

**Sustainable Higher Education Research Alliances (SHERA)  
Program Performance Report  
Quarter 2 FY 2017 (January – March 2017)**

**Agreement No: AID-497-A-16-00004**



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## List of Acronyms and Abbreviations

CCR	Center for Collaborative Research
CDCS	Country Development Cooperation Strategy
DCM	Deputy Chief of Mission
EOI	Expression of Interest
GOI	Government of Indonesia
G&C	Grants and Contracts
HEI	Higher Education Institutions
HQ	Headquarters
IIE	Institute of International Education
IIEF	Indonesian International Education Foundation
IPB	<i>Institut Pertanian Bogor/Bogor</i> Agricultural Institute
ITB	<i>Institut Teknologi Bandung/Bandung</i> Institute of Technology
MIS	Management Information System
ME&L	Monitoring, Evaluation and Learning
NOFO	Notice of Funding Opportunity
OAA	Office of Acquisition and Assistance
OFM	Office of Financial Management
PRESTASI	Program to Extend Scholarship and Training to Achieve Sustainable Impact
KEMRISTEKDIKTI	Ministry of Technology, Research and Higher Education
ST&I	Science, Technology & Innovation
TOR	Terms of Reference
UGM	<i>Universitas Gadjah Mada/</i> Gadjah Mada University
UI	<i>Universitas Indonesia/</i> University of Indonesia
UNPAD	<i>Universitas Padjadjaran/</i> Padjadjaran University
USAID	United States Agency for International Development
USG	United States Government

## Executive Summary

From January 1, 2017 through March 31, 2017, the Institute of International Education (IIE) completed a number of activities and important milestones necessary to implement the Sustainable Higher Education Research Alliances (SHERA) program (Cooperative Agreement AID-497-A-16-00004). Of note, IIE submitted its findings from its baseline assessment of the research and management environment among Indonesian higher education institutions (HEIs), which was conducted from June-November 2016. Titled “Assessment of the Landscape for Establishing Centers for Collaborative Research that Advance Science, Technology, and Innovation in Indonesia,” this White Paper outlines recommendations for SHERA to successfully engage with, and manage, Indonesian HEIs in hosting and implementing Centers for Collaborative Research (CCRs) within specific science, technology and innovation (ST&I) focus areas.

Programmatic highlights include completing the selection process for the five institutional candidates that will receive the SHERA research collaboration grants to host and manage the CCRs. This included organizing meetings for the 17 shortlisted applicants to present their proposals to technical reviewers. Among those applicants who presented, 13 were recommended to continue for further review by the SHERA Advisory Board. This group gathered on January 17<sup>th</sup> to make the final selections.

SHERA’s candidates to lead the Centers for Collaborative Research include (per focus area):

- Environment, Energy and Maritime Sciences: **Universtas Gadjah Mada (UGM)/Center for Energy Studies**
- Food Security and Self Sufficiency: **Institute Pertanian Bogor (IPB), Department of Veterinary Clinic Reproduction and Pathology and Faculty of Fisheries and Marine Sciences**
- Public Health and Infectious Disease: **Universitas Padjadjaran (UNPAD), Clinical Infectious Disease Research Center**
- Urban Development and Planning: **Universitas Indonesia (UI), Directorate of Research and Community Engagement**
- Innovative Technologies: **Institut Teknologi Bandung (ITB), National Center for Sustainable Transportation Technology**

Working closely with IIE’s Grants & Contracts (G&C) team and the Indonesian Ministry of Research, Technology and Higher Education (Kemristekdikti), IIE/SHERA conducted a risk assessment of each candidate, which included a pre-award questionnaire and site visit. The findings from the assessment was used when entering into subaward negotiation with each candidate. Both the findings and requested revisions to their initial proposals are included in this report.

During this quarter, IIE/SHERA worked closely with its implementing partner the Indonesian International Education Foundation (IIEF) to organize a high-profile launch event to announce the five institutional partnerships. The launch event was followed by a four-day workshop for all CCR partnership members, in which USAID, IIE’s G&C team, and SHERA team members provided intensive training and technical assistance. There was also time set aside for CCR workplanning, as well as finalizing their monitoring and evaluation (M&E) plans and budgets.

IIE looks forward to working with the selected candidates next quarter to finalize the terms of their subawards and execute subagreements. Highlights will include subrecipients beginning their CCR activities and negotiating the terms of their own subawards with their institutional partners (SHERA’s second-tier recipients), and continued training and technical assistance by IIE/SHERA.

## **I. Strengthened, inclusive institutional environment for research and management in target Indonesian universities**

### **I.1 Baseline Assessment**

Since the success of SHERA is dependent on the development and sustainability of its Centers of Collaborative Research (CCRs), it is critical to understand the research and management capacity, as well as the engagement of Indonesian universities' in international collaboration. Under the direction of Senior Partnerships Advisor, Dr. Susan Buck Sutton, the program conducted a baseline assessment of the research and management environment for international partnerships. The desk research took place from June-July 2016 and included documenting best practices and lessons learned from past international partnership programs with Indonesia, and utilizing a broad range of current data to understand the gaps and shape the baseline assessment questionnaire. SHERA conducted field research directly with Indonesian higher education institutions (HEIs) from August – October 2016, including developing and distributing a baseline assessment questionnaire with 12 HEIs during outreach meetings in Depok, Bogor, Bandung, Surabaya, Malang, and Makassar.

The findings from the desk and field research enabled the Institute of International Education (IIE) to determine those elements within Indonesian HEIs that would lead to mutually beneficial partnerships, including the identified recent growth and interest within the science and technology (S&T) fields at top-tier Indonesian HEIs, as well as identify the challenges these same institutions might encounter, which includes their lack of past experience as prime subrecipients and budgetary managers on U.S. government (USG) awards. A White Paper, titled "Assessment of the Landscape for Establishing Centers for Collaborative Research that Advance Science, Technology, and Innovation in Indonesia," which included recommendations for the SHERA partnership implementation and management, as well as an assessment of the risks, challenges, and opportunities was submitted to USAID SHERA Agreement Officer Representative (AOR), Jalu Cahyanto, on January 28<sup>th</sup>. A follow-up presentation to USAID is planned for the upcoming quarter.

## **II. Enhanced collaboration in CCR/consortium for collaborative research**

### **2.1 SHERA Research Collaboration Grants**

#### **a. Technical Presentations**

During this quarter, SHERA finalized the selection of the institutions that will received the research collaboration grants, and use the funds to host the CCRs and manage the partnership activities. As was reported in the previous quarterly technical report, SHERA received 49 applications in response to its Notice of Funding Opportunity (NOFO). Technical review meetings were held December 28<sup>th</sup>-December 29<sup>th</sup>, in which panels identified the top 17 applications per SHERA's five research focus areas.

The top applicants from each panel were invited to present their proposals to their respective technical review panels on January 10<sup>th</sup> at the Indonesian Ministry of Research, Technology and Higher Education's (Kemristekdikti) office in Jakarta. Representatives from many of the applicants' institutional and private sector partners joined the presentations, either in-person and virtually. Using the same set of criteria, the panelists used the presentations as an opportunity to further assess the commitment of the lead Indonesian HEI and its proposed partners, as well as ask questions of the applicant's proposal.

Of those applicants who presented, all from the Food Security and Self Sufficiency, Urban Planning and Development, Innovative Technologies, and Public Health and Infectious Disease research focus areas were recommended to move forward to the SHERA Advisory Board for final review and selection. However, of those six applicants from the Environment, Energy and Maritime Sciences research focus area, only two were recommended to move forward. This was due to poor performance during the presentations and the lack of relevancy between the technical proposals and

presented materials. In total, there were 13 applicants that continued for final review and selection. See the shortlisted applicants per research focus area in Table I below.

**Table I: USAID SHERA SHORTLISTED APPLICANTS**

#	Applicant	Research Proposal	U.S. Partner	Indonesian Affiliate Partner
<b>FOOD SECURITY AND SELF SUFFICIENCY</b>				
18	IPB/Faculty of Fisheries and Marine Science	Strengthening Indonesian Competitiveness by Improving Food Quality and Safety	University of Rhode Island	Universitas Udayana, Universitas Mataram, Universitas Papua
33	UGM/Department of Food and Agricultural Product Technology	Use of Underutilized Local Food Resources to Strengthen Indonesia's Food Security	Purdue University	Universitas Gadjah Mada, Universitas Sriwijaya, Universitas Mataram, Universitas Lambung Mangkurat, Universitas Udayana
46	IPB/Department of Clinic, Reproduction and Pathology	Advancing Animal Biotechnology and Graduate Education in Indonesia	Mississippi State University	Universitas Brawijaya, Universitas Padjadjaran, Universitas Syiah Kuala
<b>ENVIRONMENT, ENERGY, AND MARITIME SCIENCE</b>				
45	ITB / Institute for Research and Community Services (LPPM)	Center for Indonesian Climate Change and Management	Rutgers State University of New Jersey	Universitas Diponegoro, Universitas Mulawarman, Universitas Sriwijaya, Universitas Nasional Jakarta, Universitas Palangkaray
41	UGM/Center for Energy Studies	Center for Development of Sustainable Region (CDSR)	University of Colorado, Boulder	Universitas Indonesia, Institut Teknologi Bandung, Institut Pertanian Bogor
<b>INNOVATIVE TECHNOLOGIES</b>				
5	IPB/Surfactant and Bioenergy Research Center (SBRC)	Sustainable Utilization on Oil Palm Biomass for Biosurfactant, Bio Energy, and Bio Material Development	Pennsylvania State University, Vallanova University, University of Pittsburgh	Universitas Lampung, Universitas Riau, Universitas Sumatera Utara
43	ITB/National Center for Sustainable Transportation Technology (NCSTT)	Sustainable Electric Based Transportation Technology Development	Massachusetts Institute of Technology	Universitas Diponegoro, Universitas Sriwijaya, Universitas Lambung Mangkurat, Institut Teknologi Kalimantan
8	ITB/Center for Remote Sensing (CRS-ITB)	Indonesia Banana Biogeography and Genome Biodiversity Database Establishment for Strengthening National Food	Pennsylvania State University	Universitas Andalas, Universitas Halu Oleo, Universitas Pendidikan Indonesia, Universitas Udayana
<b>PUBIC HEALTH AND INFECTIOUS DISEASE</b>				
17	IPB/Tropical BioPharma Research Center	Development of Indonesian Medicinal and Cosmetic Products from Standardized Natural Plan Resources Based on Biomolecular-Bioinformatics Technology and Good Agricultural Practices (GAP)	University of Missouri	Universitas Mulawarman, Universitas Tadulako, Universitas Riau
21	UNPAD/Clinical Infectious Disease Research Center	Consortium of Respiratory Infectious Disease Study and Prevention	University of Colorado	Universitas Syiah Kuala, Universitas Lambung Mangkurat, Universitas Mataram
30	Faculty of Public Health Indonesia One Health University Network (INDOHUN)	Center for Research in Vaccinology and Infectious Disease (CeRVID)	Tufts University, Harvard University	Universitas Gadjah Mada, Universitas Udayana, Universitas Airlangga
<b>URBAN DEVELOPMENT AND PLANNING</b>				

