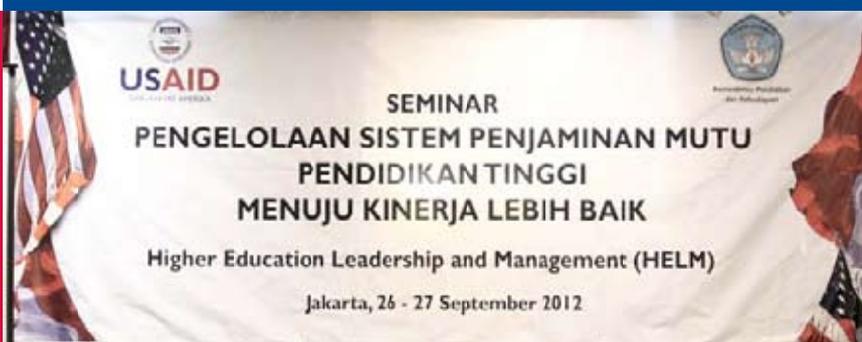




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# Higher Education Leadership & Management



## *Annual Report* **2012**

15 October 2012

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# Higher Education Leadership & Management Project

**ANNUAL REPORT 2012**

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Disclaimer:

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

## EXECUTIVE SUMMARY

The five-year USAID/Indonesia Higher Education Leadership and Management Project (HELM) is an innovative program that takes a holistic approach to strengthen the leadership and management of Indonesian higher education institutions. Through support in leadership and administration, financial management, quality assurances and collaboration with external stakeholders, participating institutions will improve their capacity and the quality of services provided to the students of Indonesia through sustainable and replicable reforms resulting in improved teaching, research, and community service.

HELM achieved significant results during the first year of program activity. The project successfully completed extensive assessments of Indonesia's higher education sector which have informed policy discussions, provided original research on student financial assistance, analyzed quality practices and systems, and provided insights into data collection and use as well as serving as a baseline to guide program implementation in the four HELM core management areas of leadership, financial management, quality assurances, and collaboration with external stakeholders.

***“Our USAID/HELM partners from 25 universities and vocational schools from all across Indonesia – from Papua to Aceh-- bring particular strengths to share and a commitment to further improve their performance to better serve the young people of Indonesia.”***

- Derrick Brown, USAID Acting Mission Director, during welcome remarks at the HELM Collaborative Forum on Leadership held on 12 September, 2012.

During the first year of program implementation, HELM successfully met and exceeded work plan targets. Highlights include:

Worked intensively with **11 pilot institutions** representative of the higher education sector, including publics, privates, polytechnics, former teacher training colleges, large and small, on Java and in three other regions (Sumatra, Sulawesi, and Kalimantan). The assessments of institutional capacity



in the four core management areas formed a baseline to inform HELM program implementation.

Selected **25 institutional partners** using a transparent and participatory process with strong collaboration and input from both DIKTI and USAID which was facilitated by HELM. These institutional partners will be HELM's primary target for capacity development and knowledge sharing activities.

Provided **research and analysis in 7 leadership and management domains for higher education** including:

- Financial policy environment;
- Strategic plan indicators, data collection, and analysis;
- Higher education sector financing;
- Student financial aid and loan programs;
- Institutional capacity in core management areas;
- Quality assurance and external stakeholder collaboration policies, practices and approaches;
- Program practice and approaches in quality and relevance in Southeast Asia.

Initiated a **Collaborative Forum Series with 5 national, high-level events**, bringing together key representatives of the Ministry of Education and Culture, other related ministries, partner institutions, international donor agencies, and experts, to discuss policy options in the financial regulatory environment, leadership, quality assurance systems, student financial assistance, and collaboration with external stakeholders.

Engaged **20 future leaders in collaboration with regional exemplar higher education programs** in the Philippines and Thailand as the foundation for landmark, guided, action research programs in HELM partner institutions.

## RINGKASAN EKSEKUTIF

Program USAID/Indonesia Higher Education Leadership and Management Project (HELM) yang berjangka-waktu lima tahun adalah program inovatif dengan pendekatan holistik untuk meningkatkan kepemimpinan dan manajemen institusi pendidikan tinggi Indonesia. Melalui dukungan dalam bidang kepemimpinan dan administrasi, penjaminan mutu, manajemen keuangan, dan kolaborasi dengan pemangku kepentingan, institusi mitra program akan meningkatkan kapasitas dan kualitas layanan pendidikan tinggi bagi mahasiswa/i Indonesia melalui reformasi yang berkesinambungan dan dapat direplikasi sehingga menghasilkan perbaikan dalam pembelajaran, riset, dan layanan masyarakat.

