNMUL	Universitas Mulawarman, Samarinda
UP	University Partnerships Program, USAID/Indonesia
US	United States of America
USAID	United States Agency for International Development
USDA	U.S. Department of Agriculture
USG	United States Government
UTEP	University of Texas at El Paso
WSU	Washington State University

MAP OF PARTNERSHIP LOCATIONS



- UP#9 Smart Strategic Coalition for Sustainable Agricultural and Economic Development in Indonesia (Washington State University, Institut Pertanian Bogor (IPB), and Indonesian Institute of Sciences, Bogor).
- UP#10: Enhancing Behavior Change through Conservation (University of Texas El Paso, Universitas Mulawarman, and Rarae).
- UP#11: Climate Change Mitigation Capacity Program (Columbia University, University of Indonesia)

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 9th, 10th and 11th partnership awards was the fourth of four sets of evaluations of the partnerships and was carried out in May-June 2014 by International Business & Technical Consultants, Inc. (IBTCI) on behalf of USAID/Indonesia under Task Order AID-497-TO-12-00004. The topics, dates, and partners of the three partnerships evaluated were:

- *Smart Strategic Coalition for Sustainable Agricultural and Economic Development in Indonesia*, 3/16/2012-3/31/2015. Washington State University, Institut Pertanian Bogor, and Indonesian Institute of Sciences, Bogor.
- *Enhancing Behavior Change through Conservation*, 03/15/2012- 03/31/2015. University of Texas El Paso, Universitas Mulawarman, and Rare.
- *Climate Change Mitigation Capacity Program*, 03/22/2012-03/31/2015. Columbia University, University of Indonesia.

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?

The three partnerships and their objectives are in congruence with two of the principal Development Objectives (DO) of the *USAID Strategy for Indonesia 2014-2018* (October 2013):

Development Objective 3: Global Development Priorities of Mutual Interest Advanced, specifically

Sub IR 3.3.1: Foundation for low carbon energy systems strengthened

Sub IR 3.2.2: Threats to biodiversity reduced

Sub IR 3.2.3: Engagement in key conservation dialogues strengthened.

Development Objective 4: Collaborative Achievement in Science, Technology and Innovation increased, specifically:

Sub IR 4.1.3: Quality and opportunity in higher education improved.

Evaluation Methodology and Limitations

The evaluation team was comprised of one expatriate specialist (team leader), two Indonesian specialists, and an Indonesian coordinator. The team conducted semi-structured interviews with relevant personnel, and a number of students from the three Indonesian partnerships. A simple ratings scale was also employed to cross-check interviewee perceptions of partnership strengths and weaknesses. The scale ranged from 4=excellent, 3=very good, 2=average, and 1=poor.

The short number of days in-country for the evaluation process, combined with two national holidays in the second week, were limiting factors. The inclusion of a workshop for all Indonesian university partners in the University Partnerships Program in the last week of the consultancy, and preparation for that workshop, while extremely important, limited the amount of time for research, analysis and report preparation.

Overall Recommendations Across the Three Partnerships

These overall recommendations are based on the findings and conclusions of the individual UP reports presented in the earlier sections of the report and include several recommendations made in previous partnership evaluations.

1. To the extent feasible, *liaison representatives* of US institutions should be stationed on-the-ground working with the Indonesian partners to more effectively facilitate communication and coordination among all partnerships and to participate in partnership activities;
2. *'Champions' are needed to understand and advocate for supportive policy;*
3. *Realistic Expectations.* By design, (in proposals) partnerships must build on objectives and activities that are feasible/possible with time frame limitations;
4. *Continued bridging funding to further achieve individual and institutional sustainability.* While each of the three projects has expressed optimism that they could carry on to some degree when current funding stops, none of the partnerships are at the level where they are truly sustainable without additional funding. Given the time frame, the projects were overly ambitious in their objectives (a design and review flaw).
5. *Rethink horizons for funding partnerships in science and technology research.* It should be thoroughly understood by funding agencies, potential partners, governments and other stakeholders that research in science and technology is often a long-term proposition lasting far beyond short-term projects and needs *special* planning. Alternative funding sources need to be explored as partnerships are developed, and/or link a planned partnership to larger global research initiatives (and in the process alternative funding sources).
6. *Financial Management Orientation* for key representatives of *all* partners by USAID, as each partnership begins, and then coaching and refresher updates. The partnerships would also benefit from e-learning provided on the USAID website: (i) USAID Administrative Compliance Requirements, and (ii) financial Management of USAID Awards;
7. *Funding for Project Planning.* USAID should encourage potential partners to seek funding, e.g., from DIKTI, to arrange site visits and develop person-to-person collaborations for more effective partnership proposals and/or should encourage potential partners to incorporate in their proposals post-award planning trips to refine project design as part of development of their workplans.

8. *Shared University Partnership Lists.* There is perceived utility in university partnerships sharing name lists for marketing and public relations purposes. USAID, having funded 14 such partnerships, could facilitate the sharing of this partnership network of key names;
9. *Strengthen Partner ‘work force’ linkage opportunities and leadership opportunities for women.*
10. *Quality indicators.* All current and future partnerships should prepare indicators that meet the criteria for high quality indicators as outlined not only by USAID but by other international agencies and institutions.
11. *A Facilitating Role.* Even though USAID regulations prohibit formal intervention in client collaborations, the agency should consider playing a more active role, even if informally, when necessary, to facilitate dialogue and possible solutions among partners when management and financial arrangements within partnerships fall apart.

Partnership 9: Smart Strategic Coalition for Sustainable Agricultural and Economic Development in Indonesia

The Partnership: Washington State University. Institut Pertanian Bogor (IPB) and Indonesian Institute of Sciences, Bogor (LIPI).

Findings/Conclusions:

Research capacity building and training is ongoing and the respondents are enthusiastic about the value of the training taking place, short term and degree programs. Topic areas are seen as very relevant for their institutions and Indonesia. Active participation of women. Fits with USAID strategy. (EQ1). On target.

The Coalition is actively working to provide linkages to existing extension networks. The coalition has established a strong linkage, based on personal working relationships, to the Ministry of Agriculture, and are working with other rice research institutions. Overall the partnership is actively involved in building sustainable capacity to create shared networks, with complementary linkages among partners. Coordination and collaboration overall have been very good. EQ5

Contributions by WSU to the implementation of the IPB/LIPI partnership interventions are viewed positively as trainees acquire new skills/techniques on use of lab equipment.

Given the nature of the research in biotechnology, responses from interviewees indicated it is too early to expect commercialization of potential results. EQ4.

Recommendations

1. USAID should seriously consider a system that offers support to higher education institutions to implement site visits with U.S. counterparts and to develop person-to-person relationships that can lead to institutional collaborations. While not a new idea, it could be a good investment for high quality, higher education international partnerships.
2. WSU and the partnership should as soon as possible prepare quarterly reports that monitor/track clearly demarcated objectives and indicators, preferably not only tracking inputs and outputs but also outcomes, initially stated in a PMP. Indicators should be of high

quality and both USAID and the partners in this partnership, as well as future partners, would benefit from reviewing the literature on how to prepare such high quality indicators.

3. Future partnerships, and USAID, need to consider, and review more carefully, designs that promise tempting accomplishments (such as commercialization of biotechnology products) when the duration of a project is limited and the realities are long-term. This is a problem of “Double Vision” (contrasting long-and short-term visions) as well as facing realities.

Partnership 10: Enhancing Behavior Change Through Conservation

The partnership: the University of Texas El Paso, Universitas Mulawarman, and Rare.

Findings/Conclusions:

Collaborative capacity building, a key objective, is taking place with five teams organized to develop collaborative and networking capacities. A first PIR (Practice-Instruction-Research) team from UNMUL visited UTEP in December 2013 for two weeks. Modules on report writing, study abroad opportunities, abstract writing, and active learning strategies were developed and a module on proposal writing was completed. Time lapse cameras, and training in their use, were provided by UTEP so that UNMUL staff could record and analyze forest canopy progress at key sites in East Kalimantan. One combined web site was developed. Training and exchange participants reportedly showed a high degree of satisfaction. Workshops held in Indonesia during 2013 (e.g., (1) Rapid Rural Appraisal techniques, use of phrenology cameras, and (2) a conservation campaigns workshop hosted by UTEP and Rare in South Sulawesi reported participant satisfaction. No data was available on 2014 workshops. Gender balance: very good. EQ1

The partnership is an incomplete circle of collaboration, with the relationship between UNMUL and Rare not well-developed. Campaign managers (from Rare) were provided with mini-grants to develop (conservation) campaign activities.

Although 15 academic journal articles were to be published by the UNMUL PIR teams through this project, none has yet been accepted or published. The only explanation for this finding, from interviews, is the difficulty in preparing such articles, especially in English, during the time limitations of the partnership.

In terms of project management, although partnership activities are proceeding, up until and during the time of the evaluation team’s visit, they were being seriously hampered by the continuing need for improvement in general and financial management at the Faculty of Forestry at UNMUL; there was low overall morale. Financial management was a contentious and serious issue with a series of mis-steps. This situation is unlike that seen in any of the other partnerships. ¹ EQ5

¹ The situation as observed by the evaluation team when visiting UNMUL in early June was in a state of flux. This makes it difficult to give a complete up-to-date picture of its status now that this report has been drafted. It is known, however, that shortly after the conclusion of the in-country visits by the evaluation team, the Dean of the Department of Forestry at UNMUL was replaced. In addition, a visit by UTEP Project Director was scheduled just after the evaluation team had completed its work. The outcomes of this visit were not known to the evaluation team at the writing of this report.

Recommendations

1. The current management impasse at UNMUL needs quick resolution. Although it is understood that there is no privity between USAID and sub-grantees, it may take informal USAID intervention to bring key representatives of all parties together. As feasible, legal and normal ‘pipelines’ of funding distribution at/to UNMUL should be re-instituted.
2. It would be useful, for this and other partnerships, to have a US institution representative “on-the-ground” in Indonesia working collaboratively as a liaison person.
3. Indicators need to be more carefully stated to include not only outputs but also outcomes, with clear links between the two types.
4. UNMUL, with new leadership in its Department of Forestry, should quickly help the US partner to facilitate the appropriate research permits to continue its work.

Partnership 11: Climate Change Capacity Mitigation Program

The partnership: Columbia University and University of Indonesia.

Findings/Conclusions:

A Master’s of Science curriculum has been developed but the course program will not be delivered until next year. Societal Outreach is only just beginning. A Certificate Training program (about three months) has been delivered as have short courses for professionals. (EQ1 and 2) Detailed reporting, backed by a Project Monitoring Plan and a good management plan, is helping to facilitate the efforts of the partnership. EQ1, EQ2.

The presence of a liaison representative for Columbia University on site at the University of Indonesia has given the partnership a good communication/coordination pipeline. This should be a model for other partnerships. EQ5.

The objective to set up a demonstration test area, however, for the Rain Forest Standard (RFS) in Bali Barat was, at the time of report preparation, at an impasse after it was discovered not to be the appropriate location for such as test. EQ3.

Recommendations

1. The Certificate Training courses should be cut into more time-manageable portions so that trainees are not taken away from their jobs for too long.
2. Having an on-the-ground liaison representative of the US institution is an effective way to facilitate a university partnership.
3. Indicators should be reviewed with the purpose of providing better links of outputs to outcomes. The *quality* of indicators in this and other partnerships should be reviewed.
4. USAID should seriously consider providing workshops to university partners (US and Indonesian) on understanding (1) financial arrangements from the USAID perspective, as well as (2) the complexities of cooperative agreements and contracts.
5. While it is understood that USAID regulations do not officially permit interventions with clients, the issue of the Bali Barat Demonstration project should be dealt with as quickly as possible, even if unofficially. One solution has been proposed and USAID might assist in this process by facilitating a meeting among the key players that would seek to resolve the situation.

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 ninth, tenth, and eleventh UP partnership awards was the fourth 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 May-June 2014. The topics and university partners of the three partnerships evaluated were:

9. Smart Strategic Coalition for Sustainable Agricultural and Economic Development in Indonesia: 03/16/2012-3/31/2015
 - Washington State University (USA), Institut Pertanian Bogor (IPB) and Indonesian Institute of Science (LIPI), Bogor.
10. Enhancing Behavioral Change through Conservation: 03/15/2012-03/31/2015.
 - University of Texas El Paso (USA), Universitas Mulawarman (UNMUL) Samarinda, and Rare.
11. Climate Change Capacity Mitigation Program: 03/22/2012-03/31/2015.
 - Columbia University (USA) and University of Indonesia (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:

1. 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?

What are the strengths and weaknesses of the partnership between the U.S. university and the Indonesian partner(s)?

The three partnerships and their objectives are in congruence with two of the principal Development Objectives (DO) of the *USAID Strategy for Indonesia 2014-2018* (October 2013):

Development Objective 3: Global Development Priorities of Mutual Interest Advanced, specifically

Sub IR 3.3.1: Foundation for low carbon energy systems strengthened

Sub IR 3.2.2: Threats to biodiversity reduced

Sub IR 3.2.3: Engagement in key conservation dialogues strengthened.

Development Objective 4: Collaborative Achievement in Science, Technology and Innovation increased, specifically:

Sub IR 4.1.3: Quality and opportunity in higher education improved.

Evaluation Methodology and Limitations

The IBTCI evaluation team was comprised of one American specialist, Dr. Sean A. Tate; two Indonesian specialists, Dr. Dwatmadji and Mr. Mohammad Rum Ali. Ms. Kusuma Wardani provided logistical support. During its evaluation of the three UPs, the team visited each of the Indonesian partner organizations. 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 (Washington State University, University of Texas El Paso, and Columbia University) to verify and complement data collected from document review, the Indonesian site visits, and interviews.

A simple ratings system was used to cross-check interviewee perceptions of strengths and weaknesses of partnership implementation. Factors that were scored included (1) planning, (2) communication and coordination, (3) implementation, (4) evaluation, (5) achievement of partnership objectives, (6) unanticipated partnership outcomes, (7) partnership program sustainability, and (8) partnership documentation, production and dissemination. The range of the rating scale was: 4=excellent, 3=very good, 2=average, and 1=poor.

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 48 interviewees (25 women and 23 men) with the relevant Indonesian partnerships. Some interviewees were included in more

than one session. 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.

Although, in comparison to the previous evaluations, there was not as much in-country travel, the schedule was complicated and fore-shortened during the second week. During this week there were two Indonesian holidays: Tuesday, May 27 (Isra M'iraj) and Thursday, May 29 (Ascension of Jesus). This limited the scheduling of appointments/interviews during that week, especially if potential interviewees took the intervening day (Wednesday, May 28) as a non-working day as well. It should be noted that Monday, May 26 was the American holiday, Memorial Day. The impact of these holidays was somewhat mitigated by planning to be based in Bogor, where the greatest number of intended respondents were sited, during that second week.

An additional consideration was the inclusion in the schedule of a Workshop for all University Partners on Wednesday, June 11 and Thursday, June 12. The evaluation team was requested to make a presentation to the workshop participants about their recent findings on one of those two days. This was seen as an excellent opportunity for sharing and the Team was aware and appreciative that scheduling adjustments had to be made to incorporate their participation. It did, however, further shorten the amount of in-country time for the evaluation research and analysis.

Organization of the Report

The report contains: an introduction, sections for each of the three partnerships, and overall recommendations. Annexes include the scope of work (**Annex A**), work plan and itinerary (**Annex B**), list of interviewees, (**Annex C**), data collection instruments (**Annex D**), conflict of interest forms (**Annex E**), , and references (**Annex F**).