6	UI/Directorate of Research and Community Engagement	Scientific Modeling, Application, Research, and Training for City-centered Innovation and Technology (SMART CITY)	University of Illinois, Champaign-Urban, University of Florida, Savannah State University	Universitas Diponegoro, Universitas Padjadjaran, Universitas Sriwijaya
13	ITB/ Institute for Innovation and Entrepreneurship	Smart City Living Innovation Lab - Towards Science and Technology Development for Societal Advancement	Massachusetts Institute of Technology	Institut Teknologi Sepuluh Nopember, Universitas Gadjah Mada, Universitas Hasanuddin

### **b. Advisory Board Meeting**

The SHERA Advisory Board is comprised of individuals from the U.S. and Indonesia that are knowledgeable experts within the Indonesian higher education community and committed to supporting excellence within research quality and quantity within Indonesia. The role of the Advisory Board includes reviewing the shortlisted research partnership proposals, selecting the top five (5) proposals to receive funding, and advising SHERA on partnership implementation. See the Q1 FY2017 Performance Report for a complete list of the SHERA Advisory Board members.

Leading up to the selection meeting, the Advisory Board members were provided the shortlisted applicants proposals and PowerPoint presentations, as well the technical reviewers' notes to review. On January 17<sup>th</sup>, the group gathered to select the top applicant per priority focus area. The meeting took place at Kemristekdikti's office in Jakarta, with those members from the U.S joining virtually. As a part of this process, each application was discussed, taking into account both the scores and comments from the technical reviewers, as well as institutional diversity, USAID's 2014-2018 Country Development Cooperation Strategy (CDSC) and the Government of Indonesia's (GOI) National Medium-term Development Plan for the same period.

### **c. CCR Candidate Selection**

The results from the SHERA Advisory Board final selection meeting are as follows:

#### **Environment, Energy and Maritime Sciences**

##### ***Universitas Gadjah Mada (UGM), Center for Energy Studies***

UGM proposes to create a multidisciplinary partnership called the Center for the Development of a Sustainable Region (CDSR) with the goal of ensuring energy-efficiency and independence within Indonesia. UGM proposes to do this by supporting activities that enable Indonesia to maximize its many potential sources of renewable energy, including developing a hybrid energy system and prototypes to support near zero-energy buildings in tropical urban areas, building the capacity of local industry, and creating a network of renewable energy stakeholders within Indonesia.

#### **Food Security and Self Sufficiency**

##### ***Institute Pertanian Bogor (IPB), Department of Veterinary Clinic Reproduction and Pathology***

IPB proposed to create a CCR focused on advancing animal biotechnology and graduate education in Indonesia through the development of functional genomic markers for bull fertility, determination of genomic markers for economically important traits for selection and production of cattle, and empowerment of the next generation of Indonesian researchers with advanced knowledge and skills in contemporary functional genomic research.

#### **Public Health and Infectious Disease**

##### ***Universitas Padjadjaran (UNPAD), Clinical Infectious Disease Research Center***

UNPAD proposes to create a CCR on Respiratory Infectious Disease Study & Prevention (CCRISPR) with the goal of enhancing the capacity among Indonesian universities to perform quality and high-impact clinical research that addresses the burden of disease and use of immunizations, and prevents viral and bacterial respiratory illnesses in highly-impacted populations, including young children, pregnant women, and the elderly.

#### **Urban Development and Planning**

##### ***Universitas Indonesia (UI), Directorate of Research and Community Engagement***

UI proposes to develop a *Scientific Modeling, Application, Research, and Training for City-centered Innovation and Technology (SMART CITY)* to address the challenges facing Indonesia's urban centers, including the slow adoption of green technology; lacking and unreliable urban infrastructure; slow adoption of IT in civil services, administration and governance; and a rapidly declining quality-of-life.

#### **Innovative Technologies**

##### ***Institut Teknologi Bandung (ITB), National Center for Sustainable Transportation Technology***

ITB proposes to create a CCR that focuses on developing advanced technologies for the next generation of electrical vehicles in Indonesia through the creation of integrated transportation solutions that address technology, policy, infrastructure and planning development.

#### **d. USAID Approval**

Once the Advisory Board selected the top five applicants, IIE submitted a formal memo to USAID that included a thorough review of the solicitation process and an overview of the selected applicants, including their objectives, expected results and how their application addresses the program's goals of increased institutional capacity, participation of women in the S&T fields, and sustainability. This memo and its attachments were used as guiding documents for USAID to approve the commencement of the pre-award process with each institution. USAID approved the candidates on January 30<sup>th</sup> and included the following recommendations to IIE/SHERA:

- To further meet the program's goals, it is suggested that each applicant propose an additional Indonesian affiliate partner institution from eastern Indonesia, particularly from Sulawesi, Maluku or Papua island.
- As the candidate from UGM has only listed Indonesian affiliate partner institutions from Java that are top-tier (Tier A/Mandiri), it is suggested that it include an additional affiliate partner that is located off of Java and a lower-tier institution (Tier B/Utama).

Implementation of these recommendations are outlined in the Negotiation section below.

#### **e. Pre-award Risk Assessments**

To evaluate each candidate's risk of noncompliance with USG statutes, regulations, and the terms and conditions of IIE's subaward, IIE's Grants and Contracts (G&C) team conducted a pre-award risk assessment. Along with understanding each candidate's potential level of risk, the information gathered through this assessment will help in determining the appropriate level of monitoring to undergo during the life of each institution's subaward.

IIE's risk assessment takes into account several factors to determine whether the candidate has, or will be able to put in place, certain requirements as described in the Uniform Guidance. These factors include:

- whether the potential candidate is subject to an A-133 / Single Audit or any other audits as required by federal awarding agencies;
- prior experience with the candidate;
- size of the award;



- confirmation that the candidate is not delinquent in federal debt or have an active exclusion via SAM.gov;
- review of information in the Federal Awardee Performance and Integrity Information System (“FAPIIS”) to determine whether there are any red flags pertaining to the candidate; and
- responses to the Pre-Award /Subrecipient Questionnaire, which is used to gain an understanding of whether the candidate, as applicable, has the appropriate:
  - accounting, recordkeeping, and overall financial management systems,
  - system of internal controls,
  - equipment management system,
  - procurement procedures, and
  - system of administering and monitoring second-tier recipients.

The risk assessments were distributed to each of the candidates in early February. Completed copies were submitted to IIE’s G&C team by the end of the month. During the course of the risk assessment, IIE’s G&C team completed a weighted risk matrix to assign an initial risk category to each candidate. UI, UNPAD and UGM were all given a low risk level and there will be no special award conditions included in their subagreements.

ITB and IPB were given a medium risk level due to their lack of written subrecipient monitoring procedures. In addition, it was noted that ITB lacks written close-out procedures for their subrecipients. In their subagreements, it will be stated that both institutions must send written subrecipient monitoring guidelines to IIE’s G&C Subrecipient Compliance Manager within 90 days of signing their subagreement. ITB will also be required to submit a written close-out plan. As an additional measure to mitigate risk, the Subrecipient Compliance Manager will conduct an annual desk review of each subrecipient. A list of the risk-assessment results is included in Annex 2.

**f. Field Visits**

While the risk assessments were led by G&C in Washington D.C., a team from Jakarta conducted sit visits to each of the five candidates between January 30<sup>th</sup>-February 17<sup>th</sup> to support the institutions in completing the pre-award questionnaire, as well as to review each institution’s policy documents and systems and gain an understanding of how their policies are implemented on a daily basis.

The team was comprised of representatives from Kemristekdikti’s Agency for Research and Development Strengthening, including Secretary General Prakoso, Head of Legal, Cooperation, Information and Services, Syarip Hidayat, General Head, Pancara Sutanto, and Head of Cooperation, Atiek Susanti; the USAID SHERA AOR; and SHERA team members, including Program Director, Prima Setiawan, Grants Manager, Dewi Dhini, and Finance Manager, Widayat Adi. The field visit itinerary is included in Annex 3: TOR of SHERA Pre-Assessment Award Field Visit.

Ultimately, the visits added a valuable layer to IIE’s assessment of each candidate’s capacity to manage the program funds and monitor their subrecipients. While the team identified the strengths and potential weaknesses of individual candidate, there were some findings applicable to all candidates, as noted below:

- Overall, the team feels confident the candidates’ capacity to manage the technical research and implement the CCR’s partnership activities.
- The team sees the greatest potential challenge for all candidates will be their ability to successfully manage the program funds. This was identified when learning more about the financial accounting systems used at the research-unit level. While the rectorate-level systems are quite advanced, the systems used at the research or faculty-level don’t allow for tracking or reporting on program-specific funds or tracking different types of expenses. Understanding the lack of capacity at this stage was valuable and the team has since started

to prepare more in-depth process documents, reporting requirements and templates to support the subrecipients in accurately tracking and reporting on subaward spending.

- The team gained more insight into the candidates' procurement policies and learned that all currently use GOI procurement thresholds, which are higher than those allowed by the USG. With this knowledge, the team has developed program-specific procurement policies and procedures for the subrecipients to ensure compliance with USG regulations.

The findings report from the field visits is included in Annex 4.

