



MINISTRY OF EDUCATION, CULTURE,
RESEARCH, AND TECHNOLOGY

UNIVERSITAS SUMATERA UTARA

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REGULATION OF THE RECTOR OF UNIVERSITAS SUMATERA UTARA
NUMBER 3 OF 2022

ON

RESEARCH IMPLEMENTATION AT UNIVERSITAS
SUMATERA UTARA

BY THE GRACE OF GOD ALMIGHTY

THE RECTOR OF UNIVERSITAS SUMATERA UTARA

Considering : a. that in order to implement the provisions of Article 20 point (16) of Government Regulation Number 16 of 2014 concerning the Statutes of Universitas Sumatera Utara, it is necessary to stipulate the Regulation of the Rector of Universitas Sumatera Utara concerning the Implementation of Research at Universitas Sumatera Utara;

In View of : 1. Law Number 30 of 2003 concerning the National Education System (State Gazette of the Republic of Indonesia 2003 Number 78, Addition to the State Gazette of the Republic of Indonesia Number 4301);
2. Law Number 12 of 2012 concerning Higher Education (State Gazette of the Republic of Indonesia 2012 Number 158, Addition to the State Gazette of the Republic of Indonesia Number 5336);
3. Government Regulation Number 4 of 2014 concerning the Implementation of Higher Education and Management of Higher Education (State Gazette of the Republic of Indonesia 2014 Number 16, Addition to the State Gazette of the Republic of Indonesia Number 5500);
4. Government Regulation Number 16 of 2014 concerning the Statutes of Universitas Sumatera Utara (State Gazette of the Republic of Indonesia 2014 Number 42, Addition to the State Gazette of the Republic of Indonesia Number 5510);
5. Government Regulation Number 26 of 2015 concerning the Form and Mechanism of Funding for Legal Entity State Universities (State Gazette of the Republic of Indonesia 2015 Number 110, Addition to the State Gazette of the Republic of Indonesia Number 5699);
6. Regulation of the Minister of Research, Technology, and Higher Education Number 20 of 2018 concerning Research (State Gazette of the Republic of Indonesia 2018 Number 759);
7. Regulation of the Minister of Education and Culture Number 3 of 2020 concerning National Standards for Higher Education (State Gazette of the Republic of Indonesia 2020 Number 47);

8. Regulation of the Minister of Finance Number 60/PMK.02/2021 concerning Input Cost Standards for the 2022 Fiscal Year (State Gazette of the Republic of Indonesia 2021 Number 658);
9. Regulation of the Minister of Finance Number 123/PMK.02/2021 concerning Output Cost Standards for the 2022 Fiscal Year (State Gazette of the Republic of Indonesia 2021 Number 1042);
10. Regulation of the Board of Trustees of Universitas Sumatera Utara Number 17 of 2016 concerning the General Policy of Universitas Sumatera Utara in 2016-2021;
11. Regulation of the Board of Trustees of Universitas Sumatera Utara Number 16 of 2016 concerning the Organization and Governance of Universitas Sumatera Utara;
12. Regulation of the Rector of Universitas Sumatera Utara Number 1 of 2020 concerning the Implementation of Research at Universitas Sumatera Utara.

DECIDED:



To stipulate : REGULATION OF THE RECTOR OF UNIVERSITAS SUMATERA UTARA CONCERNING THE IMPLEMENTATION OF RESEARCH AT UNIVERSITAS SUMATERA UTARA.