HELM telah melakukan pencapaian signifikan dalam tahun pertama pelaksanaan kegiatan. Program HELM telah menyelesaikan asesmen utama dengan beberapa perwakilan institusi pendidikan tinggi Indonesia melalui diskusi kebijakan, riset tentang bantuan finansial untuk mahasiswa/i, analisa sistem dan penerapan penjaminan mutu, serta memberikan pandangan dalam pengumpulan dan penggunaan data dan menjadi landasan pelaksanaan program dalam empat pilar utama manajemen HELM yaitu kepemimpinan, manajemen keuangan, penjaminan mutu dan kolaborasi dengan pemangku kepentingan.

***“Mitra USAID/HELM yang terdiri dari 25 perguruan tinggi dan politeknik dari berbagai penjuru Indonesia- dari Papua hingga Aceh; Setiap perwakilan membawa kekuatan tersendiri untuk pembelajaran bersama dan komitmen untuk meningkatkan kinerja mereka dalam melayani generasi muda Indonesia.”***

– Derrick Brown, USAID Acting Mission Director, dalam pembukaan Forum Diskusi Kepemimpinan.

Dalam implementasi tahun pertama, HELM mencapai dan melampaui target pencapaian yang dijabarkan dalam rencana kerja. Secara garis besar, target pencapaian meliputi:

Bekerjasama secara intensif dengan **11 pilot institusi pendidikan tinggi** termasuk politeknik, universitas,

institusi pelatihan guru di Jawa dan tiga wilayah lainnya (Sumatra, Sulawesi dan Kalimantan). Asesmen kapasitas institusi dalam keempat pilar utama manajemen yang menjadi acuan bagi pelaksanaan program HELM.

Pemilihan **25 mitra institusi pendidikan tinggi** melalui proses partisipatif yang transparan dengan dukungan kerjasama dan masukan yang baik dari DIKTI dan USAID yang difasilitasi oleh HELM. Para mitra institusi ini akan menjadi target utama HELM dalam kegiatan pengembangan kapasitas dan berbagi pembelajaran.



**Menyiapkan riset dan analisa terhadap 7 bidang pendidikan tinggi** Indonesia termasuk:

- Financial policy environment;
- Strategic plan indicators, data collection, and analysis;
- Higher education sector financing;
- Student financial aid and loan programs;
- Institutional capacity in core management areas;
- Quality assurance and external stakeholder collaboration policies, practices and approaches;
- Program practice and approaches in quality and relevance in Southeast Asia.

**Melakukan inisiatif dengan menyelenggarakan 5 forum diskusi bersama para pakar dan pemangku kepentingan** untuk membahas: manajemen dan kebijakan finansial pendidikan tinggi; kepemimpinan suportif dan kepemimpinan keilmuan; pengelolaan sistem penjaminan mutu pendidikan tinggi; bantuan finansial dan pinjaman mahasiswa; dan kolaborasi pendidikan tinggi dengan industri.

**Mengikutsertakan 20 calon pemimpin mitra insituti pendidikan tinggi mempelajari** contoh regional program pendidikan tinggi dari Filipina dan Thailand sebagai fondasi untuk riset aksi bersama mitra institusi HELM.

## HIGHER EDUCATION CORE LEADERSHIP AND MANAGEMENT ASSESSMENT

Collaborating closely with the Ministry of Education and Culture and the Directorate of Higher Education (DIKTI), HELM selected 11 representative Higher Education Institutions (HEI) for an in-depth assessment of the higher education sector with a focus on the four core management areas:

- leadership and general administration,
- financial management,
- quality assurances, and
- external stakeholder collaboration.

The representative pilot HEIs included public, private, polytechnics, teacher training institutes, and universities located in Java and in other regions of the country. Complete list is attached in annex A.



*Three representatives from Universitas Sumatra Utara present experiences and capacity development needs for the HELM assessment.*

Three representatives from Universitas Sumatra Utara present experiences and capacity development needs for the HELM assessment.