II. PARTNERSHIP 9: SMART STRATEGIC COALITION FOR SUSTAINABLE AGRICULTURAL AND ECONOMIC DEVELOPMENT IN INDONESIA (SSCSAEDI)

SSCSAEDI Overview

On March 16, 2012, USAID awarded a three-year University Partnership cooperative agreement No. AID-497-A-12-00007 to Washington State University, Institut Pertanian Bogor (IPB) and the Indonesian Institute of Sciences (LIPI) Bogor in the amount of US\$995,583 to provide support to the partnership entitled “Smart Strategic Coalition for Sustainable Agricultural and Economic Development in Indonesia.” The purpose of the cooperative agreement is to address institutional capacity building for strengthening the agricultural value chain in Indonesia, specifically through agricultural biotechnology.

This partnership is congruent with Development Objective 3 of the USAID Strategy for Indonesia 2014-2018, specifically Sub-IR 3.2.2 *Threats to biodiversity reduced*, and Development Objective 4 *Collaborative Achievement in Science, Technology and Innovation Increased*, specifically Sub IR 4.1.3 *Quality and opportunity in higher education improved*.

The four SSCSAEDI objectives are:

1. Strengthen capacity for the efficient use of modern plant methodologies for rapid improvement of high value crops. By training scientists and PhD students in novel and proven crop research methodologies and integrating with extension, there can be rapid dissemination and exchange of knowledge for crop improvement applications in subsistence agriculture in Indonesia.
2. Build sustainable capacity to create shared networks for knowledge and personnel exchange for professional development, management practices, intercultural competencies and understanding of global interconnectedness in food systems, nutrition and security that also benefit U.S. students and stakeholders.
3. Link the coalition to existing extension networks involving universities and the Indonesian Ministry of Agriculture for rapid dissemination of best practices and crop varieties as well as generating a feedback loop where on-the-ground farmer knowledge informs research activities.
4. Engage the private sector in the coalition for effective technology commercialization to ensure cost-effective, sustainable implementation of best practices and improved crop varieties.

The related planned components to accomplish these objectives, as described in the proposed outcomes, were:

For Indonesia

1. Strong bilateral collaborations established between US and Indonesian institutions for programs in institutional development, and research, education and extension within the sector of crop assessment and plant protection:
2. Knowledge-sharing and transfer in cutting edge biotechnology;

3. Capacity building through the training of PhD-level scientists as well as enhancing the technical expertise of junior and senior level scientists on equipment and methodologies needed in modern biotechnology;
4. Establishment of GIS and other agweather-related methodologies for use by the quarantine agency of the Ministry of Agriculture and other agencies and other stakeholders (including farmers and producers);
5. Establishment of a dynamic coalition founded on the three-way core team members (WSU, IPB, LIPI and expansion beyond the three year project to a larger network; and
6. Infusion of best practices and educational tools in global knowledge sharing and knowledge transfer to jointly address emerging global challenges in food systems, nutrition and security.

For the U.S.

1. Promotion of U.S. science and technology for global food and nutritional security and showcase of science diplomacy;
2. Contribution to U.S. biosecurity efforts.
3. Enable WSU faculty to incorporate global dimensions of agriculture in undergraduate and graduate courses;
4. Facilitate cultural and gender-sensitive experiential education opportunities for WSU's students;
5. Increase engagement of U.S. scientists in addressing global dimensions of agriculture and in sharing their scientific knowledge with those in less-developed countries. Who can benefit from it.

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).

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), and interviews.

It should be noted that the quarterly progress reports do not clearly monitor progress according to the objectives and indicators: these only appear in the Annual Plans.

Research Capacity Building and Training (Objective 1)

Selected Indicators:

Indicator 1 (# of Indonesian students receiving training/education at WSU). 3 PhD students continuing graduate interdisciplinary training on plant biotechnology/pathology/IP. Year 1 successful completion of required courses. On target. Gender Note: two of these three students are women.

Indicator 2 (# of students attending Institut Pertanian Bogor (IPB) for PhDs.

Indicator 3: (# of short term trainees for Year 2; From IPB, 2; From LIPI, 3 (all women).

Project Reports and Interviews. Based on the project reports and an interviews of coordinators and trainers, the participants gained relevant and valuable awareness and/or knowledge.

Finding 1: (# of Indonesian students receiving training/education at WSU). 3 PhD students continuing graduate interdisciplinary training on plant biotech/pathology/IP. Year I successful completion of required courses. On target. Gender Note: two of these three students are women.

Finding 2: (# of students attending Institut Pertanian Bogor-IPB): for PhDs, 4 students, all of whom are women. On target.

Finding 3: (# of short-term trainees for Year 2); From IPB, 2 (one woman) ; From LIPI, 3 (all women).

Conclusion: Research capacity building and training is ongoing and the respondents are enthusiastic about the value of the training taking place, short term and degree programs. The planned personnel are being trained at WSU, and at IPB, in topic areas that are seen as very relevant for their institutions and Indonesia. Active participation of women. WSU is also gaining experience and knowledge from this process re the objective stated for the US partner.

Build sustainable capacity to create shared networks (Objective 2)

Indicators: # of institutions involved in a shared network; perceived strength of network

Project Reports and Interviews:

Finding 1: The interviewed respondents have indicated that they are not only aware of the need to increase sustainability to create shared networks but are optimistic and confident that the sustainability of their work overall will be positive even as partnership funds end. They are actively exploring their options. LIPI, IPB and WSU are building a firm shared network capacity that is perceived as sustainable by the Indonesian partners. Synergy and complementarity among the Indonesian partners is evident.

Conclusion: overall the partnership is actively involved in building sustainable capacity to create shared networks, with complementary linkages among partners.

Link the coalition to existing extension networks involving universities and the Indonesia Ministry of Agriculture (Objective 3)

Indicator: # of linkages; perceived value and strength of such linkages.

Finding 1; Related to Objective 2 as well, the Coalition is actively working to provide linkages to existing extension networks. The coalition has established a strong linkage, based on personal working relationships, to the Ministry of Agriculture, and are working with other rice research institutions.

Project Reports and Interviews.

Finding 1: Interviews indicated that linkages are slowly developing and that the idea of “linkage” is seen as a key aspect of this project. The coalition already has linkages to the Ministry of Agriculture and that the Indonesian partner representatives are optimistic about expanding such linkages.

Conclusion: There appears to be a strong effort to link the basic coalition to existing extension networks and to build on current links to the Ministry of Agriculture, all supported by WSU. The key to the progress has been personal relationships among key players.

Engage the private sector in the coalition for effective technology commercialization (Objective 4)

Finding 1: Given the nature of the research in biotechnology, responses from interviewees indicated it is too early to expect commercialization of potential results.

Finding 2: “We have made a sincere effort to meet private companies in Indonesia.” (Dr. Prema Arasu, WSU).

Conclusion: The linkages to the private sector are only beginning to be established, due to both the relatively short duration of the partnership (3 years), and the nature of the research. Nevertheless the Indonesian partners are optimistic about the research and future commercialization. Note: Based on current progress, this may reflect an overly optimistic and ambitious design objective for a partnership of relatively short duration when contrasted to the time realities of biotechnology research.

Evaluation Question #2: Partnership Interventions and Practices

Washington State University’s Contributions to Implementation of the IPB/LIPI Partnership Interventions and Practices include:

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

Finding : WSU has contributed, as per the objectives and indicators, the planned training of personnel from IPB and LIPI, and in terms of equipment, one small but important machine (a PCR).

Conclusion: Contributions by WSU to the implementation of the IPB/LIPI partnership interventions are viewed as positive as trainees acquire new skills and techniques and training on use of lab equipment.

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

Finding : From the interviews, it is apparent that the interaction with WSU has assisted the Indonesian partnerships in terms of planning and reporting styles and techniques, including the necessity to do quarterly reports that lead to next steps. Coordination and collaboration overall have been very good among the partners and WSU is regarded with respect; good human relations and mutual sharing.

Conclusion: Washington State 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 Washington State University partner contacts provide valuable research insight and access to data for the IPB and LIPI faculty and students.

Evaluation Question #3: Unanticipated Partnership Results

Included is information on unanticipated partnership results and Washington State University's contributions to these results.

Unanticipated partnership results and Washington State university's contributions to these results

Unanticipated partnership results include:

- Finding The expansion of the horizons of learning for at least one individual beyond what was planned (positive).
- Finding: LIPI, and most Government ministries (excluding education) have been asked by the Government to make a 50 percent overall cut in their budgets (excluding salaries). The adjustments to the LIPI budget were being made as the evaluation team was conducting its interviews.

Evaluation Question #4: Lessons Learned From Partnership Sustainability

Included is information on lessons learned from the IPB, LIPI and WSU 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 : The most important problem to be solved is “linking.” (Dr. Satya Nugroho, LIPI)

Finding : “A driving force for us to collaborate is to publish.” (Satya Nugroho, LIPI).

Finding: “I feel that we tend to forget how much autonomy US university professors have. Most other countries, including Indonesia, do not have this autonomy.” Dr. Prema Arasu, WSU).

Finding: WSU (Dr. Prema Arasu) would have liked more funds for pre-proposal development work, “to bring people together to develop a pre-proposal including funds for 1 or 2 site visits; there could be a great return on this kind of investment.”

Finding: Financial approvals are often slower than expected; in the case of LIPI, all of their financial issues, re budget approvals for external relationships, must go through BPK (or the Office of Financial Inspection), a very slow process that delayed implementation,

Finding : A good partnership in this case is based on long-standing and close personal relationships among the different partners. This includes WSU, which has carefully nurtured relationships of its own staff based on their experience with other higher education institutions in the U.S.

Conclusions

Conclusion: Linking, sharing, and strong personal relationships that are nurtured and expanded are keys in this partnership. This partnership has been built well through such long-standing relationships.

Conclusion: Expect the unexpected in terms of lessons learned (such as major budget cuts).

Conclusion: The partners continue to learn their lessons and learn from each other.

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

- The commitment of the partners to their collaboration and the importance of complementarity in the partnership.
- Linking key individuals in the partnership institutions is important.
- The capacity building aspect of the partnership is a built-in strength.

Weaknesses

- Faculty and student exchanges have been excellent, although it is expensive for an Indonesian student to visit the US, much more so than for a U.S. faculty member or student to visit Indonesia.
- The budgeting process has been burdensome and very slow, with different fiscal years, different budgeting systems for all partners to understand, and fiscal standards.

Ratings

A simple ratings system, as described previously, was used to cross-check interviewee perceptions of strengths and weaknesses of partnership implementation. The range or rating scale was: 4=excellent, 3=very good, 2=average, and 1=poor.

Overall strength and weakness ratings by nine personnel both from IPB and LIPI (done independently) on selected Partnership practices ranged from very good to excellent with average ratings – 2.9.

Finding: The strength of the Partnership has been in the joint collaboration and coordination of the partners in the overall planning and implementation of the program. Overall, this is a partnership that is working well and accomplishing its objectives (private partners are being engaged but commercialization of potential biotechnology products was and is an overly optimistic objective). Positive and generally on target.

Finding: The weaknesses of the Partnership are minimal. The objective to work toward commercialization of biotechnology products is less a partnership weakness than a design weakness.

Finding: While overall this appears to be a positive partnership, it is somewhat difficult to accurately measure progress because indicators need to be more clearly spelled out from the beginning and then monitored in each quarterly report so that progress can be more accurately tracked. This has not happened so far and makes evaluation more difficult.

Recommendations

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

1. USAID should seriously consider a system that offers support to higher education institutions to undertake site visits and to develop person-to-person interactions in preparation for institutional collaboration. While not a new idea, and more expensive, it could be a good investment for high quality, higher education international partnerships. We understand that DIKTI may have funds available for such activities, which would strengthen both proposals and implementation of subsequent awards.
2. WSU and the partnership should as soon as possible prepare quarterly reports that monitor/track clearly demarcated objectives and indicators, preferably not only tracking inputs and outputs but also outcomes, initially stated in a PMP. Indicators should be of high quality and both USAID and the partners in this partnership, as well as future partners, would benefit from reviewing the literature on how to prepare such high quality indicators.
3. Future partnerships, and USAID, need to consider, and review more carefully, designs that promise tempting accomplishments (such as commercialization of biotechnology products) when the duration of a project is limited and the realities are long-term. This is a problem of “Double Vision” (contrasting long-and short-term visions) as well as facing realities.

III. PARTNERSHIP 10: ENHANCING BEHAVIOR CHANGE THROUGH CONSERVATION

Overview

On March 15, 2012, the University of Texas El Paso (UTEP) entered into a Cooperative Agreement with USAID to provide support for a program entitled “Enhancing Behavior Change Through Conservation Program. The sum of US\$997,313 was provided for this program. The completion date is March 31, 2015.

This partnership is congruent with USAID strategic *Development Objective 3: Global Development Priorities of Mutual Interest Advanced*, and specifically to *Sub-IR 3.2.3: Engagement in key conservation dialogues strengthened*.

The program has five stated goals:

1. Build *collaborative capacity* that is sustainable
2. Develop *technical capacity* that improves communicative, collaborative, and research efforts
3. Promote international inter-disciplinary and inter-institutional *research* that addresses conservation-related issues
4. Institutionalize innovative and effective *pedagogy*
5. *Improve conservation and development impact* through better designed campaigns in local communities.

The five objectives of the project that follow from the goals include:

1. *Collaborative Capacity Building*. To build sustainable international and cross-disciplinary collaborative Practice-Instruction-Research (PIR) teams that are composed of faculty, students and practitioners from partner institutions that focus on the transfer and application of knowledge to external stakeholders such as conservation organizations.
2. *Technical Capacity Building*. To expand the use of communication, informational and scientific technologies at Universitas Mulawarman to support collaborations among teams and other institutional members.
3. *Research*. To apply scientifically-based principles in the study of three focus areas and to study best practices in community conservation and development.
4. *Innovative Technology*. To design and implement practice-oriented and student-centered curriculum with Universitas Mulawarman through the development of case studies and problem-solving learning approaches as well as student-faculty exchanges between the U.S. and Indonesian partners.
5. *Conservation Campaigns*. To improve research techniques used to design, implement, and manage conservation strategies and campaigns in local communities and with women’s groups throughout Indonesia, in partnership with Rare.

The *primary outcome* of the project/partnership is that, by integrating faculty, student and practitioner perspectives on conservation issues in the three focus areas through cross-institutional teams, the efforts will provide a foundation for environmental, social and institutional change rooted in UTEP’s expertise in communication, and establish mutually beneficial networks and faculty-student exchange opportunities.

Partnership Overview

The partnership came about as the result of the involvement of and long-standing UTEP faculty interests in Indonesia and existing partnerships with UNMUL and Rare. UTEP began collaborating with Rare in 2008 to develop a Master of Arts degree that is now taught in Indonesia. Dr. Stacy Sowards, the Project Director, has worked in Indonesia for more than 15 years with universities, government agencies and NGOs.

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, and conduct of collaborative action research projects.

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.

Collaborative capacity building (objective/component 1)

Selected Indicators:

Indicator 1: PIR (Practice-Instruction-Research) teams organized.

Finding: Five teams organized to develop collaborative and networking capacities.

Indicator 2: Visits by PIR members to UTEP to attend conferences. At least 18 faculty and students from UTEP are to visit UNMUL each year.

Finding: First PIR team visited UTEP in December 2013 (approximately two week visit) and attended conferences. This team included a Rare conservation campaign manager. Report of visit submitted. (At least five students and 10 faculty members from UNMUL are to visit UTEP). The UNMUL team participated, at UTEP, in sessions on teaching and learning, graduate school programs and research presentations.

Indicator: Other related activities: modules to be developed.

Finding: Modules on report writing, study abroad opportunities, abstract writing, and active learning strategies were assigned and developed. (in Bahasa Indonesia). Module on proposal writing completed. Three web sites developed and combined into one site.

Project Reports and Interviews. Indicator targets are being met.

Finding : Participant interviews showed high degree of satisfaction with trainings and exchanges. Gender balance is very good.

Technical capacity building (objective/component 2)

Selected Indicators

Indicator: Proper use of equipment; scholarship database, successful completion of modules; increased online communication.