CHAPTER I
GENERAL REQUIREMENTS

Article 1

In the Regulation of the Rector of the Universitas Sumatera Utara, the following terms are defined:

1. Universitas Sumatera Utara, hereinafter abbreviated as USU, is a higher education institution aforementioned in Government Regulation Number 16 of 2014 concerning the Statutes of Universitas Sumatera Utara.
2. Ministry is the Ministry in charge higher education in the Republic of Indonesia.
3. Rector is an organ of USU that leads the organization and management of USU.
4. Researchers are permanent lecturers at USU who have a National Lecturer Identification Number (NIDN) or Specific Lecturer Identification Number (NIDK) from the Directorate General of Science, Technology, and Higher Education Resources or certain functional personnel at USU (doctors, dentists, nurses, midwives, pharmacists, nutritionists, and others of the same type).
5. The State Revenue and Expenditure Budget, hereinafter abbreviated as APBN, is the annual financial plan of the Indonesian government approved by the House of Representatives.
6. Non-Tax State Revenue Funds, hereinafter referred to as Non PNBPN Funds, are funds sourced from USU income that do not originate from the Government.
7. The TALENTA Research Program is a research program organized by USU using Non PNBPN funds and focuses on areas of academic excellence as stated in the Strategic Plan (Renstra) of USU
8. The Research Institute is the Research Institute of USU.
9. Pioneer Research is a research program that aims to improve the competence of researchers, specifically for lecturers who have never been a chief researcher who received research grant funds or for lecturers who have not met the requirements as a chief researcher in research funded by the Ministry.

	
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10. Reputation Research is a research program that aims to improve reputation of USU both at the national and international levels in realizing USU as a world-class university according to the mandate of the Renstra of USU.
11. Basic Research Scheme is a research program that is aimed at encouraging lecturers to conduct research in order to obtain scientific capital that may not have an economic impact in the short term, oriented towards explanations or discoveries (inventions) to anticipate a new symptom/phenomenon, rule, model, or postulate or the search for new methods or theories.
12. Applied Research Scheme is a research program that is implemented or directed to create innovation and development of science and technology-social and culture in order to produce innovations that can be utilized by society or industry.
13. Development Research Scheme is a research program that is implemented and directed to produce innovative products that have economic value.
14. USU Hospital Development Research Scheme (PPRSU) is a research program that aims to foster and direct researchers at Hospitals within USU to conduct transitional research and/or research in the field of developing medical science and technology, dentistry, and other health for the development of teaching hospitals.
15. Government Collaborative Research Scheme is a collaborative research program with the government that aims to find solutions of problems in society to achieve development goals. The focus of this research is to achieve the goals of the global action plan or Sustainable Development Goals (SDGs).
16. Higher Education Collaborative Research Scheme (PT) is a research program that aims to foster institutional development and ultimately increase the recognition of research outputs. In this Scheme, USU is expected to foster PT in the clusters below it to be able to improve the quality of higher education together.
17. National Collaborative Research Scheme of WCU (World Class University) Grant Fund. The purpose of this Scheme is to strengthen national research collaboration among PTNs under the guidance of Ministry to mutually enhance their reputation through research fields.
18. International Collaborative Research Scheme is a research program that aims to enhance the reputation of research by conducting research collaborations with researchers from the world's top 500 universities.
19. International Alliance Research Scheme is a collaborative research with the world's top universities that have been designated as international partners to enhance research reputation.
20. Professor Study Center Research Scheme is a research specifically for professors to disseminate their expertise through research groups/study centers that match their expertise.
21. Strategic/Thematic Study Research Scheme is a research that is specifically designed to support the policy-making and implementation process in a country/government/institution so that the policies taken can effectively answer the problems in the dynamics of the strategic environment faced both internally and externally. This scheme is expected to provide a strong academic foundation in determining strategic policies or answering problems in society.
22. The Guidebook is a Guidebook for the Implementation of TALENTA Research which is issued annually by USU through the Research Institute which aims to guide the implementation of Pioneer Research and Reputation Research.

CHAPTER II SCOPE

Article 2

- (1) This Regulation of the Rector is aimed to regulate the implementation of Pioneer Research and Reputation Research funded by USU Funds sourced from Non PNBPFunds listed in the Work Plan and Budget of Research Institute and other sources of funds received by USU that are aimed for research.
- (2) The implementation of research aforementioned in point (1) is carried out based on the Output Cost Standards determined by the Rector.
- (3) Research based on Output Cost Standards aforementioned in point (2) consists of Pioneer Research and Reputation Research.
- (4) Pioneer and Reputation Research is adjusted to the policies set by the Rector to support work programs aimed at accelerating the achievement of targets set by the Renstra and assignments given by the Ministry (Attachment 1).