In March and April 2012, HELM specialists, technical advisors, and consortium partners developed assessment instruments to facilitate a clear and action-oriented data collection process that targeted institutional leaders, teaching staff, students, and local industry stakeholders.

HELM also designed a Self-Assessment Survey which has since served as the foundation for HELM institutional partners to determine their capacity development needs and to provide a foundation for self-reflection as well as a baseline from which to gauge HELM program impact by documenting change over time in leadership and management domains. One key result was that HELM compiled individual institutional profiles for each of the representative HEIs. These will serve as a foundation for institutional reflection. All pilot institutions were invited to provide expressions of interest to become HELM partners or mentor institutions and all but one institution has maintained close contact with the HELM program.



*HELM assessment team in discussion with Universitas Nasional Jakarta Rector, Dr Bedjo Sujanto (left).*



*HELM assessment team with representatives of BINUS University.*

## RESEARCH AND ANALYSES

Over the course of Year 1, HELM completed a total of seven research assessments. Several assessment reports were based on the data collected during the large HEI assessment, others were based on meta-analyses, still others included original research. All the HELM analytical reports on higher education core management areas have informed DIKTI and other HE stakeholders and have provided the foundation for the planned HELM implementation activities.

The HELM analyses coincided with dialogue on the new Education Law 12/2012, which passed in August 2012. As such, HELM activities provided a platform that facilitated the new legislation, and informed the ongoing discussions of supporting regulations and decrees that are currently being drafted. The timing of these HELM assessments coincided with a moment of opportunity, based on a sound foundation of rigorous research.

Three of HELM's analytical reports presented key research and analysis of the higher education finance and regulatory environment. The financial policy environment assessment recommended steps to expand the concepts of financial autonomy into a broader context of increased responsibilities. Financing of the higher education sector assessment concentrated on the goal of many HEIs to become a 'semi-autonomous institution', presenting actionable points for the development of financial management in that context, and outlining the laws that have governed this evolution over time. The third assessment provided original research into the state of student financial assistance in Indonesia, considering both scholarships and loans in conjunction with the DIKTI policy initiative to expand access to students from the lower two economic quintiles, which has now become one of the important mandates under the new higher education law.

HELM project reports also assessed the state of educational data stemming from the DIKTI strategic plan. The report titled: "The Implementation of Data Collecting, Reporting and Analytical Processes" examined indicators, data collection systems, and use of data. The report also recommended methods to strengthen the use of data in support of the DIKTI strategic indicators and annual plan.

In one of the meta analyses provided by HELM, the report titled: "Policies and Approaches for Quality Assurance and External Stakeholder Collaboration" suggested improvements to quality assurances through system approaches based on regional and international best practices discussed within the Indonesian context. "Successful Approaches for Academic Programs in Southeast Asia" is a foundational analysis of exemplary practice in innovative and high-quality programs in South East Asia. This analysis was designed as the springboard for the HELM action research program through which future leaders from partner institutions are guided through an action research project, the first iteration of which began in October 2012 and will continue through June 2013.

To further implementation activities, HELM will continue to conduct analysis activities throughout the second year of implementation, including a study on dissemination systems for sharing learning and best practice across the HEI system.



*HELM Workplan Meeting in October 2012, with representatives of DIKTI, Mr. Ali Akbar and Ms. Fine Resyalia providing insights on HEIs capacity building activities for HELM year two plan.*



*HELM Workplan Meeting presentations and group discussions.*

## SELECTING HELM'S HIGHER EDUCATION INSTITUTIONAL PARTNERS



HELM has established an initial network of 25 HEI partners to participate in capacity development and outreach activities. HELM will provide training and technical assistance to strengthen the partners in core management areas, and prepare them to share successful approaches throughout the sector as a whole.

HEI partners were selected based on institutional commitment and a self-reflection exercise in which each institution described their strengths and weaknesses in core management areas, their needs for training and technical assistance, and the resources they would provide as part of their commitment to institutional reform.

In a highly participatory selection process, USAID technical and program teams and HELM's DIKTI counterparts provided technical and administrative input as they actively participated in planning the process and in the final selection sessions.