Finding: Computer lab built and completed. Delayed additional funding from another source has delayed purchase of computers.

Indicator: Implementation of phenology² cameras to observe plant life change.

Finding: UNMUL team members facilitated implementation of these cameras at appropriate sites. Target being met and fit well with the new USAID country strategy.

Project Reports and Interviews. The capacity building occurred through actual participation in action research projects; that is, ‘learning by doing.’ A workshop was given in January 2013 to about 70 UNMUL faculty on the use of Rapid Rural Appraisal techniques and the use of phenology cameras for time lapse photography.

Finding: The ratings indicated the respondents were satisfied with the capacity building activities.

Research (Objective/Component 3)

Indicator: At least 15 academic journal articles published by the PIR teams.

Finding: As far as can be determined, no such articles have been completed or accepted as yet. The reason for this, as determined from interviews, is because of the difficulty in preparing such articles, particularly in English, within the time limitations of the project.

Indicator: 15 conference papers to be presented.

Finding: Dr. Rayadin, while visiting the USA, gave presentations at the University of Wisconsin, National Science Foundation and the National Zoo in Washington, DC.

Note: Obtaining the appropriate Research Permits from the Indonesian government has been difficult for the US partner; working in Indonesia without such permits is seen as a serious legal problem.

Innovative Technology (Objective/Component 4)

Indicator: improvement of student-centered pedagogy. At least 10 teaching workshops are to be given at the UNMUL campus. Workshop was developed and organized by UTEP to be given at UNMUL. Online modules to be developed.

Finding: It was stated in a report that the new Dean did not effectively organize the participants for the workshop so this was planned to be given in January 2014. Exact details of why the workshop could not be effectively organized were not given but the administrative and management problems within the Department of Forestry at UNMUL seemed to be the basis of the delay. Interviews found that respondents were satisfied with previous workshops³ although this could not be cross-checked/verified by the evaluation team through post-workshop evaluation data or project reports. Online modules were developed to promote team-based learning, active learning and experiential learning.

² Phenology is the study of periodic plant and animal life cycle events and how these are influenced by variations in climate and habitual factors.

³ Examples of workshops include (1) the workshop given for UNMUL faculty in January 2013 on Rapid Rural Appraisal techniques and the use of phenology cameras, and (2) a conservation campaigns workshop hosted by UTEP and Rare in South Sulawesi, as described in the Quarter 6 report of the partnership (July 1-Sept 20, 2013).

Conservation Campaigns (Objective/Component 5)

Objective 5a: “Increased attitude and invoke behavior change in environmental conservation.” In Rare’s conservation campaigns. Written Theory of Change models with input from UNMUL, UTEP, RARE.

Findings: Campaign managers (from Rare) were provided with mini-grants to develop (conservation) campaign activities. Unclear as to status of Theory of Change models.

Objective 5b: Creation of development impact, focusing on external stakeholders (NGOs, local communities).

Indicator: agroforestry techniques training workshops for Rare, UNMUL, UTEP. Stakeholder meeting and socialization training workshops for Rare, NGOs, UNMUL, UTEP. Implementation of microcredit unions, energy gardens etc. Reports indicate that “community development, phenology and education teams are moving forward with projects.”

Project Management (Component Management)

Indicator: development of effective project management by focusing on communication structures for the PIR team leaders and participants.

Findings: Despite candid descriptions of the management situation at UNMUL, and some optimism, found in the partnership reports, the evaluation team observed (as of late May) that much remains to be done. Although partnership activities are proceeding, they are being seriously hampered by the continuing need for improvement in general and financial management, and low overall morale. One staff member has departed, and one key PIR team member (and an important link to UTEP) is due to resign his post on July 1 over these tensions although he will remain with the team. Financial management remains a contentious and serious issue with a series of miss-steps. This situation is unlike that seen in any of the other partnerships.⁴ Improved project management at UNMUL could also help it to facilitate the necessary research permits for the US partner, as noted above.

Conclusions

Conclusion: This is an “unhealthy” organization (the Department of Forestry at UNMUL) and it threatens to slow and complicate the overall partnership if solutions are not found immediately.

⁴ The situation as observed by the evaluation team when visiting UNMUL in early June was in a state of flux. This makes it difficult to give a complete up-to-date picture of its status now that this report has been drafted. It is known, however, that shortly after the conclusion of the in-country visits by the evaluation team, the Dean of the Department of Forestry at UNMUL was replaced. In addition, a visit by UTEP Project Director was scheduled just after the evaluation team had completed its work. The outcomes of this visit were not known to the evaluation team at the writing of this report.

Evaluation Question #2: Partnership Interventions and Practices

University of Texas El Paso Contributions to Implementation of the Partnership Interventions and Practices

Project Reports and Interviews.

Finding: In general UTEP has made serious efforts to engage faculty and students in interesting and useful educational activities, reflected in enthusiastic feedback from participants going to UTEP for the short visits. UTEP staff, including the Director, are respected for their knowledge of conservation and Indonesia.

Provision of equipment, especially time-lapse cameras, has been stimulating and opened new horizons for UNMUL faculty and students.

University of Texas El Paso Contributions to Other Partnership Practices such as Planning, Communication/Coordination, Implementation and Evaluation

Finding: Involvement of UNMUL, through the PIR teams, and to a lesser extent Rare, appears to be a positive influence in terms of participatory planning, implementation and evaluation. Communication and coordination have been difficult despite well-intended efforts.

Finding. The partnership appears to want to be a triangle of collaboration/partnership and instead has become, at least so far, two sets of relationships: (1) UTEP and UNMUL, and (2) UTEP and Rare. The latter organization feels, itself, ‘distant’ from UNMUL, both physically (one interviewee suggested that the physical distance between Rare, based in Bogor, and UNMUL was a hindrance) and in terms of a collaborative working relationship. Rare is a refreshing NGO with good ideas and strategies but despite efforts to bring them together with UNMUL, collaboration really has not yet happened.

Conclusion: The partnership is a work in progress, with many good aspects, but with implementation hampered by internal squabbling (UNMUL) and a “circle of collaboration” that needs further work.

Evaluation Question #3: Unanticipated Partnership Results

Unanticipated partnership results:

- The most widely perceived unanticipated partnership result is the depth of the management and financial management problems at UNMUL.

Conclusion: The various partnership documents, including reports, lay out challenges, opportunities and conclusions. The Indonesia-experienced UTEP partnership staff are certainly aware of the challenges, as well as the opportunities.

Evaluation Question #4: Lessons Learned from Partnership Sustainability

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

Lessons Learned that could Affect Sustainability

- Unanticipated results, such as internal management problems in one partner, can have a seriously negative influence on the whole partnership and the sustainability of its efforts.
- Short-term problems can have an effect on a partnership with long-term vision.

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

- Talented and creative personnel in all partners; people who want to learn from each other and promote good conservation practices.
- UTEP Director with long Indonesian experience, as well as other staff.
- The Performance Monitoring Plan is generally clear and helpful

Weaknesses

- Severe Internal management and financial management problems at UNMUL have overshadowed partnership development efforts.
- Improvements need to be made in the collaboration between UNMUL and Rare; lack of coordination and communication.
- Currently, morale in UNMUL is low.

Ratings

A simple ratings system, as described previously, was used to cross-check interviewee perceptions of strengths and weaknesses of partnership implementation. The range or rating scale was: 4=excellent, 3=very good, 2=average, and 1=poor.

The ratings on the partnership practices of planning, communication/coordination, implementation and monitoring and evaluation were 2.5. Ratings on the achievement of partnership objectives were average (rating = 2.0). The areas needing more work were communication and coordination (poor to average or rating = 1.8). Unanticipated outcomes were rated 2.7.

Recommendations

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

- I. A solution to the current impasse at UNMUL needs quick resolution before any more harm is done. One suggestion is that the Rector at UNMUL needs to take control of the situation if that is appropriate and workable. It may take diplomatic USAID intervention to bring key representatives of all parties together as soon as possible. As feasible, the financial management of the partnership should then be brought back to what are perceived as normal and legal 'pipelines' of funding distribution to one point at UNMUL.

2. It would be useful, not only for this partnership, but all partnerships, to have a US institution representative “on-the-ground” in Indonesia working collaboratively as a liaison person for the partnership.
3. Indicators need to be more carefully stated to include not only outputs but also outcomes, with clear links between the two types. This is particularly helpful in a partnership where long-term results are anticipated.
4. Given that obtaining the appropriate research permits by the US partner for work in Indonesia has been a difficult problem, and that working in the country without such permits is regarded as a serious offense, it is recommended that UNMUL, with new leadership in the Department of Forestry, help to facilitate the permits as quickly as possible.

IV. PARTNERSHIP I I: CLIMATE CHANGE MITIGATION CAPACITY PROGRAM (CCMCP)

Overview

On March 20, 2012, Columbia University entered into a three-year Cooperative Agreement, No. AID—497-A-12-00009, with USAID-Indonesia totaling US\$1,000,000 to provide support for a program entitled “Strengthening Indonesia’s Climate Change Mitigation Policy.” The initial completion date was March 31, 2015. The Agreement was later modified to change the Total Estimated USAID appropriation to \$1,999,642 and the Total Program Amount to \$2,855,861. The completion date was modified to December 31, 2015.

The partnership is congruent with Development Objective 3 of the USAID Strategy for Indonesia 2014-2018, *Global Development Priorities of Mutual Interest Advanced, and specifically IR 3.3 Climate Change Mitigation and Resilience to support a green economy*, and Development Objective *Collaborative Achievement in Science, Technology and Innovation Increased*, specifically Sub-IR 4.1.3 *Quality and opportunity in higher education improved*.

Working with the Research Center for Climate Change (RCCC) at the University of Indonesia, Columbia University has collaborated to design a program to accomplish three main goals:

1. Develop core strengths in UI for research, education, and application of Reduced Emissions from Deforestation and Forest Degradation (REDD) and other similar market mechanisms to reduce tropical forest conversions,
2. Strengthen the capacity of Indonesia’s private, public and civil society sectors to implement REDD and other similar market mechanism projects throughout the Indonesian archipelago, and
3. Build a strong applied science, economic, and policy platform in Indonesia to slow the rate of loss of its tropical forests and the biodiversity they host, and maintain the carbon they sequester. This is to be] done to improve the lives of all Indonesians and in particular those who traditionally live in or use tropical forests.

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

1. *Education and Research*: to develop a group of experts and conduct research to provide the evidence base to ensure the viability and long-term sustainability of such mechanisms [The partnership] will develop a new set of courses in areas of natural science, economics, social science, law and business that will serve to build capacity among a large number of students and researchers to work on reduced forest conversion market mechanisms. *Outcome: to develop and offer courses, certificate programs, collaborative research efforts, and preliminary implementation projects.*
2. *Training and Professional Development*: develop weekend workshops, week-long short courses and multi-week executive programs to meet the needs of policy makers, business men and women, and civil society practitioners. *Outcome: to develop and offer practically-oriented weekend workshops, weeklong short courses, and multi-week executive programs.*
3. *Societal Outreach*: develop a multi-tiered outreach program to reach Indonesians at different scales and in different ways. *Outcome: to develop different types of events to reach different audiences and make clear the importance of reduced forest conversion, the*

use of market mechanisms in motivating forest conservation, and the value of forests to promoting the health and economic well-being of Indonesians.

Partnership – History and Development

The partnership consists of the Research Center for Climate Change (RCCC) at the University of Indonesia and the Center for Environment, Economy and Society (CEES) at Columbia University. The goals and objectives are built on a 25-year history of collaboration and personal relationships between CEES/CU Director, Dr. Don Melnick, and RCCC/UI Director, Dr. Jatna Supriatna.

Evaluation Question #1: Partnership Objectives Achieved

Included is information on the achievement of the partnership objectives related to participant knowledge and skills resulting from short courses and Certificate Training programs, and information provided by staff and faculty involved in the development of curricula for a Master's of Science program on Climate Change.

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, and Indonesian interviews. Objectives and indicators clearly outlined in the Performance Monitoring Plan.

Education and Research (Objective/Outcome 1)

Indicator: Number of Curricula, number of courses fulfilling curriculum requirement

Finding: Curricula and syllabi developed. Eight Certificate Courses on Climate Change: Master's of Science program: curriculum developed. Program/courses to be delivered next year. Targets being met.

Indicator: Number of students registered.

Finding: 20 persons received certificates for this training so far. Fulfilled.

Indicator: number of faculty contracted.

Finding: Eight lead faculty (six males, two females) were contracted and trained, to deliver courses. This also applied in Year 2. Teaching faculty in Year 1 were 30 males and seven females, including lead faculty. In Year Two teaching faculty included 24 males, six females, including lead faculty. Targets being met.

Indicator: number of courses completed by each student.

Finding: Nine students have completed all eight courses (In Year One there were four males, five females). In Year Two there were 11 students (six male, five female).

Indicator: Number of academic course syllabi reviewed, modified, and created from scratch.

Finding: 20-25 syllabi reviewed, four were modified, three were totally new.

Indicator: Number of faculty-independent expert pairings completed.

Finding: six of these were started; only three or four 'stuck.'

Indicator: Topic areas identified

Finding: current status, about a dozen topics identified; this was a longer process that

anticipated.

Indicator: scheduled and completed faculty-international expert interactions.

Finding: unclear. Professional links need to be built electronically and otherwise.

Indicator: Number of workshops, courses and executive programs planned and developed.

Finding: one short course, two planned short courses, a Public Communication Workshop after Ramadan this year, plus a Carbon Footprint Initiative (an UI initiative) involving websites, film festival. Planned for October this year.

Indicator: Number of professional training course syllabi reviewed, modified, and created from scratch.

Finding: approximately 10 training course syllabi.

Indicator: number of participants targeted; number of events or actions programmed and completed; diversity of participants targeted.

Finding: At US Embassy tech venue, relevant (partnership-related) participants did a small event for 60 people. "Expanding the lists of people is something we have yet to work out" Diversity of participants not yet analyzed.

Indicator: Number of translation reviews by bi-lingual experts in each discipline addressed by the RFS.

Finding: The Rain Forest Standard (RFS) was translated into Bahasa Indonesia. Four reviews.

Indicator: Number of CMA meetings and workshops to create a Best Practices Management Plan.

Finding: Not identified in interviews.

Indicator: Number of RFS training hours.

Finding: Four days (25 hours).

Indicator: Number of complete and incomplete Final Project Submission Documents.

Finding: These are final documents. To be done later.

Indicator: Number of Project Proponent Experts retained.(hired).

Finding: This relates to extension projects; no information available at this time.

Project Reports and Interviews. Based on evaluation results.

Training and Professional Development (Objective/Outcome 2)

Indicator: Development and delivery of short courses for executives.

Finding: 20 students participated in a short course (1-2 days; over a weekend). Considered a success story by the partnership staff, the short course was delivered in May 2014 in Jogjakarta. Of the 20 attendees, 11 were male, nine were female . There were four instructors (three male, one female).

Societal Outreach (Objective/Outcome 2)

Indicator: Number of participants targeted; number of events or actions programmed and completed; diversity of participants.

Finding: 6 outreach events planned. Not yet launched.

Conclusion: Outcome still to be determined.

Evaluation Question #2: Partnership Interventions and Practices

Included is information on Columbia University's contributions to the 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.

Columbia University Contributions to Implementation of the Partnership Interventions and Practices

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

Columbia University has played a major role as follows:

- Developing and delivering, in collaboration with the Research Center for Climate Change at the University of Indonesia, university level Certificate programs at the University of Indonesia.
- Developing the curriculum for a Master's program on Climate Change in collaboration with the Research Center for Climate Change (RCCC) of the University of Indonesia.
- Developing and delivering short courses for Executive Programs in collaboration with the University of Indonesia's Research Center for Climate Change. (RCCC)
- Bringing the Rain Forest Standard (RFS) concept to the University of Indonesia to strengthen Indonesia's climate mitigation capacity in the long term.

