



**Guidelines for Proposal Submission
Competitive Funding Scheme
2005**

**BAGIAN 5:
Promoting Excellence
(PROGRAM B)**

Direktorat Jenderal Pendidikan Tinggi
Departemen Pendidikan Nasional
2004

A. BACKGROUND

The Directorate General for Higher Education – Ministry of National Education, in its new long term strategy called “Higher Education Long Term Strategy 2003 – 2010”, stipulated three basic policies namely, the Nation’s competitiveness, organizational health, and autonomy and decentralization. It is strongly believed that the higher education sector is capable of and even very potential to contribute significantly to the Nation’s competitiveness.

The Nation’s competitiveness, which is defined as a country's share of world markets for its products, comes less and less from abundant natural resources and cheap labor, and more and more from technical innovations and creative use of knowledge, or a combination of both [Porter, 2002]. The ability to produce, select, adapt, commercialize, and use knowledge is critical for sustained economic growth and improved living standards. The study conducted by Solow, illustrates the empirical evidence of striking difference in GDP between countries resulted from investment in knowledge [Solow, 2001].

The Nation’s competitiveness can only be achieved under the framework of strong character of its individual citizens and the civilities of its society. In this respect, the higher education system has the responsibility to provide students with strong knowledge and understanding to be good citizens, and to lead meaningful lives. Therefore, besides honing the technical edges for global competitive life, the higher education system should also contribute to the process of shaping a democratic, civilized, and inclusive society, maintaining national integration through its role as moral force, and act as the bearer of public conscience. Consequently, a proportion of the resources should be spent on these later dimensions of higher education development besides devoting a significant proportion for the development of capabilities in the dimension of technology.

On the other hand, opportunities are also emerging from these challenges. The role of higher education in the construction of knowledge economy and democratic society is stronger than ever. Its contribution to the knowledge driven economic growth and poverty reduction is carried out through the capacity to train qualified and adaptable work force, generate new knowledge to increase the Nation’s competitiveness, access and adapt global knowledge to local use.

The government, represented by the DGHE, has a responsibility to put in place an enabling framework and infrastructure to encourage institutions to be more innovative and responsive to the needs of improving the Nation’s competitiveness. It should also nourish and promote community and local government participation in developing institutions in synergistic manner. In this regard, the DGHE invites higher education institutions to submit proposal for developing program contributing to the nations’ competitiveness. As a quid pro quo for those developing a good initiative, the DGHE is providing a maximum of Rp. 1.5 billion annually that can be proposed for three years at the most.

B. PROGRAM DESCRIPTION AND OBJECTIVES

This funding is intended to support higher education institutions developing a program for addressing a specific national problem in an attempt to directly or indirectly improve the Nation's competitiveness. For this purpose, three categories of programs are introduced i.e. the first supports the development of globally competitive initiatives, the second supports the development of endeavors with wide-spread local/national application that promise direct benefits for as large as possible segments of the population, and the third supports the enhancement of national integration.

The program should be clearly designed and formulated explicating systematically steps of activities to be undertaken during the period of the proposed plan. The activities should be coherently and cohesively set up covering the three main functions of universities, viz. teaching, research, and community services. The proponent can however select a specific main thrust out of the three main functions as their primary focus.

In addition, the development program should represent a specific focus which is logically linked to the main strengths of the Department/proposing unit. In particular, the proposed program should demonstrate the following attributes:

1. It is systematically linked to the quality of learning processes that facilitate the development of well rounded graduates which are globally competitive;
2. The involvement of stakeholders and external partners which recognize and highly regard the importance of the endeavor;
3. A demonstration of multi- and cross-disciplinary approach which bring together various yet well rounded perspectives towards the alleviation of the stated problems;
4. All in all, it provides a coherent link between activities, the objectives sought, the proposed investment, and the problem statements.

The proponent can propose up to the maximum of three years funding, based on an annual contract. The contract can be extended to the following year only if the annual review shows satisfactory results of the implementation. A maximum of **Rp. 1.5 billion** can be proposed annually. It should be noted however, that this funding may not be adequate to support the whole initiative completely. In this case, the proposing institution shall provide the financial support to secure the smooth implementation of the proposed program.

It should be noted, however, that the full amount of grant will be awarded only to proposals that are considered to be in the position to expend the funds most productively. For proposals that do not quite achieve that level of quality, the amount of grant awarded should be considered more as seed monies, whereby the proposing institutions could initiate or upscale the focused activities that will create consumer demand, and preferably also generate some income to at least partially support sustainable implementation of the endeavor.

C. ELIGIBILITY

All public as well as private Indonesian higher education institutions offering study programs in the technical or social-cultural area programs are eligible to submit proposals. A maximum of three grants will be awarded to any one institution at any particular year.