Article 3

- (1) The implementation of research funded by the government from the APBN or funding from other sources is carried out in accordance with statutory provisions or following the guidelines and rules of the funder.
- (2) Research Theme is focused on academic excellence that will be developed by USU in accordance with the University Vision as stated in the Research Master Plan and adjusted to the direction of the Ministry.

CHAPTER III RESEARCH IMPLEMENTATION

Article 4

- (1) Dean/Director of the Postgraduate School is responsible to the Rector for the management of Pioneer Research originating from Non PNBPFund sources of USU.
- (2) The Research Institute is responsible for managing Reputation Research and research with funding sources originating from the Ministry (Directorate of Research and Community Service/DRPM and other assignments), as well as other research that is cross-disciplinary or multidisciplinary in nature from other funding sources.

Article 5

- (1) The management of Pioneer Research is carried out by the Faculty/Postgraduate School and coordinates with the Research Institute.
- (2) The implementation of Pioneer Research refers to the guidelines issued by the Research Institute.
- (3) The Faculty/Postgraduate School has the duties and authority to carry out and manage Pioneer Research (Attachment 2).

Article 6

- (1) Reputation Research is conducted by the Research Institute under the coordination of the Vice Rector in charge of Research.
- (2) The Research Institute has the duties and authority to carry out and manage Reputation Research (Attachment 3).

Article 7

- (1) All proposals will be assessed by appointed reviewers (Attachment 4).
- (2) Each proposal must involve at least 1 student other than the leader and research members.
- (3) The assessment process consists of two reviews, namely the assessment of proposal feasibility and research improvement (Attachment 5).

Article 8

Research related to Innovative Institutions, Study Centers, Centers of Excellence in Science and Technology (PUI), and Science Techno Parks (STP) will be coordinated directly by the Vice Rector in charge of Research in collaboration with Research Institutions.

CHAPTER IV RESEARCH OUTPUT

Article 9

- (1) Each research funded by USU must produce outputs as determined by the Research Institute (Attachment 6).
- (2) The output for each Research Scheme is guided by the Research Guidebook and Letter of Agreement between the Chief Researcher and the Dean/Director of the Postgraduate School (SPs) for Pioneer Research and between the Chief Researcher and the Head of the Research Institute for Reputation Research.
- (3) In each research output, researchers are required to include affiliation and gratitude (acknowledgement) to USU (the standard spelling of USU affiliation is Universitas Sumatera Utara).
- (4) For Pioneer Research Output, each researcher from the Faculty/Postgraduate School is evaluated by the Dean/Director of the SPs so that it can be published on time.

CHAPTER V PAYMENT METHOD

Part One Signing of the Agreement



Article 10

- (1) Dean/Director of the SPs determines Pioneer Research and the Research Institute determines Reputation Research that is entitled to receive research funds based on the recommendations of the Proposal Reviewer.
- (2) The determination of researchers aforementioned in point (1) considers the availability of budget allocations by taking into account the financing of the research activities that have been determined.
- (3) The implementation of research activities is carried out based on the commitments as stated in the Research Work Contract between the Chief Researcher and the Dean/Director of the SPs for Pioneer Research and between the Chief Researcher and the Research Institute for Reputation Research.

Part Two Bill Submission

Article 11

- (1) The payment of the Research Work Contract is made in stages in accordance with the Research Work Contract.

	
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- (2) The Head of the Research Institute for reputation research and the Dean/Director of the SPs for pioneer research have the authority to determine the number of stages of disbursement and the amount of research cost disbursement by taking into account the principles of efficiency and effectiveness.