Columbia University's Contributions to Other Partnership Practices Such as Planning, Communication/ Coordination, Implementation and Evaluation

- Through collaboration with the University of Indonesia, modeling good practices in inter-institutional planning, communication and coordination, implementation and evaluation practices, including the use of detailed Performance Monitoring Plans. Reporting based on the PMPs is detailed and useful.
- An 'on the ground' liaison person representing Columbia University at the University of Indonesia and serving as an important conduit for the efficient flow of information between the two institutions.

Conclusions

Conclusion: This partnership appears to be meeting almost all its programmatic targets to date and operates smoothly with a high level of collaboration, dedication and mutual respect among UI staff and with Columbia University. In the process it continues to slowly build capacity at UI

to be at the forefront of climate change mitigation policies and the potential use of the Rain Forest Standard in the long term.

Evaluation Question #3: Unanticipated Partnership Results

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

- Unanticipated difficulties in implementing Objective 4 of the partnership; implementation of a Demonstration Project in Bali Barat National Park. The park was, belatedly, discovered to not be an appropriate location for the testing to be conducted. The result is that this initiative is currently at an impasse as solutions are sought.

Conclusion: This challenge is separate from the otherwise successful programmatic efforts that appear to be taking place in this partnership. Many middle level partnership staff are not even aware of the issues surrounding this higher-level problem.

Evaluation Question #4: Lessons Learned From Partnership Sustainability

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

Lessons Learned that could Affect Sustainability

Finding: Even though there is good collaboration between the US and Indonesian institutions, it is still more difficult to get things done on the Indonesian side because each professor gets a contract. It has also been expressed that “herding professors (into doing something) is like herding cats.”

Finding: There is no easy way to tap into Marketing and Public Relations in Indonesia for this type of program. (In the US one could simply buy relevant name lists; it is much more difficult to do this in Indonesia). Lists have to be painstakingly built. *Finding:* There must be a good understanding of what people want.

Finding: Columbia University is not recognized, in terms of cachet, as much as anticipated.

Finding: Having an on-the-ground liaison representative from the US institution (Columbia University) has proven to be an effective mechanism to facilitate information between the partners and to get things done; it could be a model for other partnerships.

Finding: There is a concern that the Certificate Training programs may be too long (approximately three months) and they will not “sell” because it takes people away from their jobs for too long. Consideration is being given to cutting the Certificate training into smaller parts to mitigate the perceived problem. On the other hand, one participant in a short course felt the course was too short.

Finding: while it is too early to know, it has been expressed that the Master’s of Science degree program may be hard to “sell” because of its perceived narrow focus on climate change.

Finding: In terms of marketing there remains the challenge (not a new challenge) of some NGOs who might be interested in the partnership programs, declining to be involved once they learn that it is supported by USAID.

Conclusions:

Conclusion: This is a long-term process (building the program) and while this seems to be basically understood, the partnership program, even with its current one year extension (for a total of four years) is a short-term set of activities. The Master's Degree program has not yet been implemented. There is optimism that the process can be sustained once USAID funding concludes.

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

- High degree of quality collaboration and dedication.
- On the ground liaison representative of the US partner institution.
- The partnership is built on long-standing personal relationships between key players.
- Communication and coordination is very good.
- Monitoring is facilitated by a comprehensive Performance Monitoring Plan (PMP).
- Perceived equality of the partner institutions.

Weaknesses

- The financing mechanism, as for all the partnerships, is highly bureaucratic and time consuming.
- Marketing is a slow process for activities of this type.
- Indicators of partnership progress and success are mostly basic outputs, with the need to tie these more closely to outcomes and impact.
- “This university is not yet ready to receive grants from an international organization.” On the other hand one needs endurance and persistence to deal with and work with the university level systems.

Ratings

A simple ratings system, as described previously, was used to cross-check interviewee perceptions of strengths and weaknesses of partnership implementation. The range or rating scale was: 4=excellent, 3=very good, 2=average, and 1=poor

The ratings on the partnership practices of planning, communication/coordination, and implementation were 2.6 and that of monitoring and evaluation 2.3. The ratings on the Partnership outcomes of achievement of objectives, production and dissemination, and unanticipated outcomes were 2.4 and that of sustainability was 2.8.

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, priorities should be focused on the recommendations.

1. The Certificate Training courses should, as noted by some of the interviewees, be cut into more time-manageable portions in which trainees are not taken away from their jobs for too long.
2. Having an on-the-ground liaison representative of the US institution is an effective way to facilitate a university partnership.
3. Indicators should be reviewed with the purpose of providing better links of outputs to outcomes. The *quality* of indicators in this and other partnerships should be reviewed.
4. USAID should seriously consider providing workshops to university partners (US and Indonesian) on understanding (1) financial arrangements from the USAID perspective, as well as (2) the complexities of cooperative agreements and contracts. This could be an investment in the effectiveness of university partnerships.
5. The issue of the Bali Barat Demonstration project should be dealt with as quickly as possible. One solution has been proposed and USAID might assist in this process by facilitating a meeting among the key players that would seek to resolve the situation. While it can be considered separately from the other programmatic areas of the partnership, it also is at the heart of Objective 4 of the whole partnership plan.

V. RECOMMENDATIONS ACROSS THE THREE PARTNERSHIPS

These overall recommendations are based on the findings and conclusions of the individual UP reports presented in the earlier sections and include several recommendations made in previous partnership evaluations.

1. *Liaison representatives* of US institutions should be stationed on-the-ground working with the Indonesian partners to more effectively facilitate communication and coordination among all partnerships;
2. *‘Champions’ to understand and advocate for supportive policy.* Those UP institutions with active advisory groups can begin now to identify and facilitate such champions;
3. *Realistic Expectations.* By design, (in proposals) partnerships must build on objectives and activities that are feasible/possible with time frame limitations;
4. *Continued funding to further achieve individual and institutional sustainability.* While each of the three projects has expressed optimism that they could carry on to some degree when current funding stops, none of the partnerships are at the level where they are truly sustainable without additional funding. The projects were overly ambitious in their objectives (a design and review flaw) considering the three-year time frame. All of the Partnerships are dealing with important Indonesian priorities but need additional ‘bridging’ funding, depending on performance in their final year, and/or other funding for another one-two years to implement their interventions and strengthen their organizations. Sustainability takes time and the projects are only now at the stage of strategizing on how to further operationalize and institutionalize their interventions
5. *Rethink Horizons for funding partnerships in science and technology research.* It should be thoroughly understood by funding agencies, potential partners, governments and other stakeholders that such research is often a long-term proposition lasting far beyond short-term projects (only 3 years in the case of the current partnerships) and needs *special* planning.

Future and current thinking should be immediately adjusted in conceptualizing and implementing science and technology partnerships that may be just one stage in a longer *series* of research initiatives, with planning included for future sustainability through which (i) USAID assesses the possibility of strategic *complementarity funding* among the current University Partnerships. Alternative funding sources need to be explored as partnerships are developed, and/or (ii) link a planned partnership to larger global research initiatives (and in the process alternative funding sources). The horizons of partnerships should be widened to reflect the realities of science and technology research, and further funding strategies should be explored;

6. *Financial Management Orientation* for key representatives of *all* partners by USAID, as each partnership begins, and then coaching and refresher updates. The partnerships would also benefit from e-learning provided on the USAID website: (i) USAID Administrative Compliance Requirements, and (ii) USAID financial Management of USAID Awards;

7. *Funding for Project Planning.* USAID should encourage potential partners to seek funding, e.g., from DIKTI, to arrange site visits and develop person-to-person collaborations for more effective partnership proposals and/or should encourage potential partners to incorporate in their proposals post-award planning trips to refine project design as part of development of their workplans.
8. *Shared University Partnership Lists.* There is perceived utility in university partnerships sharing name lists for Marketing and Public Relations purposes. USAID, having funded 11 such partnerships, could facilitate the sharing of this partnership network of key names;
9. *Strengthen Partner 'work force' linkage opportunities and leadership 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. This recommendation reflects the active role of women in the partnerships under review here.
10. *Quality indicators.* All current and future partnerships should prepare indicators that meet the criteria for high quality indicators as outlined not only by USAID but by other international agencies and institutions. The Performance Monitoring Plans of partner, and potential partner institutions should state and more clearly show the linkages between the usual list of inputs and outputs and the more important outcomes;
11. *A Facilitating Role.* USAID should consider playing a more active role when necessary in facilitating dialogue and possible solutions among partners when management and financial arrangements within partnerships fall apart. Proactively USAID could also assist smooth transitions and implementation among university partners by providing short workshops on planning, reporting, financial management and understanding the complexities of cooperative agreements and contracts as the partnerships begin or before they begin.

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 three University Partnerships:

1. *Smart Strategic Coalition for Sustainable Agricultural and Economic Development in Indonesia- 3/16/2012-3/31/2015:*
 - Washington State University, Institut Pertanian Bogor (IPB) and Indonesian Institute of Sciences (LIPI), Bogor.
2. *Enhancing Behavior Change through Conservation – 03/15/2012 – 03/31/2015:*
 - University of Texas El Paso (UTEP), Universitas Mulawarman, and Rare.
3. *Climate Change Mitigation Capacity Program – 03/22/2012 – 03/31/2015.:*
 - Columbia University and University of Indonesia

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.	
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	
The Evaluation Team meets with Indonesian university partners and other relevant stakeholders; conducts site visits and interviews; collects partnership data and documents partnership results	
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.	
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.	

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:

1. 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?
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 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?
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 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 9, 10, and 11, 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 three UP partnerships:

1. *Smart Strategic Coalition for Sustainable Agricultural and Economic Development in Indonesia*. Washington State University, Institut Pertanian Bogor, and Indonesian Institute of Sciences (LIPI, Bogor).
2. *Enhancing Behavior Change through Conservation*. University of Texas El Paso, Universitas Mulawarman, and Rare.
3. *Climate Change Mitigation Capacity Program*. Columbia University and University of Indonesia.

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 KII's. 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

Although, in comparison to the previous evaluation, there is not as much in-country travel, the schedule is complicated and fore-shortened during the second week. During this week there are two Indonesian holidays: Tuesday, May 27 (Isra M'iraj) and Thursday, May 29 (Ascension of Jesus). This limits the scheduling of appointments/interviews during that week, especially if potential interviewees take the intervening day (Wednesday, May 28) as a non-working day as well. It should be noted that Monday, May 26 is the American holiday, Memorial Day. The impact of these holidays is somewhat mitigated by planning to be based in Bogor, where the greatest number of intended respondents were sited, during that second week.

An additional consideration is the inclusion in the schedule of a Workshop for all University Partners on Wednesday, June 11 and Thursday June 12. The evaluation team is requested to make a presentation to the workshop participants about their recent findings on one of those two days. This is seen as an excellent opportunity for sharing and the Team is aware and appreciative that scheduling adjustments have had to be made to incorporate their participation. It does, however, further shorten the amount of time for the evaluation research and analysis.

PROJECT TIME FRAME

The project field work (reflecting Dr. Tate’s days of arrival and departure from Indonesia) is scheduled from May 20 through June 14, 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 on Thursday, May 22. A final debriefing and sharing of preliminary field work findings is anticipated to take place at USAID/Indonesia during the final week of in-country work. 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.I WORK PLAN ROUND 4. EVALUATION OF US-INDONESIA UNIVERSITY PARTNERSHIPS 9-11

WORKPLAN																																									
			May 2014															June 2014																							
			Week 1					Week 2					Week 3					Week 4					Week 5																		
			Mon	-	Sat	Sun	Mon	-	Tue	Sun	Mon	Tue	Wed	Thu	Fri	Sat	Sun	Mon	Tue	Wed	Thu	Fri	Sat	Sun	Mon	Tue	Wed	Thu	Fri	Sat	Sun	Mon	Tue	Wed	Thu	Fri	Sat	Sun			
No.	TASKS AND ACTIVITIES	Location	5	-	17	18	5-		to	-	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15-	2
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 Preparation of Draft Workplan+Itinerary	USA; Indonesia																																							
6	Travel USA - Jakarta	Travel																																							
7	Arrange the schedules and logistics for visits and interviews:	Jakarta																																							
	Partnership #9 - Smart Strategic Coalition for Sustainable Agricultural and Economic Development in Indonesia. Intitut Pertanian Bogor+ Institute of Sciences, Bogor	Bogor																																							
	Partnership #10 Enhancing Behavior Change through Conservation. Universitas Mulawarman+Rare (Samarinda) +University of Texas El Paso	Samarinda																																							
	Partnership #11 Climate Change Mitigation Capacity Program University of Indonesia (Jakarta) +Columbia University	Jakarta																																							

[illegible]

[illegible]

[illegible]

* The Final Debriefing meeting, although planned, was canceled by USAID on the day of the meeting, given the length and thoroughness of the "No Surprises" meeting.

ANNEX B.2 ITINERARY ROUND 4. EVALUATION OF US-INDONESIA UNIVERSITY PARTNERSHIPS 9-11

No	Date	Time	Traveling	University /Institution
1	Tuesday May 20	8:15am	Tate Arrives from U.S. Arrives Jakarta	TATE TRAVEL
2	Wednesday May 21	9:30 AM	JAKARTA	First Team Meeting and Welcome. Sultan Hotel, Conference Room Executive Tower. Planning, Logistics.
3	Thursday May 22	9:00 AM		In-brief with evaluation team (EDU staff and AORs).USAID Initial Briefing Meeting with USAID Staff and others. Gedung Sarana Jaya Jl. Budi Kemuliaan I/I, Jakarta, Jalu N Cahyanto, 021-3435 9538; Rizki Atina, Tel: 62-21-3435 9836, cell: 62-811-1588824 and other Education Team staff
		9:45 AM		Donald Tambuna, AOR, Part. 9, Smart Strategic Coalition for Sustainable Agricultural and Economic Development, WVSU, IPB, LIPI, and past AOR, Part. 10, Enhancing Behavior Change through Conservation, UTEP, Universitas Mulawarman, Rare.
		10:30 AM		Donald (UTEP) and Pak Toni Djogo (ex AOR) will join too.
4	Friday, May 23	13.00 9:00am	JAKARTA	Team Meeting 2. Continued site visit planning, logistics, Interview Guide Review and prep. Team Meeting Sultan Hotel Conference Room, Executive Tower. Continued Preparations
5	Saturday, May 24	8:00am	JAKARTA	Sultan Hotel Site Visit Planning, Continued Interview Guide Review, Logistics and Planning
6	Sunday, May 25	11:00am	TRAVEL DAY Jakarta to Bogor (2 hours by hired car)	Travel by Car to Bogor. Settle at Novotel Hotel. Address: Golf Estate Bogor Raya, Bogor, Jawa Barat 16710 Phone:(0251) 8271555. Team Meeting
7	Monday, May 26 U.S. holiday -		BOGOR	<u>Smart Strategic Coalition for Sustainable Agricultural and Economic Development.</u> Institut Pertanian Bogor(IPB) + Indonesian Institute of Sciences (LIPI). Washington State U Partnership #9 Interviews