The units that are eligible to submit proposals are Departments offering an undergraduate and/or graduate degree program with an accreditation rank of grade A and has been producing graduates for at least the last 5 (five) years. The proposal can be submitted by a Faculty in case of there is no such department within the faculty. In addition, the proposing unit is not currently proposing or receiving funding assistance from any competitive scheme of the DGHE. The proposal can be jointly submitted by more than one unit, wherein one of them should be declared as the lead unit. The lead unit shall meet the aforementioned eligibility criteria.

In addition, recipients of this funding shall set tuition and other fees for its regular undergraduate students not more than Rp. 5 million per semester.

D. SELECTION CRITERIA AND PROCESS

This is a competitive peer reviewed and level playing field (non-tiered) scheme. The awards of block grants will be allocated in competition which involves applicants in a six-step review and proposal development processes.

6-Step Process: 1) Initial Proposal, 2) Desk Evaluation-I, 3) Comprehensive proposal, 4) Desk Evaluation-II, 5) Site Visit, 6) Decision
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The first step will be the Initial Proposal, which will comprise a concise development plan related to any of the three categories of programs identified in the section on Program Description and Objectives. Those proposing units where evaluation of the Initial Proposal meets a satisfactory set of criteria (see below) will be invited to develop the Initial Proposal into a Comprehensive Proposal. Those proponents with Comprehensive Proposals that meet a desirable rating score will be short-listed for the Site Visit.

The Initial Proposal will be evaluated using the following three criteria:

1. Institution's leadership and commitment (20 %)

The strength of the leadership of the proposed institution can be identified from its strong visions, on how to develop the institutions and how to guide and manage the activities effectively to accomplish the institutional objectives. It should be reflected sharply in the proposal, for instance on consolidating and prioritizing the proposed program of the project.

The strength of leadership can also be identified through institutional commitment in supporting the proposal by evidence in the proposal e.g. the university provision of tangible support to the proposed plan, through provision of qualified support team and funds to augment the support, additional space to carry out the proposed activities, or provision of formal approval by institutional officials to carry out the proposed plan. The ability to identify innovatively the Nation's problem to be addressed is also a good indication of strong leadership.

2. Institutional track record and past performance (30%)

The Institution's track record and past performance in undertaking teaching, research and community services is one of the critical success factors in implementing any development program. This can be seen through the past achievement of the proposing unit in carrying out its assigned task particularly in promoting: quality graduates, various forms of IPR, internal efficiency, external linkages, etc. This track record shall demonstrate the capacity of the proposing unit to undertake the proposed program.

3. Relevance and Quality of the proposed program (50%)

Relevance of the proposed program can firstly be seen through the clarity of the Nation's problem formulation and articulation. Furthermore, the chosen problem should promise a significant impact to the nation when it is solved.

While quality of the proposal can be identified through the level of innovativeness and creativity of the proponent in developing solutions to the problem under consideration. In other words, there is sufficient indication that the Relevance being promised shall be delivered through various programs of actions if the proposing department were awarded the grant.

As indicated earlier, besides aiming for global competitiveness, the remaining two areas constitute appropriate reference for Relevance are the initiative that has wide spread application attainable by big segments of the society and efforts that deal with national integration.

The Comprehensive Proposal will be evaluated using the following criteria:

1. Organizational Health (35%)

Organizational health refers to the general state of being sound enabling an organization to function fully as per its vision and mission. In an academic context, such a healthy organization is characterized by its ability to flourish academic freedom, highly valuing innovation and creativity, to empower individuals to share knowledge, and to work for organization success. It should also be noted that healthy institutions could only develop in a healthy system that systematically encourage a pro-active approach to manage each individual in becoming efficient and effective organization, with clear rights, responsibilities, and accountability. A healthy organization provides its members with the tools for adapting to complex and difficult situations. It gives them enough lee-way and autonomy to deal with unusual demands and unforeseen circumstances. Finally, imbedded in a healthy

organization is an internally driven quality assurance mechanism that rests on self-assessment and external validation.

2. Relevance and Quality (40%)

The proposed program shall possess a sound and clear description addressing systematically and articulately a specific Nation's problem which is of significant importance to the nation, be it in the areas of technology or social-cultural that constitute the appropriate prerequisites for a nation to develop its technological capabilities. Meanwhile, institutions that focus on the development of technology with wide spread application attainable by big segments of the society should also be appropriately appreciated.

The endeavor shall comprise a set of coherent activities which cohesively geared towards the alleviation of the Nation's problem under consideration, equipped with rigorous implementation mechanism and accurate performance indicators.

3. Sustainability (25%)

Sustainability is one of the major concerns in any development program, it provides assurance for the continuation of operation and services for any invested resources, as well as the implementation of good practices. In most cases two aspects are considered in assuring such sustainability, viz. commitment and financial support although at least part of that financial support should reflect consumer demand for the graduates and services put out by the newly developed programs of the proposing unit.