#### **g. Award Negotiation**

Based on the findings from the pre-award assessments, IIE/SHERA made the following requests to all candidates:

- Open a sub-account within the university's rectorate-level bank account, with the sole purpose of receiving, and making payments using, SHERA funds.
- Undergo an annual, program-specific audit from an audit company that is familiar with the requirements of 2CFR 200 and ADS 591.
- Track and report on SHERA funds and spending using a pre-determined accounting software (QuickBooks).
- Update written subrecipient monitoring guidelines to account for USG requirements.
- Add an affiliate institution located in eastern Indonesia.

All the above requirements were shared with each candidate individually to allow for specific questions and provide any needed clarification. All candidates agreed to the above specifications.

There were also several candidate-specific requests, based on information listed in the original proposals and/or discovered during the field visits. Specifically, as noted above, UGM proposed all Indonesian affiliate partner institutions from Java that are top-tier (Tier A/Mandiri). The team requested that it propose an additional affiliate partner that is located off of Java and a lower-tier institution (Tier B/Utama). To meet this request, UGM has updated its proposal to include affiliate partners University of Bangka Belitung (UBB), located on an island off the southeastern coast of Sumatra, and University of Muhammadiyah Gorontalo (UMG) and University Negeri Gorontalo (UNG) located in northern Sulawesi.

In addition, during the field visit to IPB, it became clear that the candidate did not have the management capacity to handle the large funds under this subaward or to successfully meet the program objectives. The alternate candidate in this research topic, Food Security and Self Sufficiency, was also from IPB, from the Faculty of Fisheries and Marine Sciences. IIE/SHERA requested that IPB's rector propose additional management staff to support the current selected applicant in appropriately management funds and meeting the program objectives. If this was not possible, IIE/SHERA explained it would offer the funding to the alternate candidate. Given that SHERA is a capacity building program for Indonesian HEIs, the rector argued that discluding the successful candidate defeated the purpose of the program. However, he also acknowledged that having additional support from a more experienced management team would be important to ensure compliance and ultimate success of the CCR. He also agreed that the alternate is well-equipped to provide some of the needed support. IPB's rector proposed that the top two candidates integrate their proposals into one.

IPB's proposal within the Food Security and Self Sufficiency focus area was resubmitted under the title "Interdisciplinary Graduate Education and Research in Animal Biotechnology and Coral Reef Fisheries to Achieve Indonesian Food Security." In this integrated proposal, IPB will create a CCR that will engage fisheries, animal, and veterinary sciences and link biotechnology for sustainable food production through innovative research and high quality education. This, IPB maintains, will enable the private sector and national and provincial governments to better plan for present and future

food production systems on land and in the ocean. In the newly proposed structure, there are several additional management layers. Institutional partnerships include Universitas Papua, Universitas Syiah Kuala, Universitas Padjadjaran, Universitas Brawijaya, Universitas Udayana, Universitas Mataram, Universitas Nusa Cendana, University of Rhode Island, and Mississippi State University.

**h. Launch Event**

IIE/SHERA worked with its implementing partner the Indonesian International Education Foundation (IIEF) to organize a high profile launch event to acknowledge the five institutional partnerships and celebrate the creation of the CCRs. The event was held on March 21<sup>st</sup> at Kemristekdikti’s event space and attended by high-level officials, including the U.S. Embassy Deputy Chief of Mission (DCM), Brian McFeeters, USAID Mission Director, Erin McKee, and Kemristekdikti Minister, Muhammad Nasir, as well as rectors and vice rectors from each the CCR lead institutions, rectors from all Indonesian affiliate partners, members of the press, and other external stakeholders. Both DCM McFeeters and Minister Nasir gave remarks during the ceremony. Following the formal event, there was a press conference and gallery walk in which attendees were able to learn more about each proposed CCR by talking with CCR representatives and seeing their prototypes first-hand. A complete list of attendees is included in Annex 5.



*Figure 1: Minister of Research Technology and Higher Education Republic of Indonesia, Prof. Mohammad Nasir and U.S. Deputy Chief of Mission, Brian McFeeters gave their remarks.*



*Figure 2: Minister of Research, Technology & Higher Education, Secretary General, Director Generals, Inspectorate General, DCM, USAID Mission Director, SHERA AOR, 3 CCR Lead Rectors and 2 Vice Rectors and the IIE team.*

**i. CCR Workshop**

IIE/SHERA organized a four-day workshop following the launch event, from March 22<sup>nd</sup>-25<sup>th</sup>, at the Grand Zury hotel in Tangerang. The workshop focused on providing technical assistance and USG and SHERA training to all participants, as well as offering an opportunity for work planning among the CCR partnership members. IIE's G&C team and USAID's Office of Acquisition and Assistance (OAA) and Office of Financial Management (OFM) led trainings on USG rules and regulations and finance and grants management, which was attended by all participants. In addition, there were breakout sessions on IIE subagreements and program-specific deliverables, led by G&C, and SHERA's results framework and its Monitoring, Evaluation and Learning (ME&L) expectations related to data collection and reporting, led by the SHERA M&E team. There were also nightly sessions in which CCRs worked as groups to finalize their implementation plans, M&E plans and budgets. The CCR Workshop agenda is included in Annex 6.

**III. Monitoring and Evaluation**

The SHERA M&E team focused on several activities this quarter, including developing a baseline study questionnaire for both SHERA's CCR lead institutions and their affiliate partners; reviewing the CCR lead institutions' draft M&E plans; designing a customized project management information system (MIS); and training and facilitating discussions on SHERA's results framework and data collection process at the CCR workshop.

**3.1 Baseline Study**

The purpose of the baseline study is to understand the existing research environment and partnership practices, as well as identify the existing conditions in regards to the SHERA indicators at all CCR partnership member institutions. The baseline questionnaire is divided into two parts: one for the CCR lead institutions and one for the affiliate partner institutions. Each part contains two sets of questions: one to collect general university information and one to collect information for the baseline study. These questionnaires were introduced to CCRs during the CCR workshop.

There will be primary and secondary data obtained through the baseline study. Primary data will be collected using the questionnaire to gather information and assess the current environments within each institution. Secondary data will be collected through a review of various institutional documents and literature on the CCR's respective research topics.

Secondary data will be used to strengthen the result from primary source data, and triangulation analysis will be used to assess the situation more comprehensively. By applying the primary data collected with the additional information from secondary data, SHERA will gain a more complete picture of the current collaborative research environment in each CCR. All baseline questionnaires are expected to be submitted through an online form by April 26<sup>th</sup>. At that time, the SHERA M&E team will analyze the data and use the findings as a basis for target-setting. See a complete timeline for the baseline study in Table 2 below.

**Table 2: Timeline for Baseline Implementation**

Activities	Apr W1	Apr W2	Apr W3	Apr W4	May W1	May W2	May W3	May W4	June W1	June W2
Preparation	X									
Data Collection		X	X	X	X					
Data Analyses					X	X	X	X		
Data Report								X	X	X

Data Dissemination & Confirmation										X	X
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### 3.2 Subrecipient M&E Plans

The M&E team also worked closely with the Grants and Finance Managers this quarter to review the proposals submitted by the selected CCR lead candidates. By reviewing the draft M&E plans at the same time as the draft implementation plans, the team could better assess the extent to which the proposed activities will contribute to the program’s performance indicators. This, in turn, informed the requested changes that the SHERA team proposed to the candidates during the pre-award negotiation process.

### 3.3 SHERA’s Management Information System

As explained in past quarterly performance reports, SHERA’s Management Information System (MIS) will be an online database and platform for the program to monitor and evaluate the CCRs’ achievements, share information and provide feedback, and assess success in meeting its goal and objectives. Over the course of the quarter, the MIS was further developed, which included determining the data that will be collected and designing the forms and data processing system.

### 3.4 Implementation of CCR Workshop

As described above, one of the objectives of the CCR workshop was to share information related to SHERA’s results framework. While reviewing the data collection process with the participants, the M&E team received valuable input that will help the program to improve certain aspects of its data collection plan. The first is related to collecting data for one of the program’s goal-level indicators - *# of peer reviewed scientific publications resulting from USG support to research and implementation program*. The program team had planned to report on this indicator by tracking citations, however the participants shared their concern that this would be difficult as there is currently no identified and internationally accepted publication and citation platform to use. While some universities use Scopus, others rely on Google Scholars or Scimago. The second is related to one of the outcome-level indicators - *# of scholars at CCR institutions with increased access to external research resources and academic research engines*. The participants voiced their concern over the potential challenge of achieving success in this outcome as, currently, academic subscriptions are provided on a per institution basis. In this scenario, lead institutions would not be able to provide access to these subscriptions to non-enrolled students from the affiliate institutions. The project team is currently discussing the best next steps to address these challenges.

With the exception of the above, all participants agreed that SHERA’s proposed data collection process and templates align with their internal M&E process and are confident that they can be used to submit accurate and timely performance reports that capture both the CCR’s lead and affiliates’ data.

## IV. Operations

### 4.1 Staff Hiring and Recruitment

Due to the above mentioned findings from the field visits, each of the lead CCRs will be required to submit more back-up documentation that initially expected. To support the processing of this paperwork, the team has decided to hire two Grants Assistants, as opposed to one. This will also give the Grants Manager more time to provide technical assistance to the CCR leads. The team anticipates hiring for these two positions in late May.

### 4.2 IIE Team Member Travel

Senior Grants Manager, Amy Parente, from IIE headquarters (HQ) traveled to Jakarta from March 18<sup>th</sup>-25<sup>th</sup> to attend the SHERA launch event and following CCR Workshop. The launch event was

also attended by the new Lead of IIE's USAID portfolio, Susan Fickling. As mentioned above, two individuals from IIE's G&C team, G&C Director, Kristy Abellanas, and Contracting Officer for IIE's USAID portfolio, Elton Talka, traveled to Indonesia to provide technical assistance during the workshop.

#### **4.3 Internet Service Provider**

SHERA successfully procured an internet service provider this quarter, which was the last item necessary for the office to be considered fully functional. Service provider P.T. Aplikasi Lintasarta (LINTASARTA) installed the needed equipment on March 27<sup>th</sup>.