No	Date	Time	Traveling	University /Institution
	Memorial Day			
8	Tuesday May 27 National Holiday Isra l'raj		BOGOR	Analysis, Writing, Planning
9	Wednesday May 28		BOGOR	Smart Strategic Coalition for Sustainable Agricultural and Economic Development. Institut Pertanian Bogor(IPB) + Indonesian Institute of Sciences (LIPI). Washington State U Partnership #9 Interviews
10	Thursday May 29 National Holiday Ascension of Jesus		BOGOR	Analysis, Planning, Writing
11	Friday, May 30		BOGOR	RARE Indonesia-University of Texas El Paso (UTEP) Partnership #10 Interviews+Travel-Return to Jakarta
12	Saturday, May 31		BOGOR Morning Meetings	Analysis, Planning, Writing
13	Sunday, June 1		TRAVEL DAY From JKT Airport. Fly to Balikpapan	Fly to Balikpapan, then by hired car to Samarinda (2 hours). Stay at Bumi Senyur Hotel, Jln, Pangeran Diponegoro, Samarinda, Kalimantan Timur 75111 Phone: (0541) 741443
14	Monday June 2		SAMARINDA	Enhancing Behavior Change through Conservation. Universitas Mulawarman-RARE INDONESIA-University of Texas El Paso (UTEP) Partnership #10. Interviews
15	Tuesday June 3		SAMARINDA	Enhancing Behavior Change through Conservation. Universitas Mulawarman-RARE INDONESIA-University of Texas El Paso (UTEP) Partnership #10 Interviews. Site visit Bukit Bangkirai. Back to Balikpapan. Stay at Grand Senyur. Jl.ARS Mohammad No.7, Phone. 0542 – 820211
16	Wednesday June 4		TRAVEL DAY From Balikpapan to Jakarta	
17	Thursday, June 5		JAKARTA	Climate Change Mitigation Capacity Program University of Indonesia+Columbia University. Partnership #11 Interviews + Report Writing

No	Date	Time	Traveling	University /Institution
18	Friday June 6		JAKARTA	Climate Change Mitigation Capacity Program University of Indonesia+Columbia University. Partnership #11. Interviews Report Writing
19	Saturday June 7		JAKARTA	Report Writing
20	Sunday June 8		JAKARTA	Report Writing. Preparation for Meetings-Presentations
21	Monday June 9		JAKARTA	Report Writing. Preparation for Meetings-Presentations at Workshop and USAID. Submission of First draft Report
22	Tuesday June 10		JAKARTA	Suggested USAID "No Surprises" Meeting at USAID. Report Preparations-Revisions
23	Wednesday June 11		JAKARTA	Report Writing and Revisions. Follow-up meetings
24	Thursday June 12	2:45 PM	JAKARTA	Report Writing and Revisions University Partnership Workshop Day 1: Team Presentation of Phase 4 Evaluation Findings. 2:45-3:30pm.
				UP Partnerships Workshop. Sari Pan Pacific Hotel Jakarta. Team presentation on effectiveness, sustainability.
25	Friday, June 13		JAKARTA	Revision of Draft Report, based on inputs from the No Surprises Meeting and the Workshop.
26	Saturday June 14.	Morning	Tate Departs Jakarta for USA	TATE TRAVEL

ANNEX C – LIST OF INTERVIEWEES

University Partnership Evaluation 9

“Smart Strategic Coalition for Sustainable Agricultural and Economic Development (SSCSAEDI)”.

Washington State University, Institute Pertanian Bogor (IPB) and Indonesian Institute of Sciences (LIPI)

May 26- 28, 2014.

NO	NAME	F/M	TITLE/FUNCTION	PARTNERSHIP /INSTITUTION	EMAIL	CELLPHONE/OFFICE PHONE NUMBER
<i>Session #1 – May 26, 2014.</i>			<i>Category: Program Management</i>			
1	Aunu Rauf	M	Executive Director	Department of Plant Protection, IPB	aunu@indo.net.id	0813 1603 5038
2	Sri Hendrasti Hidayat	F	Committee member of PhD student	Department of Plant Protection, IPB	srihendrastutihidayat@gmail.com	0812 1110 330
3	Sobir	M	Committee member of PhD student	Department of Plant Protection, IPB	rsobir@yahoo.com	0812 8097 381
4	Tri Asmira Damayanti	F	Committee member of PhD student	Department of Plant Protection, IPB	triasmiradamayanti@gmail.com	0813 1527 6288
5	Ali Nurmansyah	M	Phd faculty member	Department of Plant Protection, IPB	nurmansyahali@gmail.com	0813 8484 79901
6	Sulassih	F	Research Center	Department of Plant Protection, IPB	achie_lassih@yahoo.com	0821 1480 3433
7	Ruth Martha Winnie	F	PhD Student	Department of Plant Protection, IPB	Ruth_martha_w@yahoo.com	0818 0490 9887

NO	NAME	F/M	TITLE/FUNCTION	PARTNERSHIP /INSTITUTION	EMAIL	CELLPHONE/OFFICE PHONE NUMBER
8	Utut Suharsono	F	Committee member of PhD students	Department of Plant Protection, IPB	ututsuharsono2002@yahoo.com	0812 9413 356
9	Nurul Fitriah	F	PhD Student	Department of Plant Protection, IPB	nurulfitriah2@gmail.com	0813 4752 7827
<i>Session #2 – May 28, 2014.</i>			<i>Category: Indonesian Institute of Sciences (LIPI)</i>			
10	Satya Nugraha	M	Program Coordinator	Indonesian Institute of Sciences (LIPI)	nugraha_satya@yahoo.com	0815 8412 5240
11	Enung Sri M	F	Activity member	Indonesian Institute of Sciences (LIPI)	enungf@yahoo.com	0812 5089 999
12	Amy Estiati	F	Activity member	Indonesian Institute of Sciences (LIPI)	nugroho_amy@yahoo.com	0813 1144 7375
<i>Session #3 – May 28, 2014.</i>			<i>Category: Ministry of Agriculture</i>			
13	Suwarno	M	Plant Breeder	Indonesian Center for Rice Research (ICRR)	pakwarno@gmail.com	0816 1161 166
SKYPE CALL:						
Dr Prema Arasu (Partnership 9)			Vice Provost, International Programs	Washington State University	prema.arasu@wsu.edu	509-335-2543

University Partnership Evaluation 10

*“Enhancing Behavior Change through Conservation (EBCC)”**RARE Indonesia – University of Texas El Paso (UTEP), University of Mulawarman**May 30 – June 03, 2014.*

NO	NAME	F/M	TITLE/FUNCTION	PARTNERSHIP /INSTITUTION	EMAIL	CELLPHONE/ OFFICE PHONE NUMBER
<i>Session #1 – May 30, 2014.</i>			<i>Category: Program Management</i>			
1	Hari Kushardanto	M	Program Director	RARE Indonesia	hkusdhardanto@rare.org	0812 2013 806
2	Galuh Sekar Arum	F	Partnership & Alumni Associate	RARE Indonesia	garum@rare.org	0812 8127 5489
3	Nanda Dwanasuci	F	Training Associate	RARE Indonesia	ndwanasuci@rare.org	0815 8369 211
<i>Session #1 – June 02, 2014.</i>			<i>Category: Program Management</i>			
4	Yosep Ruslim	M	PDI Forestry Faculty	Mulawarman University	yruslim@gmail.com	0813 5037 1028
5	Emina Nursita	F	Secretary Study Program. Forestry Faculty	Mulawarman University	enursita@yahoo.co.id	0812 58165915
6	M.Syafrudin	M	Head of Study Program of Forestry Faculty	Mulawarman University	muhammadsyafrudin71@yahoo.co.id	0813 4648 2462
7	Abubakar	M	Dean of Forestry Faculty	Mulawarman University		
8	Yaya Rayadin	M	Team PIR/Cooperative Team	Mulawarman University	yrayadin@yahoo.com	0813 4763 9693

NO	NAME	F/M	TITLE/FUNCTION	PARTNERSHIP /INSTITUTION	EMAIL	CELLPHONE/ OFFICE PHONE NUMBER
9	M.A.Sardjono	M	Team PIR/Principle Investigator	Mulawarman University	masardjono@yahoo.com	0811 5512 66
10	Irawan W.Kusuma	M	Team PIR/Forest Product Team	Mulawarman University	kusuma_iw@yahoo.com	0813 4753 8101
11	Emi Purwanti	F	Team PIR/Environment Education	Mulawarman University	emi.purwanti@gmail.com	0812 5339 439
12	Rudianto Amirta	M	Team PIR/Forest Product	Mulawarman University	r_amirta@yahoo.com	0813 4774 7651
13	Setiawati	F	Team PIR/Soc.Forestry	Mulawarman University	tia_setiawanti@yahoo.com	0812 5539 138
14	Sutedjo	M	Team PIR/Forest Ecology	Mulawarman University	pabtedjo@gmail.com	0812 5302 0541
Session #1 – June 03, 2014.			Category: Program Management			
15	Legowo	M	Untag'45 Samarinda	Mulawarman University	legowo68@gmail.com	0811 5804 083
16	Ismail	M	Dean UNTAG '45 Samarinda	UNTAG 45 Samarinda	Mail.alumniS2UNMUL	0812 5322 086
SKYPE Call						
Dr Stacey K. Sowards (Partnership 10)			Department Chair, Department of Communications	University of Texas El Paso	ssowards@utep.edu	915-747-8854

University Partnership Evaluation I I

*“Climate Change Mitigation Capacity Program (CCMCP)**University of Columbia – University of Indonesia – Sustainable Management Groups**June 05 - 06, 2014.*

NO	NAME	F/M	TITLE/FUNCTION	PARTNERSHIP /INSTITUTION	EMAIL	CELLPHONE/OFF ICE PHONE NUMBER
<i>Session #1 – June 05, 2014.</i>			<i>Category: Program Management</i>			
1	Jatna Supriatna	M	Chairman	Research Center for Climate Change Indonesia University	j.supriatna@rccc.ui.ac.id	0811 154 243
2	Asri Adyati Dwiyaeheni	F	Research Scientist/Project Manager	Research Center for Climate Change Indonesia University	asri.dwiyaeheni@rccc.ui.ac.id	0811 937 372
3	Dimas H. Pradana	M	Lecturer	Indonesia University	d.h.pradana@ui.ac.id	0811 889 001
4	Nurul L. Winarni	F	Research Scientist	Indonesia University	nwinarni@gmail.com	0812 1033 716
5	Lydia Napitupulu	F	Consultant/FEUI Lecturer	Indonesia University	lnapitupulu@hotmail.com	0812 8427 385
6	Stefanus Tokan	M	Certificate Trainee	JPIE MRC Indonesia	stefatokan@yahoo.com	0852 1315 1992

NO	NAME	F/M	TITLE/FUNCTION	PARTNERSHIP /INSTITUTION	EMAIL	CELLPHONE/OFFICE PHONE NUMBER
7	Rebecca Johnson	F	Program Manager	CEESCO	rj136@columbia.ed	0811 1195 937
8	Evi Indraswati	F	TFCA – TNB BS Program Coordinator	PIT Green Network	ikiepoy@gmail.com	0812 8004 6001
9	Diny Hartiningtias	F	Junior Research	RCCC UI	d.hartiningtias@rccc.ui.ac.id	0898 9163 627
10	Badzlina Amalia	F	Junior Research	RCCC UI	badzbunny190790@gmail.com	0856 9279 5360
11	Irma Susilawati	F	Marcomm	RCCC UI	irma@dana.web.id	0818 750 499
12	Asep Saefumillah	M	Coordinator Development Master Program Management Climate Change	RCCC UI	asep.saefumillah@gmail.com	0813 8460 5343
13	Leny Veronika	F	Short Course Trainee	Canadian RC	lenyveronika@yahoo.co.id	0813 2810 1006
<i>Session 1 – June 06, 2014.</i>			<i>Category: SMG Program Management</i>			
14	David Makes		Chairman	Sustainable Management Group (SMG)	David.makes@sustainablemanagement.co.id	(62-21) 29380200

NO	NAME	F/M	TITLE/FUNCTION	PARTNERSHIP /INSTITUTION	EMAIL	CELLPHONE/OFFICE PHONE NUMBER
15	Yulianus Sunarto		Executive Director	Sustainable Management Group (SMG)	Yulianus.sunarto@sustainablemanagement.co.id	(62-21) 29380200
16	Lili Indarti		Personal Assistant to the President	Sustainable Management Group (SMG)	Lili.indarti@sustainablemanagement.co.id	(62-21) 29380200
SKYPE Call						
Dr. Don Melnick			Director, Center for Environment, Economy and Society	Columbia University	djm7@columbia.edu	212 854-8186

ANNEX D. DATA COLLECTION INSTRUMENTS

ANNEX D.1 PARTNERSHIP 9: BOGOR PARTNERSHIP INTERVIEW GUIDE

Smart Strategic Coalition for Sustainable Agricultural and Economic Development (SSCSAEDI)*
(Washington State University, Institute Pertanian Bogor (IPB) and Indonesian Institute of Sciences)

(May-June 2014)

DATE:

PARTNER ORGANIZATION:

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 Smart Strategic Coalition for Sustainable Agricultural and Economic Development (SSCSAEDI) partnership funded by USAID through its University Partnerships (UP) program.
- USAID has contracted with IBTCI (International Business & Technical Consultants, Inc.) to evaluate each of this program's U.S.-Indonesia university research partnerships toward the end of its three-year USAID award. Since the partnership ends soon, we are evaluating it now.
- USAID is interested in learning from the 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.

**Note to Interviewer: The acronym "SSCSAEDI" is only used in this Interview Guide to reduce the length of interview questions.*

GENERAL

- I. What was your personal role in planning and implementing the *Smart Strategic Coalition for Sustainable Agricultural and Economic Development in Indonesia (SSCSAEDI)* partnership?

SSCSAED PARTNERSHIP – OBJECTIVES ACHIEVED (Evaluation Question 1)

2. In what ways has the achievement of the four stated partnership objectives improved university and local authorities/stakeholder's knowledge and skills? Give specific examples . (Interviewer Note: It would be helpful and enhance discussion to provide the interviewees with a copy of the project objectives and outcomes for their reference before/while interviewing.)

- Strengthen capacity for the efficient use of modern plant biotechnologies methodologies for rapid improvement of high value crops.
- Build sustainable capacity to create shared networks for knowledge and personnel exchange.
- Link the coalition to existing extension networks involving universities and the Indonesian Ministry of Agriculture.
- Engage the private sector in the coalition for effective technology commercialization to ensure cost-effective, sustainable implementation of best practices and improved crop varieties.

NOTE: INTERVIEWER/INTERVIEWEE REFERENCE. See more detailed Project Objectives and Outcomes at the end of this Partnership 9 Interview Guide.

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

- Strengthen capacity for the efficient use of modern plant biotechnologies methodologies for rapid improvement of high value crops.
- Build sustainable capacity to create shared networks for knowledge and personnel exchange.
- Link the coalition to existing extension networks involving universities and the Indonesian Ministry of Agriculture.
- Engage the private sector in the coalition for effective technology commercialization to ensure cost-effective, sustainable implementation of best practices and improved crop varieties.

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

6. What Washington State University interventions or practices have improved the quality of your university's achievements with respect to the four SSCSAED partnership objectives? Give specific examples.

- Strengthen capacity for the efficient use of modern plant biotechnologies methodologies for rapid improvement of high value crops.
- Build sustainable capacity to create shared networks for knowledge and personnel exchange.
- Link the coalition to existing extension networks involving universities and the Indonesian Ministry of Agriculture.
- Engage the private sector in the coalition for effective technology commercialization to ensure cost-effective, sustainable implementation of best practices and improved crop varieties.

7. 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 SSCSAEDI partnership objectives? Give specific examples.

- Strengthen capacity for the efficient use of modern plant biotechnologies methodologies for rapid improvement of high value crops.
- Build sustainable capacity to create shared networks for knowledge and personnel exchange.
- Link the coalition to existing extension networks involving universities and the Indonesian Ministry of Agriculture.
- Engage the private sector in the coalition for effective technology commercialization to ensure cost-effective, sustainable implementation of best practices and improved crop varieties.

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

8. What unintended (i.e., unplanned) SSCSAEDI partnership results have improved the quality of your university's achievements with respect to the four SSCSAEDI objectives? How has Washington State University contributed to these unintended results? Give specific examples.