E. ELIGIBLE COST COMPONENTS

This funding can be used to subsidize the following components

1. Upgrading/enhancing of the existing equipment

This component is not meant for a major investment; rather it can be used for upgrading or enhancing the performance of the existing equipment. Proponent may proposed up to the maximum of 30% of the total budget for this component

2. Textbooks and journals

This component can be used for procuring textbooks, software packages, or back issues journal. It cannot be used of journal subscription.

3. Paper presentation at international conferences

This component can be used to support faculty members who are presenting papers at refereed and reputable international scientific seminar/conference. At most two presentations presented by two presenters are allowed for one seminar.

4. Publication at international journals, patent registration

This can be used for publication fee at international journal or administration fee for patent registration. A maximum of Rp. 10 million can be proposed for each publication or patent registration.

5. Post-doctoral program

This can be used to support collaborative/joint research where part of it is to be undertaken overseas. This component covers only one return air ticket and living cost allowance for a three to six months stay. It shall be used to support an on-going collaborative research and is not intended to initiate a joint research. If proposed, this component should be accompanied by a Terms of Reference (TOR)

6. Research grants

The research topics should be parts of the proposed development program which requires an extensive scientific research/study. A maximum of Rp. 75 million can be proposed for one grant annually. Each grant must produce one paper which meets the quality of publishable at a refereed and reputable international journal. If proposed, this component should be accompanied by a Terms of Reference (TOR)

7. Community development grants

This component can be used to finance the development of a product, design or system as parts of the proposed program that are directly needed by the users. A maximum of Rp. 75 million can be proposed for one grant and a maximum of two grants can be proposed annually. In case where the users are the productive sectors, this activity should be jointly financed by the involved parties where this funding can be proposed to support up to 50% of the total financial needs. If proposed, this component should be accompanied by a Terms of Reference (TOR)

8. Innovative teaching grants

Development of innovative methods in learning as part of the abovementioned program, substantially addressing the effectiveness of learning process..

9. Consumables (including chemicals, laboratory materials, etc.)

10. Project management (taken from the counterpart budget)

The proponent shall select components from the above list that are directly linked to the proposed program.

F. STRUCTURE OF THE PROPOSAL

1. Initial Proposal

The Initial Proposal shall be succinctly described to be presented in at most 10 pages (excluding cover, table of contents, and endorsement letter). It should focus on two main substances:

- a. Institutional past achievements in undertaking teaching, research and community services, linkages, etc.
- b. Nation's problem statement that is related to any of the three categories of programs stated in the section on Program Description and Objectives and the proposed solutions

Some evidence of relevant resources available at the proposing unit can also be attached to the proposal (attachment is considered to be part of the proposal and is therefore counted in the number of pages).

In case of a joint proposal, the role and responsibility of each member unit should be clearly explicated in the proposal.

2. Comprehensive Proposal

The Comprehensive Proposal comprises three major elements:

a. Institutional development plan (maximum of 5 pages)

This describes concisely the overall development plan of the Department as well as its link to the institution's plan and strategies.

b. Proposed development program and summary of the proposed budget (maximum of 25 pages).

This describes in detail the following

- What are the Nation's problems to be resolved and why are they of significance to the nation?
- How the problems are to be solved and how to measure the effectiveness of the methods being proposed?
- What are the needed resources to implement the proposed solutions?

c. Self-Evaluation report

This should present the results of a rigorous and comprehensive self-evaluation processes specially undertaken in conjunction with the proposed development program described in (b). There is no a specific format for presenting this report, though a reference may be found in a separate document entitled "Panduan Penyusunan Laporan Evaluasi Diri".

The proposal should be endorsed by the Rector (or Vice-Rector on the Rector's behalf). In case of a joint proposal, each proposing unit should provide a

statement of commitment support. A Statement of Commitment to provide the counterpart budget should also be attached to the proposal.

G. PROPOSAL SUBMISSION AND GRANT ADMINISTRATION

The initial as well as the comprehensive proposal should be bound with white cover and be submitted to:

**Proyek Peningkatan Manajemen Pendidikan Tinggi (P2MPT)
Direktorat Jenderal Pendidikan Tinggi
Departemen Pendidikan Nasional,
Kompleks Depdiknas Gedung E Lantai 19,
Jalan Jenderal Sudirman
JAKARTA 10002**

Five copies of the proposal and the electronic files containing the proposal, in PDF format stored in diskette/CD-ROM (initial proposal stored in diskette and comprehensive proposal stored in CD-ROM), should be submitted within office hours (08.00 – 17.00).

Grantees should provide a **matching fund** of **at least 7.5%** of the proposed budget. The matching fund should at least cover the cost for managing the project.