### **V. Challenges**

#### **5.1 Engagement with KEMRISTEKDIKTI**

SHERA experienced several challenges in working with Kemristekdikti this quarter, including their inflexibility in coordinating panelists from the GOI to participate in the technical review presentations, which caused a delay in scheduling the presentations. In addition, there was some initial resistance from the GOI to use the criteria and selection process that SHERA created to select the grantee recipients, as they already have an assessment and selection process they believe works well. After much negotiation, the GOI agreed to use SHERA's system, however this also caused a delay in selecting the final candidates. That being said, Kemristekdikti has illustrated a strong commitment to the program and, as noted above, dedicated a small team as a part of the field visits and pre-award assessment, both of which were completed in a much timelier manner than if the GOI had not been involved. SHERA believes that the benefits of their contribution has greatly outweighed any inconveniences.

#### **5.2 Subagreement Negotiation and Signing**

As illustrated in the White Paper mentioned above, the SHERA research collaboration grants are unique within the context of international partnership funding in Indonesia. In the past, programs that have funded institutional partnerships between the U.S. and Indonesia have stipulated that the prime subrecipients be U.S. institutions and second-tier recipients be Indonesian institutions. The findings from the baseline assessment highlighted that, in order to build the capacity of Indonesian institutions, they need to have increased ownership over the program funding and activities. It was for this reason that the eligibility requirements in SHERA's NOFO designated that applicants be Indonesian HEIs.

The White Paper also notes, however, that one of the greatest risks of SHERA is that this will be the first time these institutions will be prime subrecipients on relatively large cost-reimbursable subagreements, in which they will have multiple subrecipients from the U.S. and Indonesia. Given the complexity of these subawards, and the lack of experience of the Indonesian candidates, the pre-award assessments and subaward negotiations have taken longer than if these institutions had prior experience as prime subrecipients. As noted above, the field visits illustrated that supplemental program-specific processes and templates are necessary to ensure the subrecipients' compliance and successful management of subaward funds. Additionally, the team has spent significant time during the pre-award phase offering technical assistance and building the capacity of the candidates to submit strong and detailed program descriptions and budgets.

IIE feels strongly that this significant pre-award work will enable the CCRs to understand the rigorous expectations of managing USG funds and monitoring subrecipients under this subaward. This, in turn, will ensure greater success implementing activities and achieving the program objectives. Each candidate will also be better positioned and more prepared to apply for a USG contract or cooperative agreement in the future.

#### **5.3 CCR Workshop**



The initial intention of the workshop was to gather and train all CCR partners once the subagreements with the lead institutions were signed. With the program descriptions and budgets already finalized, the assumption was that more time would be spent on partnership-related trainings.

That being said, IIE/SHERA feels strongly that the agenda that was eventually created, with increased focus on USG rules and regulations, grants management and the M&E process, was essential given the identified need for supplemental capacity building and technical assistance, as mentioned above. We also believe that disseminating this information leading up to the final negotiations was essential. For example, many of the CCRs noted that the workshop was the only time that they'd met in-person with all their partnership members. They were able to take the information shared during the day and translate it into their program description, budget and M&E plan. Again, this is an example of up-front technical assistance allowing for smoother transition to implementation once the subawards are signed.

In addition, once the subawards are signed, IIE's G&C team will schedule a call with each subrecipient to review the document. Given the content of the trainings, the subrecipients will already be familiar with the terms, deliverables and expectations of the subaward and, instead of a broad overview, the time during the call can be spent focused on more nuanced questions and details.

During the last day of the workshop, the team shared a short evaluation with the participants, which was completed by 51 individuals. Of those, the majority (96%) agreed that the topics discussed during the workshop were important to receive before implementing program activities. Ten percent (10%), however, indicated that the facilitators did not deliver a clear message on the topics. Although the majority of those who took the survey mentioned that, overall, they understood the materials presented, there were several topics that they would like to have more information on, such as audit, contracting, finance, and performance indicators. Additionally, they would have liked more time to practice using the SHERA data collection tools. These responses speak to the need for follow-up by the program team to ensure that the CCRs, particularly the lead institutions, are comfortable with these topics. SHERA believes that one-on-one sessions with the lead CCR's team members during the upcoming quarter will be essential.

## **VI. Activities Anticipated for Next Quarter (April-June 2017)**

### **6.1 USAID Subrecipient Approval**

During the next quarter, IIE will submit a complete grant request package to USAID for each of the five subrecipients. Without this approval, IIE will not move forward with signing subagreements with these institutions.

### **6.2 Execution of Subagreements**

With USAID's approval, IIE's G&C team will send each subrecipient a full subagreement for review. These subagreements will establish a legal relationship between IIE and the subrecipient and define the expectations of the parties related to compliance, budget and performance. Each subagreement will include a cover page that outlines their period of performance, subaward ceiling and obligated amount; the program conditions and, as attachments, the incorporated regulations, IIE's general terms and conditions, the subrecipient's program description, budget and payment schedule, reporting and deliverables requirements, and subawardee marking and branding plan.

### **6.3 Technical Assistance**

Once the subawards are fully signed, IIE's G&C team will schedule a call with each of the subrecipients to walk them through the details of their subagreement. During the next quarter, the SHERA team anticipates holding virtual and in-person trainings on QuickBooks, reviewing the

process for requesting advance payments and reporting expenses, outlining the required backup documentation, and practicing entering information into the M&E tools.

#### **6.4 CCR Activities**

Several weeks following the signing of the subagreements, each subrecipient will submit their initial advance payment request for the first three months of their program implementation. During this time, SHERA anticipates that they will initiate their program start-up and begin their own negotiation with each second-tier recipient on their subaward terms and conditions.

#### **6.5 White Paper Presentation**

As mentioned above, SHERA plans to present the findings and recommendations from the White Paper during the upcoming quarter. The audience and venue for the presentation is still being determined. In addition, the program plans to print hard copies to share with Kemristekdikti.

#### **6.6 Monitoring and Evaluation**

Once subagreements are executed, the following M&E activities are planned:

- Completing the baseline study implementation to both the CCR leads and affiliate HEIs.
- Completing the baseline study analysis and setting targets for the program's indicators.
- Creating a temporary database for storing CCR reports until the MIS is developed. This database will utilize Google drive for data sharing and storage. Using Google forms to complete the performance reports, the data will be able to be monitored, updated and reviewed by the lead CCRs' M&E Specialist and the SHERA M&E team.



## **Annex I: Quarterly Communications Report**

Due to the significant number of communications-related activities during this quarter, the SHERA team has created a separate report that includes several annexes. This will be submitted along with the Q2 FY2017 Quarterly Performance Report by March 30, 2017.

## **Annex 2: SHERA Subrecipient Pre-Award Risk Assessment Results**

### **1. Universitas Padjadjaran (Padjadjaran University) – Medium risk level**

Based on the assigned level of risk, in addition to SHERA's normal monitoring procedures, the G&C Audit & Subrecipient Compliance Manager will also be conducting a desk review. G&C will coordinate with the SHERA team before beginning the desk review process.

### **2. Institut Teknologi Bandung (Bandung Institute of Technology – Medium risk level**

Based on the assigned level of risk, in addition to SHERA's normal monitoring procedures, G&C will require the following additional monitoring procedures:

- Request Institut Teknologi Bandung's documentation of their subrecipient monitoring of lower tier subrecipients (written operating procedures, we have the chart on file).
- Request Institut Teknologi Bandung to formally close-out their lower tier subawards (i.e. formal close-out letter), including a financial reconciliation.

The G&C Audit & Subrecipient Compliance Manager will also be conducting a desk review. G&C will coordinate with the SHERA team before beginning the desk review process.

### **3. Universitas Indonesia (University of Indonesia) – Low risk level**

Based on the assigned level of risk, no additional actions outside of SHERA's normal monitoring procedures is considered necessary.

### **4. Universitas Gajah Mada (Gadjah Mada University) – Low risk level**

Based on the assigned level of risk, no additional actions outside of SHERA's normal monitoring procedures is considered necessary.

### **5. Institut Pertanian Bogor (Bogor Agricultural University) – Low risk level**

Based on the assigned level of risk, no additional actions outside of SHERA's normal monitoring procedures is considered necessary.

### Annex 3: Terms of Reference Pre-award Assessment – Field Visit

#### Objective

The goals of pre-award assessment are to give description on how CCR candidate will be able to manage USD 3,000,000 grant award.

#### Scope

Venue : 5 CCR Candidate (Gadjah Mada University – Jogjakarta, Bandung Institute of Technology, Bogor Agricultural Institute, University of Indonesia, and Padjajaran University – Bandung)

Date : Monday, January 30<sup>th</sup> 2017 – Friday, February 17<sup>th</sup> 2017.

Total: 7 participants from USAID, USAID SHERA and Kemristekdikti with details as follows:

1. 2 persons from Kemristekdikti
2. 2 from USAID
3. 3 from SHERA

#### Schedule:

Time	Session	PIC	Logistic
Monday, January 30 <sup>th</sup> 2017			
16.00	Departure to Jogja	SHERA	Flight, Airport Pickup by rental car
Tuesday, January 31 <sup>st</sup> 2017			
09.00 – 12.00	Opening and Assessment by KemristekDikti	Kemristekdikti and SHERA	Rental Car
13.00 – 17.00	General Management Assessment by SHERA		
Wednesday, February 1 <sup>st</sup> 2017			
08:00 – 12:00	Financial Management Assessment	SHERA	Rental Car
13.00 – 17.00	Program/Technical Assessment	SHERA	
Thursday, February 2 <sup>nd</sup> 2017			
10:00 – 12:00	Departure to Jakarta	SHERA	Flight, Airport Drop by rental car

Time	Session	PIC	Logistic
Sunday, February 5 <sup>th</sup> 2017			
16.00	Departure to Bandung	SHERA	Drop by Rental Car
Monday, February 6 <sup>th</sup> 2017			
09.00 – 12.00	Opening and Assessment by KemristekDikti at Padjajaran University	Kemristekdikti and SHERA	Rental Car
13.00 – 17.00	Opening and Assessment by KemristekDikti at Bandung Institute of Technology		
Tuesday, February 7 <sup>th</sup> 2017			
08:00 – 17:00	Financial Management Assessment Padjajaran University	SHERA	Rental Car

Wednesday, February 8 <sup>th</sup> 2017			
08:00 – 17:00	Program/Technical Assessment Padjajaran University	SHERA	Rental Car
Thursday, February 9 <sup>th</sup> 2017			
08:00 – 17:00	Financial Management Assessment Bandung Institute of Technology	SHERA	Rental Car
Friday, February 10 <sup>th</sup> 2017			
08:00 – 17:00	Program/Technical Assessment Bandung Institute of Technology	SHERA	Rental Car
17.00 - 20.00	Departure to Jakarta		Drop by Rental Car