- Strengthen capacity for the efficient use of modern plant biotechnologies methodologies for rapid improvement of high value crops.
- Build sustainable capacity to create shared networks for knowledge and personnel exchange.
- Link the coalition to existing extension networks involving universities and the Indonesian Ministry of Agriculture.
- Engage the private sector in the coalition for effective technology commercialization to ensure cost-effective, sustainable implementation of best practices and improved crop varieties.

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

- Strengthen capacity for the efficient use of modern plant biotechnologies methodologies for rapid improvement of high value crops.
- Build sustainable capacity to create shared networks for knowledge and personnel exchange.
- Link the coalition to existing extension networks involving universities and the Indonesian Ministry of Agriculture.
- Engage the private sector in the coalition for effective technology commercialization to ensure cost-effective, sustainable implementation of best practices and improved crop varieties.

SSCSAEDI PARTNERSHIP – LESSONS LEARNED (Evaluation Question 4)

10. What lessons have you learned from the SSCSAEDI 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. Curriculum development
- b. Research services
- c. Research publications (refereed; other)
- d. Public/private partnerships
- e. Collaboration with external stakeholders (e.g., government ministries and offices, NGOs, private companies)
- f. Community education and outreach
- g. Entrepreneurship and commercialization

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

11. In terms of your university, what are a few specific examples of SSCSAEDI partnership strengths?
12. In terms of your university, what are a few specific examples of SSCSAEDI partnership weaknesses (i.e., areas in which the SSCSAEDI partnership could be strengthened)?
13. To what extent is the SSCSAEDI partnership sustainable financially and programmatically now that its USAID/Indonesia University Partnerships funding is ending? Give specific examples.
14. Is there a role for the private sector in providing financial support for U.S.-Indonesia university partnerships? Give specific examples.
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.

INTERVIEWER/INTERVIEWEE REFERENCE: Detailed Project Objectives and Outcomes.

Project Objectives

1. Strengthen capacity for the efficient use of modern plant biotechnologies methodologies for rapid improvement of high value crops. By training scientists and PhD students in novel and proven crop research methodologies and integrating with extension, there can be rapid dissemination and exchange of knowledge for crop improvement applications in subsistence agriculture in Indonesia.
2. Build sustainable capacity to create shared networks for knowledge and personnel exchange for professional development, management practices, intercultural competencies and understanding of global interconnectedness in food systems, nutrition and security that also benefit U.S. students and stakeholders
3. Link the coalition to existing extension networks involving universities and the Indonesian Ministry of Agriculture for rapid dissemination of best practices and crop varieties as well as generating a feedback loop where on-the-ground farmer knowledge informs research activities.
4. Engage the private sector in the coalition for effective technology commercialization to ensure cost-effective, sustainable implementation of best practices and improved crop varieties.

Project Outcomes

For Indonesia:

1. Strong bilateral collaborations established between Indonesia and U.S. institutions for programs in institutional development, and research, education and extension within the sector of crop improvement and plant protection. The project will facilitate a unified approach in moving from “boutique” projects to synergistic partnerships for progress in economic growth and poverty reduction in Indonesia.
2. Knowledge sharing and transfer in cutting-edge biotechnology including “DNA marker assisted technology” and “DNA barcoding” established at IPB and LIPI as national resources and for dissemination to emerging/outlying universities in Indonesia.

3. Capacity building through the training of PhD level scientists as well as enhancing the technical expertise of junior and senior level scientists on equipment and methodologies needed in modern biotechnology. This will include the generation of a database, diagnostic reagents and novel laboratory methodologies on economically important plant pathogens (viruses and their vectors) in select high-value crops for creating epidemiological intelligence benefiting Indonesian agriculture.

4. Establishment of GIS and other agweather-related methodologies for use by the quarantine agency of the Ministry of Agriculture and other stakeholders (including farmers and producers) on their weather-related decisions for pest and disease surveillance and controlling outbreaks before they become global.

16. Establishment of a dynamic coalition founded on the three core team members (WSU, IPB, LIPI) and expansion beyond the three year project to a larger network that engages extension officers, farmers, private sector, and other universities and USAID project participants for shared knowledge transfer relevant to agricultural biosecurity and economic development in Indonesia.

6. Infusion of best practices and educational tools in global knowledge sharing and knowledge transfer between Indonesian partners and cross-cultural learning between U.S. and Indonesia to jointly address emerging global challenges in food systems, nutrition and security.

For the U.S:

1. Promotion of U.S. science & technology for global food and nutritional security and showcase of science diplomacy as an avenue for establishing American leadership in global agricultural R&D efforts for the public good.

2. Contribution to U.S. biosecurity efforts. As a result of this project, scientists will have improved knowledge on crop improvement methodologies and defense against alien pests and diseases.

3. Enable WSU faculty to incorporate global dimensions of agriculture in undergraduate and graduate courses to ensure that domestic students are competent to succeed in the global workforce and competitiveness.

4. Facilitate cultural and gender-sensitive experiential education opportunities for WSU's students including Native American and Latino communities in Washington State.

5. Increase engagement of U.S. scientists in addressing global dimensions of agriculture and in sharing their scientific knowledge with those in less developed countries who can benefit from it (Washington State University 2008-2013 Strategic Plan, Goal #3).

ANNEX D.2 PARTNERSHIP 10: SAMARINDA PARTNERSHIP INTERVIEW GUIDE.

Enhancing Behavior Change through Conservation (EBCC)*
(University of Texas El Paso (UTEP), Universitas Mulawarman (UMUL), RARE)

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 Enhancing Behavior Change through Conservation (EBCC) partnership funded by USAID through its University Partnerships (UP) program.
- USAID has contracted with IBTCI (International Business & Technical Consultants, Inc.) to evaluate each of this program's U.S.-Indonesia university research partnerships toward the end of its three-year USAID award. Since the EBCC partnership ends soon, we are evaluating it now.
- USAID is interested in learning from the EBCC 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.

+Note to Interviewer: The acronym "EBCC" is only used in this interview Guide as a way to reduce the length of the interview questions.

GENERAL

I. What was your personal role in planning and implementing the Enhancing Behavior Change through Conservation (EBCC) partnership.

EBCC PARTNERSHIP – OBJECTIVES ACHIEVED (Evaluation Question 1)

2. In what ways has the achievement of the five EBCC partnership objectives improved university and local authorities/stakeholder's knowledge and skills? Give specific examples.
- To build sustainable international and cross-disciplinary collaborative Practice-Instruction-Research (PIR) teams that are composed of faculty, students and practitioners from partner institutions.
 - To expand the use of communication, informational, and scientific technologies at Universitas Mulawarman to support collaborations among teams and other institutional members.
 - To apply scientifically-based principles in the study of the three focus areas and to study best practices in community conservation and development
 - To design and implement practice-oriented and student-centered curriculum with Universitas Mulawarman
 - To improve research techniques used to design, implement, and manage conservation strategies and campaigns in local communities and with women's groups throughout Indonesia, in partnership with Rare.

NOTE; SEE INTERVIEWER/INTERVIEWEE REFERENCE for an edited but more detailed description of Project Objectives and Outcomes, at the end of this Interview Guide

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

- To build sustainable international and cross-disciplinary collaborative Practice-Instruction-Research (PIR) teams that are composed of faculty, students and practitioners from partner institutions
- To expand the use of communication, informational, and scientific technologies at Universitas Mulawarman to support collaborations among teams and other institutional members
- To apply scientifically-based principles in the study of the three focus areas and to study best practices in community conservation and development
- To design and implement practice-oriented and student-centered curriculum with Universitas Mulawarman
- To improve research techniques used to design, implement, and manage conservation strategies and campaigns in local communities and with women's groups throughout Indonesia, in partnership with Rare.

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

4. What University of Texas El Paso (UTEP) interventions or practices have improved the quality of your university's achievements with respect to the five EBCC partnership objectives? Give specific examples.

- To build sustainable international and cross-disciplinary collaborative Practice-Instruction-Research (PIR) teams that are composed of faculty, students and practitioners from partner institutions
- To expand the use of communication, informational, and scientific technologies at Universitas Mulawarman to support collaborations among teams and other institutional members

- To apply scientifically-based principles in the study of the three focus areas and to study best practices in community conservation and development
- To design and implement practice-oriented and student-centered curriculum with Universitas Mulawarman
- To improve research techniques used to design, implement, and manage conservation strategies and campaigns in local communities and with women's groups throughout Indonesia, in partnership with Rare.

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 EBCC partnership objectives? Give specific examples.
- To build sustainable international and cross-disciplinary collaborative Practice-Instruction-Research (PIR) teams that are composed of faculty, students and practitioners from partner institutions
 - To expand the use of communication, informational, and scientific technologies at Universitas Mulawarman to support collaborations among teams and other institutional members
 - To apply scientifically-based principles in the study of the three focus areas and to study best practices in community conservation and development
 - To design and implement practice-oriented and student-centered curriculum with Universitas Mulawarman
 - To improve research techniques used to design, implement, and manage conservation strategies and campaigns in local communities and with women's groups throughout Indonesia, in partnership with Rare.

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

6. **What unintended (i.e., unplanned) EBCC partnership results have improved the quality of your university's achievements with respect to the five EBCC objectives? How has the University of Texas El Paso (UTEP) contributed to these unintended results? Give specific examples.**
- To build sustainable international and cross-disciplinary collaborative Practice-Instruction-Research (PIR) teams that are composed of faculty, students and practitioners from partner institutions
 - To expand the use of communication, informational, and scientific technologies at Universitas Mulawarman to support collaborations among teams and other institutional members
 - To apply scientifically-based principles in the study of the three focus areas and to study best practices in community conservation and development
 - To design and implement practice-oriented and student-centered curriculum with Universitas Mulawarman
 - To improve research techniques used to design, implement, and manage conservation strategies and campaigns in local communities and with women's groups throughout Indonesia, in partnership with Rare.
7. **What unintended (i.e., unplanned) EBCC partnership results have improved your university's capacity to conduct basic and applied research that addresses Indonesian priorities? How has the University of Texas El Paso (UTEP) contributed to these unintended results? Give specific examples.**
- To build sustainable international and cross-disciplinary collaborative Practice-Instruction-Research (PIR) teams that are composed of faculty, students and practitioners from partner institutions

- To expand the use of communication, informational, and scientific technologies at Universitas Mulawarman to support collaborations among teams and other institutional members
- To apply scientifically-based principles in the study of the three focus areas and to study best practices in community conservation and development
- To design and implement practice-oriented and student-centered curriculum with Universitas Mulawarman
- To improve research techniques used to design, implement, and manage conservation strategies and campaigns in local communities and with women's groups throughout Indonesia, in partnership with Rare.

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

8. What lessons have you learned from the EBCC 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. Curriculum development
 - b. Research services
 - c. Research publications (refereed; other)
 - d. Public/private partnerships
 - e. Collaboration with external stakeholders (e.g., government ministries and offices, NGOs, private companies)
 - f. Community education and outreach
 - g. Entrepreneurship and commercialization

12. Is there a role for the private sector in providing financial support for U.S.-Indonesia university partnerships? Give specific examples.

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

INTERVIEWER/INTERVIEWEE REFERENCE Partnership #10

Project Objectives

1. *Collaborative Capacity Building.* To build sustainable international and cross-disciplinary collaborative Practice-Instruction-Research (PIR) teams that are composed of faculty, students, and practitioners from partner institutions that focus on the transfer and application of knowledge to external stakeholders such as conservation organizations.

2. *Technical Capacity Building.* To expand the use of communication, informational, and scientific technologies at Universitas Mulawarman to support collaborations among teams and other institutional members.

3. *Research.* To apply scientifically-based principles in the study of the three focus areas and to study best practices in community conservation and development.

4. *Innovative Pedagogy.* To design and implement practice-oriented and student-centered curriculum with Universitas Mulawarman through the development of case studies and problem-solving learning approaches as well as student-faculty exchanges between the U.S. and Indonesian partners.

5. *Conservation Campaigns*. To improve research techniques used to design, implement, and manage conservation strategies and campaigns in local communities and with women's groups throughout Indonesia, in partnership with Rare.

Project Outcomes (Edited for length)

The **primary outcome** of the proposed project is that, by integrating faculty, student, and practitioner perspectives on conservation issues in the three focus areas through cross-institutional teams, the efforts will provide a foundation for environmental, social, and institutional change rooted in UTEP's expertise in communication, and establish mutually beneficial networks and faculty-student exchange opportunities.

Specifically, the collaboration between researchers and practitioners will:

1a. Create cross-institutional teams, including five Practice-Instruction-Research (PIR) teams that focus on the integration of real world case studies and models to use for research and pedagogical purposes. These teams will include members from each partner to develop collaborative and networking capacities and will expand the PIR team concept to other colleges and NGOs during year three of the grant activities.

1b. Develop other capacity building programs, publications, and workshops, such as the institutionalization of a Center for Effective Teaching and Learning at Universitas Mulawarman, ongoing internationalized collaborations and exchanges between UTEP and UNMUL, and training programs for administrators at various levels for both UTEP and UNMUL (focused in international education programs and institutional capacity).

2. Increase access to and use of scientific tools and technologies for research and information communication technologies. UTEP's Instructional Support Services will work with UNMUL to develop research and teaching modules online, while ensuring technological capacity at UNMUL. College of Forestry faculty will acquire research tools and equipment as well as the proper training to ensure sustainable use of such communication and research technologies.

3. Improve scientific research that is practice-based. Collaborative research teams will focus on community, external stakeholder, and university needs for addressing conservation issues by implementing field-based research approaches. Team leaders will focus on defining clear indicators and metrics of success for research through the team-based approach. Student and faculty exchanges between the UTEP and UNMUL will also foster collaborative practice-based research that will lead to presentations at international conferences and publications in internationally recognized academic journals, such as *Environmental Communication*, *Applied*

Environmental Education and Communication, Ecosphere, Frontiers and Ecology, Conservation Biology, and International Journal of Social Forestry.

4a. Increase student-centered learning. UTEP faculty members have extensive student-learning training in pedagogical theories and techniques, while UNMUL faculty have experience with Kuliah Kerja Nyata, Skripsi (KKN) and other field-based approaches.

4b. Establish sustainable faculty and student study abroad programs. UTEP's Office of Study Abroad will recruit Indonesian students and faculty to participate in exchanges, graduate programs, and workshops at UTEP, through existing programs and scholarship funds. This same office will also work to develop an MOU and long-term partnership for UTEP students to study (KKN) and other field-based approaches in teaching. Rare managers have been trained for student-centered learning as well; the collaboration among these three groups will provide shared experience through teaching workshops that will take place twice a year (at UTEP and at UNMUL campuses), open to faculty and teaching assistants at all levels at UNMUL as part of UTEP's regular study abroad program offerings. UNMUL will offer opportunities to UTEP students to conduct field research in collaboration with UNMUL faculty and students during the proposed grant activities and after the grant has been completed.

5a. Increase attitude and invoke behavior change in environmental conservation among the university collaborators as well as in rural communities through the implementation of Rare's campaigns, which identify specific behaviors for change and then implement Barrier Removal Operation Plans (BROP). The BROPs are designed to change attitudes and behaviors for improved conservation within local communities. These research-based campaigns have proven conservation results in related to improved land intensification and agroforestry techniques, reduction of forest fires, increased community involvement in conservation efforts,

empowerment of local communities, and awareness of conservation biology principles. Collaborative research will increase the application of scientific and conservation knowledge in these campaigns as well as focus on how to make the campaigns sustainable beyond the two-year duration of the campaign itself, based on UNMUL and UTEP faculty input and research.