The final list of HEI partners represents the diversity of Indonesia's higher education sector, with 17 partners located outside of Java. Nine are large state institutions, which have a leadership roles in priority

fields for development in their regions. Five are teacher training institutions, directly influencing the basic education system. The polytechnic partners are both public and private. Five are faith-based among which two are run under the Ministry of Religious Affairs. Twenty of the HELM partners have experience working with USAID on previous programs, and thirteen have worked with the recent World Bank I-MHERE program. The complete list is attached in annex B.

HELM views the diversity among partner institutions as a strength in the program design, ensuring a range of inputs and a wide spectrum of experiences. The HELM partner institutions will be the primary target for capacity development throughout the second year of program activity. In the third program year, each partner will choose a satellite partner and HELM will support the development of that second institution through partnering and mentoring strategies as well as through direct program targeting. This strategy will ensure that HELM achieves the goal of supporting capacity development in at least 50 institutions during the life of the project.

## HIGHER EDUCATION FINANCE AND REGULATORY ENVIRONMENT COLLABORATIVE FORUM



HELM hosted a Collaborative Discussion Forum on the higher education financial and regulatory environment in June 2012. Participants included representatives from DIKTI, the Ministry of Religious Affairs, the Ministry of Finance-BAPPENAS, and USAID, as well as rectors and financial vice rectors from HELM pilot institutions, and other higher education stakeholders.

Presentations by international education finance specialists centered on outlining the varied responsibilities that form autonomy, developing a profile of criteria that might indicate readiness to take on greater financial responsibility, and moving toward increased financial autonomy. This was framed in the context of the higher education regulatory context with an overview of the laws governing HEIs as 'semi-autonomous institution' or BLUs.

The discussions at this HELM collaborative forum contributed to establishing a broader definition of autonomy including, but not limited to, financial autonomy, at a critical period during the debates surrounding the new higher education Law 12/2012 which was then passed by parliament one month later.

## LEADERSHIP COLLABORATIVE FORUM

In a landmark event, the HELM collaborative forum on supportive leadership brought together the rectors and vice rectors of HELM's 25 institutional partners for the first time. This was an opportunity for the partners to be introduced to HELM and to other partner institutions and for the HELM COP to sign Terms of Reference agreements with each institution to formalize the HELM partnerships. The event was opened with words of welcome from the acting USAID Mission Director and from the secretary of DIKT, both of whom enthusiastically endorsed the HELM program and the activities planned.

Distinguished speakers included representatives from prestigious U.S. and Indonesian universities as well as HELM's Leadership and Management Advisor who spoke about leadership paradigms. During discussion periods, partners identified and shared experiences and challenges in higher education leadership in Indonesia. The forum was also an opportunity for DIKTI to present an overview on the policy framework for leadership in Indonesia. Each HEI participated in reflections and by sharing views during the plenary discussions. See annex C for media coverage details of this event.



## QUALITY ASSURANCE COLLABORATIVE FORUM



The HELM assessments have shown that few higher education institutions in Indonesia maintain effective quality assurance systems. The collaborative forum titled “Managing the Higher Education Quality Assurance System for Better Higher Education Performance” was the first step toward a better understanding of the need for sound quality assurance systems. The first speaker, Professor Nizam, from the board of higher education, detailed the implications of the new Education Law 12/2012 outlining quality assurance pieces, and describing how to meet the requirements of the Indonesian accreditation agency and meet DIKTI standards. This collaborative forum, attended by quality assurance directors and vice

rectors, provided a broad view of accreditation practices with university representatives from Gajah Mada University, Parahiangan University, and BINUS University. Each university described their diverse success in applying proven best practices, and working with global accreditation agencies.

HELM leveraged World Bank resources to bring Dr. Concepcion Pijano, who is a regional expert on accreditation systems which provided an interesting counterpoint to the Indonesian perspectives from university representatives and the Indonesian Quality Assurance Foundation.



## ACTION RESEARCH

In October 2012, HELM was pleased to launch the action research component of the capacity development plan, sending 20 HEI leaders at the vice-dean or study program level to Manila or Bangkok to participate in international workshops where innovative practices in higher education were examined in an effort to understand the leadership practices that supported the creation and sustainability of such programs.

Under guidance from HELM subcontract partner, University of Kentucky, participants will have the opportunity to establish action research programs in their home institutions focusing on management approaches to deliver quality academic programs in their home institutions. Each participant will have the opportunity to liaise with exemplar HEIs in the Philippines and Thailand to understand how such programs were developed and consider how to refine and replicate best practices back in Indonesia.