Time	Session	PIC	Logistic
Monday, February 13 <sup>th</sup> 2017			
09:00 – 12:00	Opening and Assessment by KemristekDikti at University of Indonesia	Kemristekdikti and SHERA	Rental Car
13:00 – 17:00	General Management Assessment by SHERA		
Tuesday, February 14 <sup>th</sup> 2017			
08:00 – 12:00	Financial Management Assessment	SHERA	Rental Car
13:00 – 17:00	Program/Technical Assessment	SHERA	
Thursday, February 16 <sup>th</sup> 2017			
09:00 – 12:00	Opening and Assessment by KemristekDikti at Bogor Agriculture Institute	Kemristekdikti and SHERA	Rental Car
13:00 – 17:00	General Management Assessment by SHERA		
Friday, February 17 <sup>th</sup> 2017			
08:00 – 12:00	Financial Management Assessment	SHERA	Rental Car
13:00 – 17:00	Program/Technical Assessment	SHERA	

## **Annex 4: Field Visit Report on Findings**

### **BACKGROUND**

KEMRISTEKDIKTI, USAID and SHERA team have successfully conducted the USAID SHERA grantee selection process, and recommended the team to conduct a fact finding through field visit to the following CCRs as the candidates:

- Universitas Gadjah Mada (UGM) for their application from the Center for Energy Studies;
- Institute Teknologi Bandung (ITB) for their application from the National Center for Sustainable Transportation Technology
- Universitas Padjadjaran (UNPAD) for their application from the Clinical Infectious Disease Research Center;
- Institute Pertanian Bogor (IPB) for their application from the Department of Clinic, Reproduction and Pathology;
- Universitas Indonesia (UI) for their application from the Directorate of Research and Community Engagement; and

The team is consists of a join members of:

- KEMRISTEKDIKTI: Prakoso, Syarip Hidayat, Pancara and Atiek Susanti
- USAID: Jalu Cahyanto
- SHERA : Prima Setiawan, Dewi Dhini and Widayat Adi

### **OBJECTIVE**

The objective of the field visit:

- to conduct the fact finding and to complete the KEMRISTEKDIKTI questionnaires
- to support the candidates in completing IIE's detailed form of Pre-Award Questionnaires from Audit & Subrecipient Compliance Manager, Grants & Contracts Institute of International Education (IIE), and
- to equip SHERA team in reviewing the readiness of the management

### **FINDINGS:**

#### **I. UGM – Center of Energy Studies**

##### **I.1. VISIT**

Date : January 31<sup>st</sup> - February 2<sup>nd</sup>

Place: Center of Energy Studies

UGM: Vice Rector – Partnership, Head of PSE, Partnership Manager, Finance Manager, researchers and finance team

##### **I.2. MANAGEMENT PLAN**

Readiness level:

The Partnership Manager (PM) has many experience in managing project, but he is a very busy lecturer and resource person.

The F&G manager is lack of capacity to do the needed report and too busy with many projects.

The ME manager is an active lecturer in UI

Recommendation:

The PM has to allocate most of his time to SHERA, and to be shown in time sheet

The FG need to have more training in a SHERA relevant system and operations to strengthen the lead, the ME Manager has to be replaced by somebody stays in UGM

There is also a general recommendation for all CCRs in Table I

### 1.3. PROGRAM PLAN

Readiness level:

The timeline has not covered the overall collaboration work in year 1 to 4, it is still scattered to each partner.

UGM as the lead, works as sole researchers and only involving others as the collaborator

Recommendation:

The Lead need to connect and merge all activities into a collaborative plan. To include the new partners as well UBB, U.N. Gorontalo and U . Gorontalo

### 1.4. M&E PLAN

See Table 2

### 1.5. FINANCIAL MANAGEMENT

See Table 3

## 2. ITB - the National Center for Sustainable Transportation Technology (NCSTT)

### 2.1. VISIT

Date : February 6 – 7<sup>th</sup>

Place: Rector Office and NCSTT Office

ITB: Rector, Vice Rector, Dir. Of Center, Partnership Manager, Finance Manager, researchers and finance team, and representatives of 6 partners.

### 2.2. MANAGEMENT PLAN

The PM has a good experience in managing program, but still need support in doing collaboration with the partners.

The ME Manager is a new graduate from London, and has a good sense of being an ME person.

There are 8 personnel were planned in the Management, while only 3 are allowed.

### 2.3. PROGRAM PLAN

Readiness level:

The collaboration plan looks good, but detailed activities are not clearly shown.

Role of ITB as the lead and coordinator, and allocation of effort are clear.

Some of the research and prototypes are in place

Recommendation:

A more detailed and collaborated activities need to be developed.

A more policy creation and field test need to be created.

### 2.4. M&E PLAN

See table 2

### 2.5. FINANCIAL MANAGEMENT

See table 3

## 3. UNPAD - the Clinical Infectious Disease Research Center;

### 3.1. VISIT

Date : February 6,8 and 9

Place: HASAN SADIKIN HOSPITAL - the Clinical Infectious Disease Research Center;  
UNPAD : Rector, Vice Rector, Dir. Of Center, Partnership Manager, Finance Manager,  
researchers and finance team, and representatives of 3 partners.

### 3.2. MANAGEMENT PLAN

#### Readiness level:

The Partnership Manager (PM) has just been graduated from a PhD (medical), lack of experience in managing project, but he will be working dedicatedly for SHERA.  
The Deputy Dean of Finance is very competent, but the FG manager is new.  
The ME manager is an active lecturer in UNPAD

#### Recommendation:

The PM has to up-grade his capacity  
The FG need to have more training in a SHERA relevant system and operations  
The ME Manager has to be more dedicated, or replaced by somebody else.

There is also a general recommendation for all CCRs in Table I

### 3.3. PROGRAM PLAN

#### Readiness level:

The collaboration plan with other partners looks good, but detailed activities are not clearly shown.  
Allocation of work to other partners need to be elaborated, especially with additional of U. Pattimura, Ambon.  
Some of the research and prototypes (needleless and vaccine) are in place

#### Recommendation:

A more detailed and collaborated activities need to be developed.  
A more policy creation and field test need to be created.

### 3.4. M&E PLAN

See table 2

### 3.5. FINANCIAL MANAGEMENT

See table 3

## 4. IPB - Department of Clinic, Reproduction and Pathology;

### 4.1. VISIT

Date : February 13

Place: Department of Clinic, Reproduction and Pathology;

IPB : Vice Rector, Dean, Partnership Manager, Rectorate Finance Manager, researchers and finance team, and representatives of 4 partners.

### 4.2. MANAGEMENT PLAN

#### Readiness level:

The Partnership Manager (PM) is a senior Veterinarian Professor, and has a lack of understanding in the proposal, M&E , and budget. It was reconsidered that they will hire professional Managers to support the CCR. In the revised proposal and budget it was shown, but no CV provided.

All Indonesian partners seems doesn't know the proposal content. Too much depends on the U.S. partner.

Recommendation:

IPB has to hire a more professional managers and support, and need should be proposed in the revised plan and budget.

The current FG team need to have more training in a SHERA relevant system and operations, and need to be supported by a fresh manager.

No ME Manager

There is also a general recommendation for all CCRs in Table I

#### 4.3. PROGRAM PLAN

Readiness level:

The collaboration plan with other partners looks very thin, and only a small focus in Genom. Local partners are unaware of the program.

Allocation of work to other partners need to be elaborated, especially with additional of U. Nusa Cendana, Kupang, NTT.

UB and Center of Insemination in Singosari and Lembang' s team are strong and has many experience.

Recommendation:

Difficult to run and manage the proposed activities.

#### 4.4. M&E PLAN

See table 2

#### 4.5. FINANCIAL MANAGEMENT

4.6. The administration and finance team are not ready with documents and clarifications. SOP is not exist, and several issues i.e. historical data base, accounting system, financial procedure are difficult to be clarified.

Also See table 3

### 5. UI - Directorate of Research and Community Engagement

#### 5.1. VISIT

Date : February 16 – 17<sup>th</sup>

Place: DRPM Office

ITB: Rector, Dir. Of DRPM, Partnership Manager, M&E Manager, researchers and finance team.

#### 5.2. MANAGEMENT PLAN

The DRPM has many experience in managing partnership with external parties including partnership with government, universities and private sectors

PM has a good capability in managing program, and able to manage its partners.

The ME Manager has agood sense of ME, and experience in managing complex management.

Finance and Grant Manager will be hired professionally.

There are 2 administrative support hired.

#### 5.3. PROGRAM PLAN

Readiness level:

The collaboration plan are based on technical content based, detailed activities are clearly presented.



Role of ITB as the lead and coordinator, and allocation of effort are clear.  
 Some of the research and prototypes are in place  
 University of Sumbawa Technology was considered to be the eastern Indonesia partner.

Recommendation:

A collaborated activities in partners shown under each clusters, the institutional partners need to be clarified.

A more policy creation and field test need to be created.