5b. Create development impact through the focus on external stakeholders, particularly in conservation. While this proposed university partnership is between Universitas Mulawarman in Samarinda, East Kalimantan and the University of Texas at El Paso, development impact extends beyond these two universities' locations through the integration of practice-based research in Rare's campaigns throughout Indonesia in provinces from Aceh to Papua. Campaign managers, teamed up with university researchers, will improve conservation impact by applying conservation principles and inform university researchers and students about practical aspects of working in conservation with low income communities and women's groups. This partnership's focus on rural and low income communities in Indonesia particularly enhances USAID's goals for addressing issues related to poverty and gender issues, given that the focus of Rare's campaigns is to address conservation biology as well as barriers that prevent local communities from engaging in conservation practices, such as the need for increased income. Project activities such as job alternative development, micro-credit unions, and agroforestry techniques focus on development needs in rural areas that rely heavily on agricultural practices to meet

basic needs.⁸ Not only does this project focus on development for local communities, but also on capacity building for local governmental institutions, such as Konservasi Sumber Daya Alam (KSDA) and Taman Nasional offices as well as local non-governmental organizations that need leadership, conservation, and other kinds of training. This approach focuses on capacity building for partner universities, government offices, non-governmental organizations, and businesses in related fields through the partnership between the two universities and Rare.

ANNEX D.3 PARTNERSHIP 11-UNIVERSITY OF INDONESIA/COLUMBIA UNIVERSITY PARTNERSHIP INTERVIEW GUIDE

Climate Change Mitigation Capacity Program (CCMCP)* Columbia University/University of Indonesia

DATE: PARTNER UNIVERSITY: University of Indonesia

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 Climate Change Mitigation Capacity Program (CCMCP) partnership* funded by USAID through its University Partnerships (UP) program.
- USAID has contracted with IBTCI (International Business & Technical Consultants, Inc.) to evaluate each of this program's U.S.-Indonesia university research partnerships toward the end of its three-year USAID award. Since the CCMCP partnership ends soon, we are evaluating it now.
- USAID is interested in learning from the CCMCP 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.

**Note to Interviewer: The acronym "CCMCP" is only used in this Interview Guide to reduce the length of the interview questions.*

GENERAL

1. What was your personal role in planning and implementing the *Climate Change Mitigation Capacity Program (CCMCP)* partnership?

CCMCP PARTNERSHIP – OBJECTIVES ACHIEVED (*Evaluation Question 1*)

2. In what ways has the achievement of the three CCMCP partnership objectives improved university and local authorities/stakeholder's knowledge and skills? Give specific examples.
- *Education and Research:* Develop a new set of courses, as well as certificate programs, in natural science, economics, social science, law and business to build capacity among a large number of students and researchers to work on reduced forest conversion market mechanisms.
 - *Training and Professional Development:* Develop weekend workshops, week-long short courses, and multi-week executive programs to meet the needs of policy makers, business men and women, and civil society practitioners. Use specifically designed workshops and short courses to build training capacity among faculty and researchers at UI and other universities so that the programs developed under the USAID grant are sustainable.
 - *Societal Outreach:* Develop a multi-tiered outreach program to reach Indonesians at different scales and in different ways.to implement reduced forest conversion carbon credit projects throughout the country.

NOTE: INTERVIEWER/INTERVIEWEE REFERENCE. See a more detailed description of Project Objectives and Outcomes at the end of this interview Guide.

3. In what ways has the achievement of the three CCMCP partnership objectives improved your university's capacity to conduct basic and applied research that addresses Indonesian priorities? Give specific examples.
- *Education and Research:* Develop and offer courses, certificate programs, collaborative research efforts, and preliminary implementation projects.
 - *Training and Professional Development:* Develop weekend workshops, week-long short courses, and multi-week executive programs for policy makers, business men and women, and civil society practitioners. Use specifically designed workshops and short courses to build training capacity among faculty and researchers at UI and other universities so that the programs are sustainable.

- *Societal Outreach:* Develop a multi-tiered outreach program to reach Indonesians at different scales and in different ways.to implement reduced forest conversion carbon credit projects throughout the country.

CCMCP 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 CCMCP partnership objectives? Give specific examples.
 - *Education and Research:* Develop and offer courses, certificate programs, collaborative research efforts and preliminary implementation projects.
 - *Training and Professional Development:* Develop weekend workshops, week-long short courses, and multi-week executive programs to meet the needs of policy makers, business men and women, and civil society practitioners. Use specifically designed workshops and short courses to build training capacity among faculty and researchers at UI and other universities so that the programs are sustainable .
 - *Societal Outreach:* Develop a multi-tiered outreach program to reach Indonesians at different scales and in different ways.to implement reduced forest conversion carbon credit projects throughout the country.
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 CCMCP partnership objectives? Give specific examples.

- *Education and Research:* Develop and offer courses, certificate programs, collaborative research efforts, and preliminary implementation projects.
- *Training and Professional Development:* Develop weekend workshops, week-long short courses, and multi-week executive programs to meet the needs of policy makers, business men and women, and civil society practitioners. Use specifically designed workshops and short courses to build training capacity among faculty and researchers at UI and other universities so that the programs are sustainable .
- *Societal Outreach:* Develop a multi-tiered outreach program to reach Indonesians at different scales and in different ways. to implement reduced forest conversion carbon credit projects throughout the country.

CCMCP PARTNERSHIP – UNINTENDED RESULTS (Evaluation Question 3)

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

- *Education and Research:* Develop and offer courses, certificate programs, collaborative research efforts, and preliminary implementation projects.
- *Training and Professional Development:* Develop weekend workshops, week-long short courses, and multi-week executive programs to meet the needs of policy makers, business men and women, and civil society practitioners. Use specifically designed workshops and short courses to build training capacity among faculty and researchers at UI and other universities so that the programs are sustainable .
- *Societal Outreach:* Develop a multi-tiered outreach program to reach Indonesians at different scales and in different ways.to implement reduced forest conversion carbon credit projects throughout the country.

7. What unintended (i.e., unplanned) CCMCP 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.

- *Education and Research:* Develop and offer courses, certificate programs, collaborative research efforts, and preliminary implementation projects.
- *Training and Professional Development:* Develop weekend workshops, week-long short courses, and multi-week executive programs to meet the needs of policy makers, business men and women, and civil society practitioners. Use specifically designed workshops and short courses to build training capacity among faculty and researchers at UI and other universities so that the programs are sustainable .
- *Societal Outreach:* Develop a multi-tiered outreach program to reach Indonesians at different scales and in different ways to implement reduced forest conversion carbon credit projects throughout the country.

CCMCP PARTNERSHIP – LESSONS LEARNED (Evaluation Question 4)

8. What lessons have you learned from the CCMCP 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. Curriculum development
 - b. Research services
 - c. Research publications (refereed; other)

- d. Public/private partnerships
- e. Collaboration with external stakeholders (e.g., government ministries and offices, NGOs, private companies)
- f. Community education and outreach
- g. Entrepreneurship and commercialization

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

9. In terms of your university, what are a few specific examples of CCMCP partnership strengths?

10. In terms of your university, what are a few specific examples of CCMCP partnership weaknesses (i.e., areas in which the CCMCP partnership could be strengthened)?

11. To what extent is the CCMCP partnership sustainable financially and programmatically now that its USAID/Indonesia University Partnerships funding is ending? Give specific examples.

12. Is there a role for the private sector in providing financial support for U.S.-Indonesia university partnerships? Give specific examples.

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

INTERVIEWER/INTERVIEWEE REFERENCE: Partnership 11. Detailed Project Objectives and Outcomes.**Project Objectives**

To achieve the specific goals, we have established three parallel objectives. These objectives are designed to reach all sectors of society: men and women; those more educated and those less educated; members of the academy, private sector, public sector, and civil society; and people across the urban to rural gradient. The objectives are organized around:

(a) Education and Research

There simply is no way to snap one's fingers and implement a complex, economically feasible, socially sustainable, environmentally based market mechanisms. We must develop a group of experts and conduct research to provide the evidence base to ensure the viability and long-term sustainability of such mechanisms. Working with CEES/CU, RCCC/UI will develop a new set of courses in areas of natural science, economics, social science, law and business that will serve to build capacity among a large number of students and researchers to work on reduced forest conversion market mechanisms. We will also collectively develop one or more certificate programs that incorporate the individual courses developed through this collaboration in order to ensure and certify the expertise of individuals in this highly complex area of environmental management.

(b) Training and Professional Development

Beyond educating future experts it is important to bring the necessary skills to practitioners who are already operating in the public, private and civil society sectors. To do this, we plan to develop weekend workshops, week-long short courses, and multi-week executive programs to meet the needs of policy makers, business men and women, and civil society practitioners. We also intend to use specifically designed workshops and short courses to build training capacity among

faculty and researchers at UI and other universities, so that the programs developed

under the USAID grant will be sustainable long after CEES/CU's participation has come to an end.

(c) Societal Outreach

Government policy makers, local government officers, private corporations, and environmental NGOs cannot be effective in promoting and implementing REDD or any other environmentally based market mechanism without support from society as a whole, and the specific groups (indigenous communities, small holders, other traditional forest users) that will be affected by the implementation of a forest based mechanism. Societal and local support can only come with a clear understanding of the benefits and costs of a specific proposed mechanism, how it will be implemented, who will be affected, and how

the benefits will be distributed. We intend to develop a multi-tiered outreach program to reach Indonesians at different scales and in different ways. Given the geographic and cultural differences that exist across the Indonesian archipelago, this will be a complex, but very necessary component of any effort to implement reduced forest conversion carbon credit projects throughout the country.

B. Proposed Outcomes

The proposed outcomes described here flow directly from the goals and objectives listed

above (Section A), as well as inform the activities (described in section D below) that we will engage in to reach these outcomes. Overall, the proposed project is very results oriented, so we will be quite direct in quantitatively measuring our progress toward the outcomes we expect to achieve. Those outcomes and their associated measures of progress are:

Outcome 1

Education and Research

Working together, the faculty and staff of RCCC/UI and CEES/CU, plus other select experts from universities and civil society organizations in Indonesia and the U.S., will **develop and offer courses, certificate programs, collaborative research efforts, and preliminary implementation projects.**

As we describe below (in Section D) courses will be developed over the broad array of subjects necessary to produce graduates with the capacity to conduct innovative research relevant to the development and/or implementation of market mechanisms for reducing forest conversion. In the natural sciences, these will touch on remote sensing, forestry measurements, biomass estimation, and biodiversity surveying. In the social sciences, courses will touch on economic modeling, socio-cultural anthropology, and the socioeconomics of rural societies. Additional courses in relevant areas of business, law and policy will also be offered. These courses will then be grouped into two certificate programs, one more research oriented and one more applied. Finally, we intend to launch

several pilot research projects in a learning-by-doing effort to adapt *The Rainforest Standard*, developed for the Amazon, to the specific sets of conditions and circumstances in different parts of the Indonesian Archipelago. In addition to reaching students with the above programs, we also intend to train a group of master teachers, who will perpetuate these programs and thus consolidate UI as a center of excellence in this area of environmental research and management, for decades to come. The master teacher training will be done both in the U.S. and in Indonesia and involve an international core team of experts that CU has assembled in the process of developing *The Rainforest Standard*. Progress toward this multi-part outcome will be measured clearly and quantitatively:

(a) how many courses have been developed, (b) how many certificate programs have been developed, (c) how many research efforts have been initiated, (d) how many students have completed the courses, (e) how many students have completed the certificate programs, and (f) how many faculty, researchers, and students are involved in collaborative research and/or preliminary implementation projects. These parameters will be assessed annually.

Outcome 2

Professional Development

Working together, the faculty and staff of RCCC/UI and CEES/Columbia, plus other select experts from universities, the private sector, and civil society organizations in Indonesia and the U.S., will **develop and offer practically oriented weekend workshops, weeklong short courses, and multi-week executive programs**. This part of the initiative is directly aimed at a more diverse group of stakeholders, from government officials, to project developers, to capital asset managers, to civil society professionals, to community leaders. Each program will be tailored to the backgrounds of the enrollees, but in general all programs will have a very practical orientation, whether they are dealing with the technical elements of applying *The Rainforest Standard* or another reduced forest conversion mechanism to a project in Indonesia, or to the kinds of activities that must go on within specific forests and among the members of specific forest communities in order to achieve “permanent” forest protection and equitable distribution of benefits and costs of a project. This is a key outcome. Without the buy-in and knowledge-based participation of the public, private and civil society sectors, no environmentally based market mechanism can succeed. With the policy expertise of government officials, the business acumen of project developers and asset managers, and the community-oriented experience of the civil society practitioners, reduced forest conversion market mechanisms can be successfully implemented. Progress toward this multi-part outcome will be measured clearly and quantitatively:

(a) how many weekend workshops have been developed, (b) how many weeklong short courses have been developed, (c) how many multi-week executive programs have been initiated, (d) how many government officials, private sector employees, and civil society practitioners have enrolled and have completed the workshops, short courses, and executive programs. These parameters will be assessed annually. We will also look at policy developments and avoided forest conversion projects initiated for the year, after two years of running the proposed initiative.

Outcome 3

Societal Outreach

Working together, the faculty and staff of RCCC/UI and CEES/CU, plus other select experts from universities, the private sector, and civil society organizations in Indonesia and the U.S., will **develop different types of events to reach different audiences and make clear the importance of reduced forest conversion, the use of market mechanisms in motivating forest conservation, and the value of forests in promoting the health and economic well-being of Indonesians**.

This third part of the initiative is focused on achieving a measurable degree of understanding and “buy-in” at all levels of Indonesian society in order to effectively implement reduced forest conversion market mechanisms at a scale that will matter across the entire country and region. As such, meetings, public presentations, explanatory materials, and a dynamic website will form the components of our outreach. Special efforts will be made to reach rural forest communities who will be most affected by any broad

scale application of REDD or REDD-like mechanisms. Progress toward this multi-part outcome will be measured clearly and quantitatively – (a) how many government briefings, private sector meetings, and public events focused on market mechanisms to reduce tropical forest conversion have been held, (b) how diverse were the backgrounds of the people reached by each outreach program (e.g., men and women, urban and rural, rich and poor, public sector and private sector), and (c) how many people of each target sector of Indonesian society attended each outreach program. Secondly, we will try to gauge a shift in public attitudes, by conducting a baseline survey and then conducting surveys at logical intervals

ANNEX D.4 EVALUATION TEMPLATE FOR KEY INFORMANT INTERVIEW GUIDES (KIIGs)

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?

- e. Achievement of partnership objectives

- f. Unanticipated partnership outcomes
- g. Partnership program sustainability
- h. 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. (Community) Services

EVALUATION QUESTION #4

EQ 4.1. What lessons about effective partnership practices can be learned from partnership sustainability in 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. Evaluation practices

EQ 4.2. What lessons about key partnership outcome measures can be learned from partnership sustainability in 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. Unanticipated partnership outcomes
- c. Partnership and partnership program sustainability
- d. Partnership documentation production and dissemination

EQ 4.3. What lessons about strengthening Indonesian higher education institutional capacity and contributions can be learned from partnership sustainability in curriculum development, research services, publications, public/private partnerships, and 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).]

	(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

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).]

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

Achievement of
Partnership Objectives

Unanticipated
Partnership Outcomes

Partnership Program

Sustainability

Partnership Documentation

Production and

Dissemination

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.

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
technical assistance in:

-Research

-Teaching

-Curriculum development

University/private sector
partnerships

Other international/national
donor collaboration

Impacts on student learning

Sustainable funding and other
support for future university research in Indonesia

ANNEX D.5 FOCUS GROUP GUIDE FOR UNIVERSITY PARTNERSHIP STAKEHOLDERS

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.6 SEMI-STRUCTURED GROUP DISCUSSION GUIDE FOR UNIVERSITY PARTNERSHIP STAKEHOLDERS

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 either of the two U.S.-Indonesia university partnerships being evaluated in this project?

(More questions can be added)

ANNEX D.7 -EVALUATION TEMPLATE FOR KEY INFORMANT INTERVIEW GUIDES

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?

- i. Achievement of partnership objectives
- j. Unanticipated partnership outcomes
- k. Partnership program sustainability
- l. 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?