Article 12

- (1) The Head of the Research Institute and the Dean/Director of the SPs submit invoices to USU in stages and complete the application files for payment purposes (Attachment 7).

Article 13

Provisions regarding taxation for research activities are implemented in accordance with the provisions of legislation in the field of taxation.

CHAPTER VI
MONITORING AND EVALUATION

Article 14

- (1) The Research Institute conducts monitoring and evaluation of research implementation, research budget, and research reputation output.
- (2) The Research Institute conducts monitoring and evaluation of research implementation, research budgets, and pioneer research output in coordination with the Faculty/Postgraduate School.
- (3) The monitoring and evaluation procedures are determined by the Research Institute.

CHAPTER VII
FINANCIAL ACCOUNTABILITY



Article 15

- (1) Accountability for the use of research costs by researchers is based on the achievement of research outputs that have been determined based on the Research Agreement Letter and as stated in this Regulation of the Rector.
- (2) The researchers are responsible for the use of the budget if it does not comply with the specified time and does not achieve the research outputs stipulated in the Research Agreement Letter.
- (3) The researchers are required to sign a expenditure responsibility statement which will be submitted to the Research Institute.

CHAPTER VIII
SANCTION

Article 16

- (1) The researchers who do not fulfill the mandatory outputs promised in the proposal according to the time specified by the Research Institute will be sanctioned in accordance with the Research Contract of TALENTA USU;
- (2) If the researcher does not carry out any research at all, then the researcher is responsible for the research funds to USU.

	
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CHAPTER IX
FURTHER PROVISIONS

Article 17

Technical arrangements for managing research activities based on output cost standards for each Research Program Scheme are set out in the Guidebook.

CHAPTER X
CLOSING PROVISIONS

Article 18

This Regulation of Rector of USU comes into force on the date of stipulation.

Stipulated in Medan
On April 1, 2022

RECTOR,

Signed

MURYANTO AMIN
NIP 197409302005011002

ATTACHMENT 1
REGULATION OF THE RECTOR OF UNIVERSITAS
SUMATERA UTARA
NUMBER OF 2022
ON
RESEARCH IMPLEMENTATION AT UNIVERSITAS
SUMATERA UTARA

RESEARCH TYPE OF PIONEER AND REPUTATION RESEARCH GROUP

Pioneer Research Group consists of:

- a. Basic Research Scheme;
- b. Applied Research Scheme.

Reputation Research Group consists of:

- a. Development Research Scheme;
- b. Hospital Development Research Scheme at USU;
- c. Government Collaborative Research Scheme;
- d. Higher Education Collaborative Research Scheme (PT);
- e. National Collaborative Research Scheme of WCU (World Class University) Grant Fund;
- f. International Collaborative Research Scheme;
- g. International Alliance Research Scheme;
- h. Professor Study Center Research Scheme;
- i. Strategic/Thematic Study Research Scheme.

Stipulated in Medan
Rector,

Signed

MURYANTO AMIN

ATTACHMENT 2
REGULATION OF THE RECTOR OF UNIVERSITAS
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SUMATERA UTARA

THE DUTIES OF FACULTY/POSTGRADUATE SCHOOL IN MANAGING PIONEER
RESEARCH

In managing Pioneer Research, the duties of the Faculty/Postgraduate School are as follows:

- a. The Faculty/Postgraduate School budgets funding in the Work Plan and Budget (RKA) for the implementation of Pioneer Research;
- b. Pioneer Research is conducted based on the Research Master Plan which is the contribution of the Faculty to fulfilling the predetermined Renstra targets;
- c. Faculty/Postgraduate School coordinates with the Department/Study Program to determine Pioneer researchers;
- d. The review, monitoring and evaluation process will be carried out under the supervision of the Research Institute involving University Reviewers and Faculty/Postgraduate School Reviewers;
- e. Faculty/Postgraduate School is required to report the progress, final report and outputs achieved by the Pioneer research at the end of the specified time to the Rector through the Research Institute.