#### 5.4. M&E PLAN

See table 2

#### 5.5. FINANCIAL MANAGEMENT

See table 3

### TABLES

Table 1: Management Plan

Readiness Level	Various at each CCR's lead – see above
Recommendation	<ul style="list-style-type: none"> <li>The allowable key personnel are 3 (three), the rest are recommended to be posted under the personnel support allocated on the indirect cost or at the program.</li> <li>If the 3 dedicated key personnel are civil servants, an appointment and waiver letter must be issued by the Head of Unit (minimum).</li> <li>Considering the upper level coordination and collaboration among HEI partners and other stakeholders, a Director level is needed with a limited LOE and allocated for a formal salary</li> </ul>

Table 2: Program Plan

Readiness Level	In all CCR's lead, many indicators are not in line with the purpose and activities, both in quantitative and qualitative issues.
Recommendation	All indicators have to be revised accordingly

Table 3: Financial Management

No		UGM, ITB, UNPAD, IPB and UI
1	Understanding and Familiarity in managing Federal & USG Funds	Yes
2	Readiness of Finance Team to understand structure of USAID SHERA award financial & activity reporting	Yes
3	Fully support from University rectorate as primary fund recipient to centre of research to manage USAID SHERA award independently	Yes
4	No pre-numbered voucher system being implemented within both University and Research Centre level	Recommendation from fact finding, during Financial workshop with SHERA, SHERA needs to demonstrate how to develop and structured a pre-numbered voucher as well as managing backup supporting documentation

5	Procurement of Goods and Services has to follow USAID SHERA threshold. University guidelines' threshold are Gol Procurement regulation, which had higher threshold compared to USAID SHERA. E.g Gol procurement threshold, up to IDR 200 million to use single sourcing method. While during fact finding, one HEI (ITB) allow threshold up to IDR 500 million on their single sourcing method	From field fact finding, to procure good and service, SHERA need to provide uniformity guidelines to be use for CCR so at the end there are no dispute/difference practice between each CCR
6	Accounting System used by centre of research unable to support USAID SHERA award reporting. Lead needs to have additional tools such as Excel to generate award requirement reporting	Based on initial internal meeting, SHERA team recommend to use same accounting system such as Quick Books for each CCR. SHERA also expect to have same template on affiliates to simplify reporting to Lead. SHERA recommend to put accounting system purchased under CCR budget
7	Related with point 2 above, flow of award funding is clearly stated. Initial fund will be transferred to University Rectorate bank account, then this fund to be disbursed to Research Unit bank account facilitated by Research Unit Virtual Account banking system	This is very good process where award from SHERA will automatically keep on track since all of single transaction will be reflecting on bank statement  Only IPB has shown the un-readiness, in-transparency and unclarity in responding to Kemristekdikti and SHERA team. And, they are not ready to prepare the pre-financing budget.
8	Financial Reporting directly reported from Research Unit to USAID SHERA through electronic mail which acknowledged by University Rectorate	Yes
9	Lead is having ability to conduct capacity building to its affiliates in Financial Management	Yes
10	Readiness to Include Affiliates members from Eastern Indonesia region as institutional. Lead having flexibility by conduct budget re-alignment to absorb additional affiliates member cost in budget figures	Yes
11	Audit report only found in University level. No audited financial report found under unit of research.	Recommendation from fact finding, to have independent research unit audited financial report to keep sustainability of research centre

### Annex 5: Launch Event Attendees

No	Name	Title	Institution/Agency
<b>U.S. Government</b>			
1	Joseph R. Donovan Jr.	U.S. Ambassador to Indonesia	U.S. Embassy Jakarta
2	Brian McFeeters	Deputy Chief of Mission	U.S. Embassy Jakarta
3	Erin McKee	Mission Director	USAID
4	Peter Cronin	Education Office Director	USAID
5	Jalu Nur Cahyanto	Education Office Agreement Officer Representative (AOR)	USAID
6	Esther Manurung	Education Office Alternate AOR	USAID
7	Rizki Atina	Education AOR	USAID
8	TBD	Specialist, Office of Assistance and Acquisition	USAID
9	TBD	Specialist, Communication and Outreach	USAID
10	TBD	Interpreter	USAID
<b>Indonesian Ministry of Research, Technology and Higher Education (Kemristekdikti)</b>			
11	Muhammad Nasir	Minister	Ministry of Research, Technology and Higher Education
12	Dr. Ainun Na'im, M.B.A.	Secretary General	Ministry of Research, Technology and Higher Education
13	Ari Hendrarto Saleh, S.E., M.Si.	Head of Human Resources	Ministry of Research, Technology and Higher Education
14	Ir. Nada Darmiyanti S., M.Phil.	Cooperation Bureau Chief and Public Affairs	Ministry of Research, Technology and Higher Education
15	Ir. Sri Setiawati, M.A.	Head of Research, Science and Technology	Ministry of Research, Technology and Higher Education
16	Tri Sundari	Head of Cooperation	Ministry of Research, Technology and Higher Education
17	Dr. Muhammad Dimiyati	Directorate General	Research and Development Strengthening
18	Ir. Prakoso MM.	Secretary General	Research and Development Strengthening
19	Ocky Karna Radjasa	Director of Research and Community Service	Research and Development Strengthening
20	Dr Ira Nurhayati Djarot	Director of Systems Research and Development	Research and Development Strengthening
21	Dr. Hotmatua Daulay	Director of Industrial Technology Development	Research and Development Strengthening
22	Dr. Sadjuga	Director of Intellectual Property Management	Research and Development Strengthening
23	Syarip Hidayat	Head of Legal, Cooperation, Information and Services	Research and Development Strengthening
24	Pancara Sutanto	General Head	Research and Development Strengthening
25	Atik Susanti	Head of Cooperation	Research and Development Strengthening

26	TBD	Research and Development Strengthening Staff	Research and Development Strengthening
27	TBD	Research and Development Strengthening Staff	Research and Development Strengthening
28	TBD	Research and Development Strengthening Staff	Research and Development Strengthening
29	TBD	Research and Development Strengthening Staff	Research and Development Strengthening
30	TBD	Research and Development Strengthening Staff	Research and Development Strengthening
31	Dr. Ir. Patdono Suwignjo, M.Eng.Sc.	Directorate General	Intuitional Strengthening
32	Dr. Ir. Agus Indarjo, M.Ph.	Secretary General	Intuitional Strengthening
33	Ir. Kemal Prihatman, M.Eng.	Director of Institutional Research and Development	Intuitional Strengthening
34	Dr. Ir. Lukito Hasta P, M.Sc.	Regional Director of Science and Technology	Intuitional Strengthening
35	TBD	Intuitional Strengthening Staff	Intuitional Strengthening
36	TBD	Intuitional Strengthening Staff	Intuitional Strengthening
37	Dr. Ir. Jumain Appe, Msi	Directorate General	Innovation Strengthening
38	Dr. H. Hadirin Suryanegara, M. Ap	Secretary General	Innovation Strengthening
39	Dr. Ir. Ophirtus Sumule, DEA	Director of Systems Innovation	Innovation Strengthening
40	Ir. Retno Sumekar, M. Sc	Director of Company Start-up Technology	Innovation Strengthening
41	Supriyadi	Head of Cooperation	Innovation Strengthening
42	TBD	Innovation Strengthening Staff	Innovation Strengthening
43	TBD	Innovation Strengthening Staff	Innovation Strengthening
<b>Institute of International Education (IIE)</b>			
44	Susan Fickling	Director	Participant Training Programs
45	Amy Parente	Senior Grants Manager	Center for International Partnerships
46	Randall Martin	Chief of Party	PRESTASI
47	Prima Setiawan	Program Director	SHERA
48	Nanette Herawati	Office Manager	SHERA
49	Dewi Dhini	Grant Manager	SHERA
50	Widayat Adi	Finance Manager	SHERA
51	Nizma Fadilla	Monitoring, Evaluation & Learning Specialist	SHERA
52	Nasrul Fata	Assistant Finance Manager	SHERA
<b>Indonesian International Education Foundation (IIEF)</b>			
53	Diana Kartika Jahja	Executive Director	
54	Sandy Mukhlisin	Director of Finance & Administration	
55	Mira Sambada	Chief of Party	PRESTASI

56	Pravita Kusumaningtias	Communications & Outreach Specialist	SHERA
<b>SHERA Centers for Collaborative Research</b>			
<b>Research Focus Area: Environment, Energy and Maritime Sciences</b>			
57	Ir. Dwikorita Karnawati, M.Sc., Ph.D.	Rector	Universitas Gadjah Mada
58	TBD	Vice Rector	Universitas Gadjah Mada
59	Dr. Rachmawan Budiarto	Partnership Manager	Universitas Gadjah Mada
60	Dwi Novitasari	Finance and Grant Manager	Universitas Gadjah Mada
61	Misri Gozan	ME&L Manager	Universitas Gadjah Mada
62	Dr.-Ing Misri Gozan, M.Tech, IPM	Partnership Manager	Universitas Indonesia
63	TBD	Finance and Grant Manager	Universitas Indonesia
64	Dr. Eng. M. Donny Kurniawan S.T., M.T.	Partnership Manager	Institut Teknologi Bandung
65	TBD	Finance and Grant Manager	Institut Teknologi Bandung
66	Dr. Ulfah J. Siregar	Partnership Manager	Institut Pertanian Bogor
67	TBD	Finance and Grant Manager	Institut Pertanian Bogor
68	Dr. Syamsu Qamar Badu, M.Pd	Rector	Universitas Negeri Gorontalo
69	Dr. Yuszda K. Salimi, M.Si	Partnership Manager	Universitas Negeri Gorontalo
70	TBD	Finance and Grant Manager	Universitas Negeri Gorontalo
71	Rika Favoria Gusa	Partnership & ME Manager	Universitas Bangka Belitung
72	John Zhai	Representative	University Colorado, Boulder
<b>Priority Research Focus Areas: Public Health and Infectious Disease</b>			
73	Dr. Med. Tri Hanggono Achmad	Rector	Universitas Padjadjaran
74	TBD	Vice Rector	Universitas Padjadjaran
75	Dr. Cissy B Kartasasmita, M.D., M.Sc.	Partnership Manager	Universitas Padjadjaran
76	TBD	Finance and Grant Manager	Universitas Padjadjaran
77	TBD	ME&L Manager	Universitas Padjadjaran
78	Dr. Ir. Samsul Rizal, M.Eng	Rector	Universitas Syiah Kuala
79	TBD	Partnership Manager	Universitas Syiah Kuala
80	TBD	Finance and Grant Manager	Universitas Syiah Kuala
81	Dr. Ir. Sunarpi	Rector	Universitas Mataram
82	TBD	Partnership Manager	Universitas Mataram
83	TBD	Finance and Grant Manager	Universitas Mataram
84	Dr. Sutarto Hadi, M.Si, M.Sc	Rector	Universitas Lambung Mangkurat
85	TBD	Partnership Manager	Universitas Lambung Mangkurat
86	TBD	Finance and Grant Manager	Universitas Lambung Mangkurat