- g. General administration and leadership
- h. Financial management
- i. Internal quality assurance systems
- j. Collaboration with external stakeholders

- k. Institutional capacity to address long-term Indonesian sustainable development priorities
- l. 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?

- d. Teaching
- e. Research
- f. Curriculum Development
- g. (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)?

- e. Planning practices
- f. Communication and coordination practices
- g. Implementation practices
- h. 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)?

- e. Achievement of partnership objectives
- f. Partnership and partnership program sustainability

- g. Partnership documentation production and dissemination
- h. 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>	(4) <u>Excellent</u>	(3) <u>Very Good</u>	(2) <u>Average</u>	(1) <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>	(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

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.

<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.8 FOCUS GROUP GUIDE FOR UNIVERSITY PARTNERSHIP STAKEHOLDERS

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
13. _____	_____
14. _____	_____
15. _____	_____
16. _____	_____
17. _____	_____
18. _____	_____
19. _____	_____
20. _____	_____
21. _____	_____
22. _____	_____
23. _____	_____
24. _____	_____

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.9 SEMI-STRUCTURED GROUP DISCUSSION GUIDE FOR UNIVERSITY PARTNERSHIP STAKEHOLDERS

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

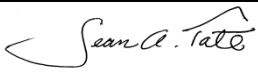
Name	TATE, Sean Alan
Title	Dr.
Organization	IBTCI
Evaluation Position Team Leader	<input type="checkbox"/> Team Leader <input type="checkbox"/> Team member
Evaluation Award Number <i>(contract or other instrument)</i>	AID-497-T0-12-00004
USAID Project(s) Evaluated <i>(Include project name(s), implementer name(s) and award number(s), if applicable)</i> Evaluation of University Partnerships Program. Phase 4-Partnerships 9-11.	Indonesia Univ. Partnerships 9) Smart Strategic Coalition for Sustainable Agricultural and Economic Development in Indonesia – 3/16/2012 – 3/31/2015 Washington State University, Institut Pertanian Bogor (IPB), and Indonesian Institute of Sciences Bogor; 10) Enhancing Behavior Change through Conservation – 03/15/2012 – 3/31/2015 University of Texas El Paso, Universitas Mulawarman, and Rare; 11) Climate Change Mitigation Capacity Program – 3/22/2012 – 3/31/2012 Columbia University, University of Indonesia
I have real or potential conflicts of interest to disclose.	<input type="checkbox"/> Yes No <input checked="" type="checkbox"/> X NO.

If yes answered above, I disclose the following facts:

Real or potential conflicts of interest may include, but are not limited to:

- 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	July 11, 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 9) Smart Strategic Coalition for Sustainable Agricultural and Economic Development in Indonesia – 3/16/2012 – 3/31/2015 Washington State University, Institut Pertanian Bogor (IPB), and Indonesian Institute of Sciences Bogor; 10) Enhancing Behavior Change through Conservation – 03/15/2012 – 3/31/2015 University of Texas El Paso, Universitas Mulawarman, and Rare; 11) Climate Change Mitigation Capacity Program – 3/22/2012 – 3/31/2012 Columbia University, University of Indonesia
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:</p> <p><i>Real or potential conflicts of interest may include, but are not limited to:</i></p> <p>7. 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.</p> <p>8. 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.</p> <p>9. 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.</p> <p>10. 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.</p> <p>11. 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.</p> <p>12. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.</p>	


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	July 10, 2104.

Disclosure of Conflict of Interest for USAID Evaluation Team Members

Name	Mohamad Rum Ali
Title	Evaluation Specialist
Organization	IBTCI
Evaluation Position	<input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> X 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 9) Smart Strategic Coalition for Sustainable Agricultural and Economic Development in Indonesia – 3/16/2012 – 3/31/2015 Washington State University, Institut Pertanian Bogor (IPB), and Indonesian Institute of Sciences Bogor; 10) Enhancing Behavior Change through Conservation – 03/15/2012 – 3/31/2015 University of Texas El Paso, Universitas Mulawarman, and Rare; 11) Climate Change Mitigation Capacity Program – 3/22/2012 – 3/31/2012 Columbia University, University of Indonesia
I have real or potential conflicts of interest to disclose.	<input type="checkbox"/> Yes No <input checked="" type="checkbox"/> X
If yes answered above, I disclose the following facts: <i>Real or potential conflicts of interest may include, but are not limited to:</i> 13. 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. 14. 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. 15. 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. 16. 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. 17. 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. 18. 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	July 12, 2014

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2. **3rd Quarter 2012 Progress Report (April 1, 2012 – June 30, 2012).** Submitted July 6, 2012. USAID Indonesia Cooperative Agreement # AID-497-A-12-00007. A Smart Strategic Coalition for Sustainable Agricultural & Economic Development in Indonesia. 8 pages.
3. **1st Quarter Fiscal Year 2013 Progress Report (October 1, 2012 – December 31, 2012).** Submitted January 31, 2013. USAID Indonesia Cooperative Agreement # AID-497-A-12-00007. A Smart Strategic Coalition for Sustainable Agricultural & Economic Development in Indonesia. 5 pages.
4. **2nd Quarter Fiscal Year 2013 Progress Report (January 1, 2013 – March 31, 2013).** Submitted April 30, 2013. USAID Indonesia Cooperative Agreement # AID-497-A-12-00007. A Smart Strategic Coalition for Sustainable Agricultural & Economic Development in Indonesia. 10 pages.
5. **Modification of Assistance.** Cooperative Agreement No. AID-497-A-12-00007. June 27, 2013. A Smart Strategic Coalition for Sustainability Agricultural and Economic Development in Indonesia. 2 pages.
6. **Modifications to Annual Workplan.** Submitted July 6, 2012 by Prema Arasu and Jane Payumo, WSU. USAID Indonesia Cooperative Agreement # AID-497-A-12-00007. Smart Strategic Coalition for Sustainability Agricultural & Economic Development in Indonesia. Submitted November 2013. 15 pages.
7. **Monitoring and Evaluation Plan.** Prepared by Prema Arasu and Jane Payumo, Washington State University. Submitted May 16, 2012. USAID Indonesia Cooperative Agreement # AID-497-A-12-00007. Smart Strategic Coalition for Sustainability Agricultural & Economic Development in Indonesia. 14 pages.
8. **3rd Quarter Fiscal Year 2013 Progress Report (April 1, 2013 – June 30, 2013).** Submitted July 31, 2013. USAID Indonesia Cooperative Agreement # AID-497-A-12-00007. A Smart Strategic Coalition for Sustainable Agricultural & Economic Development in Indonesia. 4 pages.
9. **1st Quarter Fiscal Year 2014 Progress Report (October 1, 2013 – December 31, 2013).** Submitted January 31, 2014. USAID Indonesia Cooperative Agreement # AID-497-A-12-00007. A Smart Strategic Coalition for Sustainable Agricultural & Economic Development in Indonesia. 7 pages.

10. **Annual Workplan (April 1, 2013 to March 31, 2014).** USAID Indonesia Cooperative Agreement # AID-497-A-12-00007, Smart Strategic Coalition for Sustainability Agricultural & Economic Development in Indonesia. Submitted February 7, 2013. 9 pages.
11. **FY 2014 Workplan (October 1, 2013 to September 30, 2014).** USAID Indonesia Cooperative Agreement # AID-497-A-12-00007. Smart Strategic Coalition for Sustainability Agricultural & Economic Development in Indonesia. Submitted November 2013. 9 pages.

Partnership #10. Enhancing Behavior Change through Conservation (Univ. of Texas El Paso – Universitas Mulawarman, Samarinda – Rare, Bogor)

1. **Cooperative Agreement No. AID-497-A-12-00008.** Enhancing Behavior Change through Conservation Program. March 15, 2012. 78 pages.
2. **Modification No. 01 to Cooperative Agreement No. AID-497-A-12-00008.** Enhancing Behavior Change through Conservation Program. March 15, 2012. 38 pages.
3. **Project Fact Sheet: Enhancing Behavior Change through Conservation Programs.** United States Agency for International Development, The University of Texas at El Paso, University of Mulawarman, & RARE. 2 pages.
4. **Certified Fiscal Report.** Enhancing Behavior Change Through Conservation Programs.. **Cooperative Agreement No. AID-497-A-12-00008.** March 15, 2012. Office of contracts and grants accounting services, The University of Texas at El Paso. 3 pages.
5. **Laporan Kegiatan Kunjungan Ke United States of America** (Texas El Paso, Wisconsin, Washington DC) 1 s/d 18 December 2014, Oleh Dr. Yaya Rayadin dan M. Sugihono Hanggito. 20 pages.
6. **Slide. Enhancing Behavior Change Through Conservation Programs: A University Partnership through Practice-Instruction-Research Teams.** University of Texas at El Paso, USAID, University of Mulawarman and RARE. Slide 7 pages.
7. **Quarterly Report 1** (period April-June 2012) **Quarterly Report 2** (period July-September 2012). . **Cooperative Agreement No. AID-497-A-12-00008.** Enhancing Behavior Change Through Conservation Programs. October 16, 2012. Office of Contracts and Grants Accounting Services, The University of Texas at El Paso. 1 page.
8. **Certified Fiscal Report 1.** Enhancing Behavior Change Through Conservation Programs. **Cooperative Agreement No. AID-497-A-12-00008.** Billing period April-June 2012. October 16, 2012. Office of Contracts and Grants Accounting Services 1. The University of Texas at El Paso. 1 page.
9. **Certified Fiscal Report 2.** Enhancing Behavior Change Through Conservation Programs. **Cooperative Agreement No. AID-497-A-12-00008.** Billing period July-September 2012. October 16, 2012. Office of Contracts and Grants Accounting Services 2. The University of Texas at El Paso. 1 page.
10. **Certified Fiscal Report 3.** Enhancing Behavior Change Through Conservation Programs. **Cooperative Agreement No. AID-497-A-12-00008.** Billing period October-December 2012. January 29, 2013. Office of Contracts and Grants Accounting Services 3. The University of Texas at El Paso. 3 pages.
11. **Certified Fiscal Report 4.** Enhancing Behavior Change Through Conservation Programs. **Cooperative Agreement No. AID-497-A-12-00008.** Billing period January-March 2013.

- April 23, 2013. Office of Contracts and Grants Accounting Services 4. The University of Texas at El Paso. 3 pages
12. **Certified Fiscal Report 5.** Enhancing Behavior Change Through Conservation Programs. **Cooperative Agreement No. AID-497-A-12-00008.** Billing period April-June 2013. April 23, 2013. Office of Contracts and Grants Accounting Services 5. The University of Texas at El Paso. 3 pages.
 13. **Quarter 2 Report 2012.** Enhancing Behavior Change Through Conservation Programs. UTEP-UNMUL-RARE. Period April 1-June 30, 2012. 6 pages.
 14. **Quarter 3 Report 2012.** Enhancing Behavior Change Through Conservation Programs. UTEP-UNMUL-RARE. Period July 1-September 30, 2012. 11 pages.
 15. **Quarter 3 Report 2012.** Enhancing Behavior Change Through Conservation Programs. UTEP-UNMUL-RARE. Period October 1-January 31, 2013. 8 pages.
 16. **Quarter 5 Report 2013.** Enhancing Behavior Change Through Conservation Programs. UTEP-UNMUL-RARE. Period March 1-May 31, 2013. 12 pages
 17. **Year One Annual Report** April 1, 2012-March 31, 2013. Practice, Instruction and Report (PIR) Collaborative Team Enhancing Behavior Change Through Conservation Programs. Cooperative Agreement No. AID-497-A-12-00008. June 2013. 118 pages
 18. **Quarter 6 Report 2013.** Enhancing Behavior Change Through Conservation Programs. UTEP-UNMUL-RARE. Period July 1-September 30, 2013. 19 pages
 19. **Quarter 7 Report 2013.** Enhancing Behavior Change Through Conservation Programs. UTEP-UNMUL-RARE. Period October 1-December 31, 2013. 14 pages
 20. **Performance Monitoring Plan.** March 15, 2012-March 14, 2015. Enhancing Behavior Change Through Conservation Programs. UTEP-UNMUL-RARE. 25 pages.
 21. **Work Plan Year One.** March 15, 2012-March 14, 2013. Enhancing Behavior Change Through Conservation Programs. UTEP-UNMUL-RARE. 38 pages.
 22. **Work Plan Year Two.** March 15, 2013-March 14, 2014. Enhancing Behavior Change Through Conservation Programs. UTEP-UNMUL-RARE. 41 pages.

Partnership #11 -- Climate Change Mitigation Capacity Program (Columbia University - University of Indonesia)

1. **Cooperative Agreement No. AID-497-A-12-00009.** Strengthening Indonesia's Climate Change Mitigation Capacity. March 20, 2012. 78 pages.
2. **Modification of Assistance, Cooperative Agreement No. AID-497-A-12-00009.** Strengthening Indonesia's Climate Change Mitigation Capacity. March 20, 2012. 78 pages.
3. **Meeting presentation.** Strengthening Indonesia's Climate Change Mitigation Capacity through a partnership between the University of Indonesia & Columbia University USAID Partnership. Research Center for Climate Change University of Indonesia, USAID, Columbia University. 9 Slides.
4. **Executive Summary.** The Rainforest Standard. Integrating Social, environmental, and economic well-being. Full RFS document: <http://cees.columbia.edu/therainforeststandard>. 2 pages.
5. **Project Fact Sheet:** Strengthening Indonesia's Climate Change Mitigation Capacity through a partnership between the University of Indonesia & Columbia University A USAID Partnership. 2 pages.

6. **Quarterly Progress Reports Combined Q1:** March 12 – June 30, 2012 **Q2:** July 1 – September 30, 2012. Agreement No. AID-497-A-12-00009 Columbia University Strengthening Indonesia's Climate Change Mitigation Capacity Program. 11 pages
7. **Annual Progress Report Q1. October – September 2012.** Cooperative Agreement No. AID-497-A-12-00009 Columbia University Strengthening Indonesia's Climate Change Mitigation Capacity Program. October 31, 2012. 42 pages.
8. **Quarterly Progress Report Q3:** October 1 – December 30, 2012. Cooperative Agreement No. AID-497-A-12-00009 Columbia University Strengthening Indonesia's Climate Change Mitigation Capacity Program. 9 pages.
9. **Quarterly Progress Report Q5. April – June 2013.** Cooperative Agreement No. AID-497-A-12-00009 Columbia University Strengthening Indonesia's Climate Change Mitigation Capacity Program. July 30, 2013. 105 pages
10. **Quarterly Progress Report Q1. January – March 2014.** Cooperative Agreement No. AID-497-A-12-00009 Columbia University Strengthening Indonesia's Climate Change Mitigation Capacity Program. April 1, 2014. 81 pages
11. **Progress Report Q1. October – December 2014.** Cooperative Agreement No. AID-497-A-12-00009 Columbia University Strengthening Indonesia's Climate Change Mitigation Capacity Program. January 31, 2014. 43 pages.
12. **Performance Monitoring Plan (PMP) Year 2.** 2013 – 2014. Cooperative Agreement No. AID-497-A-12-00009 Columbia University Strengthening Indonesia's Climate Change Mitigation Capacity Program. 23 pages.
13. **Work Plan Year 1.** 2012 – 2013. Cooperative Agreement No. AID-497-A-12-00009 Columbia University Strengthening Indonesia's Climate Change Mitigation Capacity Program. 47 pages.
14. **Work Plan Year 2.** 2013 – 2014. Cooperative Agreement No. AID-497-A-12-00009 Columbia University Strengthening Indonesia's Climate Change Mitigation Capacity Program. 47 pages.
15. **Summary of University Partnership** with Columbia University and University of Indonesia: "Strengthening Indonesia's Climate Change Mitigation Capacity" Cooperative Agreement No. AID-497-A-12-00009. Project Duration: 2012 – 2015. 2 pages.