Photo : Group picture of USAID/HELM team and participating HEIs on action research to Philippines:

- Universitas Kristen Satya Wacana
- Universitas Malang
- Universitas Muhammadiyah Malang
- Universitas Islam Negeri Sunan Kalijaga
- Universitas Pendidikan Indonesia

The group of HELM participants also had the opportunity to engage with regionally renowned higher education associations, such as the SEAMEO Regional Center for Education Innovation and Technology, the Office of the Higher Education Commission of the Thai Ministry of Education, and the Philippine Accrediting Association.

Upon returning from the study tour, participants will engage in six months of guided research, mentored by University of Kentucky consultants and HELM staff in implementing an action research program at their home institution. The program will be replicated with new teams of partners in future years of the HELM program.



Photo : Group picture of USAID/HELM team and participating HEIs on action research to Thailand:

- Universitas Negeri Semarang
- Universitas Andalas
- Universitas Sebelas Maret
- Universitas Muhammadiyah Surakarta
- Universitas Sriwijaya

## GRADUATE LEVEL PROGRAMS IN EDUCATIONAL LEADERSHIP AND MANAGEMENT

To increase understanding and application of effective university leadership and management HELM has prepared the foundation to implement activities aimed at strengthening graduate level programs in Indonesian universities. Originally scheduled for assessment and planning in Year 2, the HELM team, in collaboration with subcontract partner, the Indiana University Alliance, coordinated a study of existing graduate programs in HE leadership in July 2012.

This study led to the initial development of a methodology to complete this component of the HELM program. Responding to the enthusiasm displayed by DIKTI for this program and the needs identified, HELM plans to support the development of masters and doctoral level programs in Higher Education Leadership at three universities. These programs will provide significant additional value

to the the existing masters programs in Higher Education Management.

In addition to the strengthening of graduate programs, the concentration of scientific knowledge on higher education will provide a foundation for development of “executive education” model programs for developing the capacity of structural leaders who are already in leadership positions.

The HELM team has developed plans to support and develop programs in higher education leadership and to ensure their sustainability. This will begin in the second year of the HELM program. HELM is working closely with DIKTI on this far-sighted investment in a sustainable effort to develop higher education leadership.

## LOOKING FORWARD TO 2013

As HELM enters the second year of implementation, the project will continue the higher education collaborative forum series. These fora have proven successful in bringing together representatives from the higher education sector, interested ministries, and institutions as well as relevant U.S. and regional experts to discuss policy and practices in higher education reform.

HELM will initiate implementation of regional capacity development, training, and outreach with partner HEIs, informed by results from the Year 1 assessment results. Target participants are those most likely to be moving up into higher leadership positions in the future, the crucial dean and vice-dean levels of administration. Each HEI will select a core group of change leaders for capacity development activities.

HELM will support these key beneficiaries in identifying areas for engagement and improvement in leadership, financial management, quality assurances, and external stakeholder collaboration. By recruiting and collaborating with skilled training facilitators, HELM will prepare curriculums with appropriate content and pedagogic methods for capacity development. An intense period of follow-up activities, mentoring,

application, and reporting of results will follow each training event. Each workshop will be delivered in two regional sites outside of Jakarta. This will mitigate time-consuming travel, enable a more specific contextual framework, and facilitate sharing among geographically clustered groups of institutions. HELM will also implement a dissemination plan that will provide partners with access to relevant information, self-learning opportunities and other resources. In addition to being mentored, partner institutions will learn to mentor other institutions and will be asked to provide that service to another institution in the later years of the HELM program promoting stronger results and ensuring institutionalization of program activities.