87	Dr. M. J. Saptanno, SH, M, Hum.	Rector	Universitas Pattimura
88	TBD	Partnership Manager	Universitas Pattimura
89	TBD	Finance and Grant Manager	Universitas Pattimura
90	Erin Arun Francis Simoos	Representative	University Colorado, Denver
<b>Priority Research Focus Area: Innovative Technologies</b>			
91	Kadarsah Suryadi, DEA	Rector	Institut Teknologi Bandung
92	TBD	Vice Rector	Institut Teknologi Bandung
93	Dr. Ir. Sigit P. Santosa, MSME, Sc.	CCR Director	Institut Teknologi Bandung
94	Dr. Eng Bentang Arief Budiman	Partnership Manager	Institut Teknologi Bandung
95	Gita Sulistya MBA	Finance and Grant Manager	Institut Teknologi Bandung
96	M. Farda, M Sc.	ME&L Manager	Institut Teknologi Bandung
97	Dr. Yos Johan Utama, S.H., M.Hum	Rector	Universitas Diponegoro
98	TBD	Partnership Manager	Universitas Diponegoro
99	Yuni Nurjanah, M.A.	Finance and Grant Manager	Universitas Diponegoro
100	Dr. Ir. H. Anis Saggaff, MSCE	Rector	Universitas Sriwijaya
101	TBD	Partnership Manager	Universitas Sriwijaya
102	Fathal Hartama	Finance and Grant Manager	Universitas Sriwijaya
103		Partnership Manager	Universitas Lambung Mangkurat
104	Inda Ayu Chairani	Finance and Grant Manager	Universitas Lambung Mangkurat
105	Ir. Dr. Sulistidjono, DEA	Rector	Institut Teknologi Kalimantan
106	TBD	Partnership Manager	Institut Teknologi Kalimantan
107	Vina Indah	Finance and Grant Manager	Institut Teknologi Kalimantan
108	Dr. Ir. Ellen Joan Kumaat, M.Sc., DEA	Rector	Universitas Sam Ratulangi
109	TBD	Partnership Manager	Universitas Sam Ratulangi
110	Troyda S. Sigar SE	Finance and Grant Manager	Universitas Sam Ratulangi
111	Dr. Ravik Karsidi, MS.	Rector	Universitas Negeri Sebelas Maret
112		Partnership Manager	Universitas Negeri Sebelas Maret
113	Dr. Wahyudi Sutopo	Finance and Grant Manager	Universitas Negeri Sebelas Maret
114	TBD	Partnership Manager	Massachusetts Institute of Technology
<b>Priority Research Focus Area: Food Security and Self Sufficiency</b>			
115	Dr. Herry Suhardiyanto	Rector	Institut Pertanian Bogor
116	TBD	Vice Rector	Institut Pertanian Bogor
117	TBD	Partnership Manager	Institut Pertanian Bogor
118	TBD	Finance and Grant Manager	Institut Pertanian Bogor
119	TBD	ME&L Manager	Institut Pertanian Bogor

120	Dr. Ir. Mohammad Bisri, MS	Rector	Universitas Brawijaya
121	TBD	Partnership Manager	Universitas Brawijaya
122	TBD	Finance and Grant Manager	Universitas Brawijaya
123	TBD	Partnership Manager	Universitas Padjadjaran
124	TBD	Finance and Grant Manager	Universitas Padjadjaran
125	TBD	Partnership Manager	Universitas Syiah Kuala
126	TBD	Finance and Grant Manager	Universitas Syiah Kuala
127	Dr. Ketut Suastike, Sp.PD.KEMD	Rector	Universitas Udayana
128	TBD	Partnership Manager	Universitas Udayana
129	TBD	Partnership Manager	Universitas Mataram
130	TBD	Partnership Manager	Universitas Papua
131	TBD	Partnership Manager	Universitas Nusa Cendana
132	Erdogan Memili	Partnership Manager	Mississippi State University
133	Austin Humphries	Partnership Manager	University Rhode Island
<b>Priority Research Focus Area: Urban Planning and Development</b>			
134	Dr.Ir. Muhammad Anis, M. Met.	Rector	Universitas Indonesia
135	TBD	Vice Rector	Universitas Indonesia
136	TBD	CCR Director	Universitas Indonesia
137	TBD	Partnership Manager	Universitas Indonesia
138	TBD	Finance and Grant Manager	Universitas Indonesia
139	Dr. Herdis Herdiansyah	ME&L Manager	Universitas Indonesia
140	Heru Susanto	Partnership Manager	Universitas Diponegoro
141	Maspupah	Finance and Grant Manager	Universitas Diponegoro
142	Dr. Rizky Abdullah	Partnership Manager	Universitas Padjadjaran
143	Cucu Cuminawati	Finance and Grant Manager	Universitas Padjadjaran
144	Dr. Ketut Suastike, Sp.PD.KEMD	Rector	Universitas Udayana
145	Prof. I Nyoman Gde Antara	Partnership Manager	Universitas Udayana
146	Ayu Ambara Ratih	Finance and Grant Manager	Universitas Udayana
147	Dr. Tatang Suhery	Partnership Manager	Universitas Sriwijaya
148	Yanto, ST	Finance and Grant Manager	Universitas Sriwijaya
149	Dr. Andy Tirta M.Sc.	Rector	Universitas Teknologi Sumbawa
150	TBD	Partnership Manager	Universitas Teknologi Sumbawa
151	TBD	Finance and Grant Manager	Universitas Teknologi Sumbawa
152	TBD	Partnership Manager	University of Illinois, Champaign-Urbana
153	TBD	Partnership Manager	University of Florida
154	TBD	Partnership Manager	Savannah State University
<b>Press</b>			
155	TBD		Kompas
156	TBD		Media Indonesia

157	TBD	Republika
158	TBD	Suara Pembaruan
159	TBD	Koran Sindo
160	TBD	Kedaulatan Rakyat
161	TBD	Indopos
162	TBD	Koran Jakarta
163	TBD	Jawa Pos
164	TBD	Koran Tempo
165	TBD	Pikiran Rakyat
166	TBD	Suara Merdeka
167	TBD	Harian Nasional
168	TBD	Bisnis Indonesia
169	TBD	Jakarta Post
170	TBD	Rakyat Merdeka
171	TBD	Suara Karya
172	TBD	Warta Kota
173	TBD	Pos Kota
174	TBD	Waspada
175	TBD	Fajar
176	TBD	anaranews.com
177	TBD	beritasatu.com
178	TBD	bisnis.com
179	TBD	cnnindonesia.com
180	TBD	detik.com
181	TBD	jawapos.com
182	TBD	merdeka.com
183	TBD	kompas.com



## Annex 6: CCR Workshop Agenda

Time	Activity	Description/Objective	Facilitator
<b>Wednesday, 22<sup>nd</sup> March</b>			
07:30 – 08:00	Participant registration		Nanette and Nasrul
08:00 – 08:30	Opening Ceremony	Welcome remark from Kemristekdikti	DG Research and Development Strengthening, Bapak M. Dimiyati
08:30 – 09:00	Introduction to SHERA	<ul style="list-style-type: none"> <li>• Overview of program goals and objectives</li> <li>• Review of expected outcomes and activities</li> <li>• Explanation of why SHERA is using grants</li> </ul>	Prima
09:00 – 10:00	Intellectual Property Rights, Patent and Foreign Researcher Permit	Overview and updates on Indonesian government regulations in research and development	Director of Intellectual Property Right Management Dr. Sadjuga
10:00 – 10:30	<i>Coffee Break</i>		
10:30 – 11:30	SHERA Monitoring & Evaluation	<ul style="list-style-type: none"> <li>• Review of SHERA's results framework</li> <li>• Description of the role of MEL</li> </ul>	Nizma and David
11:30 – 12:00	Overview of SHERA Communication & Outreach	Objective: CCRs understand the SHERA communications do's and don'ts	Vita
12:00 – 13:00	<i>Lunch Break</i>		
13:00 – 14:00	Overview of SHERA Grants and Financial Management: CCR Guidelines, Part 1	Objective: CCRs understand IIE/SHERA's reporting requirements and SHERA templates	Dayat
14:00- 15:00	Overview of SHERA Grants and Financial Management: CCR Guidelines, Part 2	Objective: CCRs understand the supporting documentation necessary to submit with reports	Dayat and Dhini
15:00 – 15:30	<i>Coffee Break</i>		
15:30 – 16:00	Overview of SHERA Grants and Financial Management: CCR Guidelines, Part 2 (con't)	Objective: CCRs understand the supporting documentation necessary to submit with reports	Dayat and Dhini
16:30 – 16:45	Wrap up of Day 1 & plan for class break-out the following day		Prima
16:45 – 17:30	SHERA team daily feedback and evaluation		Amy Parente
19:00 – 22:00	Overview of SHERA Grants and Financial Management: CCR Guidelines, Part 3	Objectives: <ul style="list-style-type: none"> <li>• CCRs understand the advance process and required supporting documents</li> <li>• CCRs use their budgets to simulate a first advance request</li> </ul>	Dayat