## ABBREVIATIONS, ACRONYMS AND GLOSSARY

No	Name	
1	BAPPENAS	Badan Perencanaan Pembangunan Nasional (National Development Planning Agency)
2	BLU	Badan Layanan Umum (Public Service Board; Semi-Autonomous Institution)
3	DGHE	Directorate General of Higher Education
4	DIKTI	Direktorat Jenderal Pendidikan Tinggi (see also DGHE)
5	HE	Higher Education
6	HEI	Higher Education Institution
7	HELM	Higher Education Leadership and Management
8	I-MHERE	Indonesia- Managing Higher Education for Relevance and Efficiency
9	MoEC	Ministry of Education and Culture
10	MoRA	Ministry of Religious Affairs
11	MENKOKESRA	Kementerian Koordinator bidang Kesejahteraan Rakyat (Coordinating Ministry of People's Welfare)
12	QA	Quality Assurance
13	SAS	Self Assessment Survey
14	TA	Technical Assistance

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## ANNEX A. 11 PILOT INSTITUTIONS

No	Higher Education Institution
1	BINUS
2	Politeknik Medan
3	Politeknik Negeri Samarinda
4	Universitas Gajah Mada
5	Universitas Muhammadiyah Malang
6	Universitas Hasanuddin
7	Universitas Negeri Jakarta
8	Universitas Negeri Medan
9	Universitas Mulawarman
10	Universitas Sumatra Utara
11	Universitas Indonesia

## ANNEX B. 25 HELM PARTNER INSTITUTIONS

No	Higher Education Institution
1	Universitas Sriwijaya (UNSRI)
2	Politeknik Aceh
3	Universitas Syiah Kuala (UNSYIAH)
4	Politeknik Negeri Medan (POLMED)
5	Universitas Andalas (UNAND)
6	Universitas Islam Negeri Sultan Syarif Kasim (UINSUSKA)
7	Universitas Negeri Semarang (UNNES)
8	Universitas Sebelas Maret Solo (UNS)
9	Universitas Kristen Satya Wacana (UKSW)
10	Universitas Muhammadiyah Surakarta (UMS)
11	Universitas Negeri Malang (UNM)
12	Universitas Pendidikan Indonesia (UPI)
13	Universitas Muhammadiyah Malang (UMM)
14	Universitas Islam Negeri Sunan Kalijaga (UINSUKA)
15	Politeknik Negeri Samarinda (POLNES)
16	Universitas Tanjungpura (UNTAN)
17	Universitas Mulawarman (UNMUL)
18	Universitas Lambung Mangkurat Banjarmasin (UNLAM)
19	Universitas Haluoleo (UNHAL)
20	Universitas Tadulako (UNTAD)
21	Universitas Negeri Makasar (UNM)
22	Universitas Hasanuddin (UNHAS)
23	Universitas Negeri Papua (UNIPA)
24	Universitas Cendrawasih (UNCEN)
25	Universitas Pattimura (UNPATTI)

## ANNEX C. LEADERSHIP COLLABORATIVE FORUM MEDIA COVERAGE

No	Website
1.	<a href="http://koran-jakarta.com/index.php/detail/view01/100531">http://koran-jakarta.com/index.php/detail/view01/100531</a>
2.	<a href="http://www.tribunnews.com/2012/09/11/ini-dia-daftar-25-universitas-yang-bermitra-dengan-usaid">http://www.tribunnews.com/2012/09/11/ini-dia-daftar-25-universitas-yang-bermitra-dengan-usaid</a>
3.	<a href="http://m.jpnn.com/news.php?id=139413">http://m.jpnn.com/news.php?id=139413</a> <a href="http://m.jpnn.com/news.php?id=139413">http://m.jpnn.com/news.php?id=139413</a>
4.	<a href="http://www.radarbangka.co.id/rubrik/detail/edukasi/5730/as-gandeng-25-institusi-pendidikan-indonesia.html">http://www.radarbangka.co.id/rubrik/detail/edukasi/5730/as-gandeng-25-institusi-pendidikan-indonesia.html</a>
5.	<a href="http://www.kopertis12.or.id/2012/09/12/berita-edukasi-12-september-2012.html">http://www.kopertis12.or.id/2012/09/12/berita-edukasi-12-september-2012.html</a>
6.	<a href="http://www.dikti.go.id/?p=5845&amp;lang=id">http://www.dikti.go.id/?p=5845&amp;lang=id</a>
7.	<a href="http://newsinfo.iu.edu/news/page/normal/23083.html">http://newsinfo.iu.edu/news/page/normal/23083.html</a>
8.	<a href="http://www.medanbisnisdaily.com/news/read/2012/09/26/117242/polmed_jadi_mitra_usaid_melalui_helm/#.UH58-VGvRGM">http://www.medanbisnisdaily.com/news/read/2012/09/26/117242/polmed_jadi_mitra_usaid_melalui_helm/#.UH58-VGvRGM</a>





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