Thursday, 23 <sup>rd</sup> March			
08:00 –08:30	Energizer Recap of Day I	Opportunity for participants to ask questions or request clarification	Each Class Facilitator
<b>Parallel training sessions: Finance &amp; Grants Management and Monitoring, Evaluation &amp; Learning</b>			
F&G 08:30 – 10:00	<ul style="list-style-type: none"> <li>Procurement</li> <li>Cost Principles</li> </ul>	<ul style="list-style-type: none"> <li>USAID - Awards and Relationships, prime and subs</li> <li>Audit and Fraud</li> </ul>	<ul style="list-style-type: none"> <li>Maria Arenas and Rebecca, OAA, USAID</li> <li>Fenny Chudri, OFM, USAID</li> </ul>
ME&L 08:30 – 10:00	Framework Discussion: <ol style="list-style-type: none"> <li>Indicator per level</li> <li>Definition of Indicator</li> <li>Disaggregated data</li> <li>ME&amp;L Plan</li> </ol>	Objectives: <ul style="list-style-type: none"> <li>CCRs understand the indicators and related data requested by SHERA</li> <li>CCRs can work on the ME&amp;L Plan</li> </ul>	Nizma and David
10:00 – 10:30	<i>Coffee Break</i>		
<b>Parallel training sessions: Finance &amp; Grants Management and Monitoring, Evaluation &amp; Learning</b>			
F&G 10:30 – 12:15	Applying USG Regulations (45 minutes)	Objectives: <ul style="list-style-type: none"> <li>Understand how USG regulations and requirements apply</li> <li>Understand how to research questions in the regulations</li> <li>Understand the “flow down” of requirements</li> </ul>	IIE Grants and Contracts
	Knowing your IIE/USG Award (1 hour)	Objectives: <ul style="list-style-type: none"> <li>Understand your IIE award</li> <li>Understand applicable laws and regulations</li> <li>Understand reporting and monitoring requirements</li> </ul>	
ME&L 10-12	<ul style="list-style-type: none"> <li>Framework Discussion (con’t):               <ol style="list-style-type: none"> <li>Indicator per level</li> <li>Definition of Indicator</li> <li>Disaggregated data</li> </ol> </li> <li>ME&amp;L Plan</li> </ul>		Nizma and David
12:15- 13:15	<i>Lunch</i>		
13:15- 14:00	Pre-Award Requirements (45 minutes)	<ul style="list-style-type: none"> <li>Identifying the pre-award elements of the Agreement life cycle</li> <li>Knowing the regulations that apply to the pre-award process</li> <li>Understanding what we did and why we did it under SHERA</li> </ul>	
<b>Parallel training sessions: Finance &amp; Grants Management and Monitoring, Evaluation &amp; Learning</b>			
F&G 14:00 – 15:00	USAID Mandatory Standard Provisions	con’t <ul style="list-style-type: none"> <li>Understand the different “buckets” of USAID Standard Provisions</li> <li>Understand which set of Standard Provisions applies to you and which one you “flow down” to your sub</li> <li>Provide a deep dive into the Mandatory Standard Provisions for Non-US organizations</li> </ul>	IIE Grants and Contracts and Dayat  IIE’s Grants and Contracts
ME&L	Data Recording & reporting <ul style="list-style-type: none"> <li>KPI tracking record</li> </ul>	The importance of the proper process of data recording and valid data	Nizma and David

13:30 – 15:00	<ul style="list-style-type: none"> <li>R&amp;R system → it's flow</li> <li>Data Collection Tools</li> <li>Reporting Template</li> </ul>		
15:00 – 15:30	Coffee Break		
<b>Parallel training sessions: Finance &amp; Grants Management and Monitoring, Evaluation &amp; Learning</b>			
F&G 15:30 – 17:00	Close-out (30 minutes)	<p>Objectives:</p> <ul style="list-style-type: none"> <li>Become familiar with closeout requirements</li> <li>Decide and assign closeout roles and responsibilities within your organization</li> <li>Draft closeout procedures/staff instructions that will allow you to meet sponsor requirements and also close out awards in your own systems</li> </ul>	IIE Grants and Contracts Dhini
	Procurement: Principles and Integrity (45 minutes)	<p>Objectives:</p> <ul style="list-style-type: none"> <li>Good procurement principles in regulations - Appreciating the intent of regulations</li> <li>Best practices make for easy compliance</li> <li>Apply good procurement principles</li> <li>Adapt best practices to local conditions</li> </ul>	G&C to discuss USAID requirements in general & SHERA team to incorporate program specific policies
	Procurement: Terrorism Search/Debarment (30 minutes)	Objectives: How to do a debarment and terrorism searches, and how to document it	IIE Grants and Contracts and Dhini
ME&L 15:30 – 17:00	Group work Task → Finalization of Workplan Vs Budget  Finalization of target on ME&L plan with milestone	(Con't) CCRs to know and able to conduct the inline tracking on Work Plan, ME&L and Budget	
17:00 – 17:30	Wrap-up of Day 2 & plan for the following day		Each Class Facilitator
17:30 – 18:00	SHERA team daily feedback and evaluation		Amy Parente
19:00 – 22:00	Working Group Session	Developing detailed workplans of activities for Year I	All SHERA team will be available
<b>Friday, 24<sup>th</sup> March</b>			
08:00 – 08:30	Energizer Recap of Day 2	Opportunity for participants to ask questions or request clarification	David
<b>Parallel training sessions: Finance &amp; Grants Management and Monitoring, Evaluation &amp; Learning</b>			
F&G 08:30 – 9:30	Types of Agreements	<p>Objectives:</p> <ul style="list-style-type: none"> <li>Describe the various types of Agreements an Organization can issue</li> <li>Help pass-through organizations select the right instrument, Cost Reimbursable or Fixed Amount Award</li> </ul>	IIE Grants and Contracts

F&G 9:30- 10:30	Direct and Indirect Costs	Objectives: <ul style="list-style-type: none"> <li>Understand the concept of “direct” and “indirect cost”</li> <li>Understand the application of indirect cost rates</li> <li>Analyze the cost implications of varying applications of indirect cost rates</li> </ul>	IIE Grants and Contracts
ME&L 08:30 – 10:00	<ul style="list-style-type: none"> <li>Quality Benchmark Socialization</li> <li>Communication area</li> <li>Accountability System</li> </ul>	Objectives: CCR know and comply to quality benchmark and accountability system	
F&G 10:30 – 11:30	Subaward Monitoring	<ul style="list-style-type: none"> <li>Learn the specific steps of post-award monitoring.</li> <li>Understand all steps performed in the subrecipient/subcontractor monitoring cycle.</li> <li>Adopt IIE’s monitoring steps for the monitoring of your own subs</li> </ul>	IIE Grants and Contracts
	Audit Requirements	Objectives: Understand the audit requirements under United States Agency for International Development Automated Directives System (ADS)	
ME&L 10:30 – 11:30	<ul style="list-style-type: none"> <li>Pre-Baseline Info</li> <li>YI plan finalization</li> </ul>		David
11:30 – 13:30	<i>Lunch &amp; Friday Prayers</i>		
13:30 – 16:30	CCR Presentations <i>Coffee Break</i> CCR Presentations	Each of CCR presenting their workplan (30 minutes each)	Amy Parente/ Prima
16:30 – 17:00	Wrap up of Day 3 & plan for the following day		Each Class Facilitator
17:00 – 17:30	SHERA Team Daily Evaluation		Kristy
19:00 – 22:00	Working Groups Session	Revising detailed workplans based on feedback from SHERA and peers	All SHERA team will be available for mentoring
<b>Saturday, 25<sup>th</sup> March</b>			
08:00 – 08:30	Energizer Recap of Day 3	Opportunity for participants to ask questions or request clarification	David
08:30 – 11:00	CCR Presentations	Each of CCR presenting their final workplan (30 minutes each)	
11:00: – 11:30	Wrap up of Day 3	What we have achieved, and next action plan based on the agreed work-plan from SHERA	Prima
11:30 – 12:00	Closing	To remind the action plan and thank to the participants	Jalu Cahyanto - USAID

## Annex 7: SHERA Team Activities: January – March 2017

No	FY	Date	Activity	Purpose of Activities	Location/City	Participants				Total # of Participants		Total
						Rector/Vice Rector		Faculty		F	M	
						F	M	F	M			
1	FY/Q2	9-Jan	Technical meeting for CCR Presentation	Preparation on Partnership capacity assessment	Jakarta					8	9	17
2	FY/Q2	10-Jan	Plenary Meeting on CCR Presentation	Preparation on Partnership capacity assessment	Jakarta					32	59	91
3	FY/Q2	10-Jan-17	CCR Presentation (EEMS)	Preparation on Partnership capacity assessment	Jakarta					16	32	48
4	FY/Q2	10-Jan-17	CCR Presentation (FSSS)	Preparation on Partnership capacity assessment	Jakarta					6	21	27
5	FY/Q2	10-Jan-17	CCR Presentation (IT)	Preparation on Partnership capacity assessment	Jakarta					9	35	44
6	FY/Q2	10-Jan-17	CCR Presentation (PHID)	Preparation on Partnership capacity assessment	Jakarta					9	9	18
7	FY/Q2	10-Jan-17	CCR Presentation (DP)	Preparation on Partnership capacity assessment	Jakarta					6	21	27
8	FY/Q2	17-Jan	Advisory Meeting	Preparation on Partnership capacity assessment	Jakarta					5	17	22
9	FY/Q2	31 Jan - 2 Feb	Assessment CCR Candidates	Assess the Candidates capacity in grant & project management	D.I. Yogyakarta		1			5	9	14
10	FY/Q2	6 - 7 Feb	Assessment CCR Candidates	Assess the Candidates capacity in grant & project management	Bandung		1	1	1	9	8	17
11	FY/Q2	8 - 9 Feb	Assessment CCR Candidates	Assess the Candidates capacity in grant & project management	Bandung		5	4	6	7	23	30
12	FY/Q2	13 - 14 Feb	Assessment CCR Candidates	Assess the Candidates capacity in grant & project management	Depok	0	1	0	0	12	18	30
13	FY/Q2	16 - 17 Feb	Assessment CCR Candidates	Assess the Candidates capacity in grant & project management	Bogor		1	2	3	10	12	22
14	FY/Q2	14-Mar	Budget Negotiation meeting	Negotiated the proposed budget per CCR & Clarified the workplan - MEL plan to UGM & ITB	Jakarta					5	7	12
15	FY/Q2	15-Mar	Budget Negotiation meeting	Negotiated the proposed budget per CCR & Clarified the workplan - MEL plan to UI	Jakarta					2	5	7
16	FY/Q2	16-Mar	Budget Negotiation meeting	Negotiated the proposed budget per CCR & Clarified the workplan - MEL plan to IPB & Unpad	Jakarta					2	7	9
17	FY/Q2	21-Mar	Official Launching SHERA project	Launching SHERA project & announcing the fifth selected CCR	Jakarta	3	12	8	22	59	94	153
18	FY/Q2	22-Mar	Workshop CCRs under SHERA project	Plennary session for detail program socialization	Tangerang					34	42	76
19	FY/Q2	23-Mar	Workshop CCRs under SHERA project	Pararel workshop on MEL & FnG	Tangerang					51	41	92
20	FY/Q2	24-Mar	Workshop CCRs under SHERA project	Pararel workshop on MEL & FnG following with Group presentation	Tangerang					44	58	102
21	FY/Q2	25-Mar	Workshop CCRs under SHERA project	Plennary session for group presentation	Tangerang					28	31	59
												0
<b>Total</b>						<b>3</b>	<b>14</b>	<b>10</b>	<b>25</b>	<b>359</b>	<b>558</b>	<b>917</b>