Stipulated in Medan
Rector,

Signed

MURYANTO AMIN

ATTACHMENT 3
REGULATION OF THE RECTOR OF UNIVERSITAS
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SUMATERA UTARA

THE DUTIES OF RESEARCH INSTITUTIONS

The Research Institute has the following duties and authorities:

- a. To map the research, to organize the research, and to provide assistance to researchers;
- b. To determine research budget allocation;
- c. To conduct the research assignments;
- d. To prepare and determine research implementation procedures;
- e. To form reviewers;
- f. To conduct monitoring and evaluation in the implementation of research;
- g. To conduct coaching and facilitating improvements in research quality in order to be able to compete at national and international;
- h. To compile and manage research database starting from proposal submissions, document evaluation, determining winners, monitoring and evaluation, and research performance achievements conducted online through Simpel USU;
- i. To coordinate with the Faculty/Postgraduate School in the context of implementing Pioneer Research.

Stipulated in Medan
Rector,

Signed

MURYANTO AMIN

ATTACHMENT 4
REGULATION OF THE RECTOR OF UNIVERSITAS
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APPOINTMENT OF REVIEWER

Reviewers aforementioned in Article 7 Point 1 consist of:

- a. Proposal Reviewer;
- b. Research Progress Reviewer.

Stipulated in Medan
Rector,

Signed

MURYANTO AMIN

ATTACHMENT 5
REGULATION OF THE RECTOR OF UNIVERSITAS
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SUMATERA UTARA

REVIEWER DUTIES

Proposal Reviewer aforementioned in Article 7 point 2, has the following duties:

- a. To provide recommendations on the feasibility of proposals to the Head of the Research Institute;
- b. To assess the suitability between the amount of costs and the Output Cost Units to be achieved;
- c. Other duties as determined based on the Decree of Appointment.

Research Progress Reviewer aforementioned in Article 7 point 2, has the following duties:

- a. To provide recommendations on the feasibility of sub-outputs of research implementation to the Head of the Research Institute;
- b. To assess the feasibility of the costs that have been provided with the sub-outputs of the research implementation that have been achieved;
- c. Other duties as determined based on the Decree of Appointment.

Stipulated in Medan
Rector,

Signed

MURYANTO AMIN

ATTACHMENT 6
REGULATION OF THE RECTOR OF UNIVERSITAS
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SUMATERA UTARA

Research Output Attachment

The research output attachment is a research output that can be measured, namely one or more of the following outputs:

- a. publication/ accredited national journal articles
- b. publication/ international journal article
- c. publication/ reputable international journal articles indexed in Scopus and other reputable indexers recognized by the Directorate General of Higher Education;
- d. Research and Development prototype/used in policy;
- e. industrial viable prototype/used in policy;
- f. registered patent
- g. paten granted
- h. patents used in industry;
- i. publication/ articles in the proceedings of national scientific conference;
- j. publication/ articles in proceedings of international scientific conference;
- k. publication/ articles in indexed proceedings of international scientific conference;
- l. socio-cultural science and technology products (methods, blueprints, prototypes, systems, policies, models, social engineering);
- m. National or International Intellectual Property Rights;
- n. Teaching materials that have a national or international (International Standard Book Number) ISBN;
- o. Policies (guidelines, regulations), models, social engineering, or technological products that can be directly utilized by stakeholders;
- p. Reference Books, Monographs, Theses or Dissertations;
- q. Prototype or new material.

Stipulated in Medan
Rector,

Signed

MURYANTO AMIN

ATTACHMENT 7
REGULATION OF THE RECTOR OF UNIVERSITAS
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SUMATERA UTARA

Collection Stage of Fund Disbursement

The Dean/Director of the Postgraduate School and the Head of the Research Institute submit a bill for the disbursement of funds to USU in stages, as follows:

- a. Stage I (70%), by attaching the following documents:
 1. Research proposal;
 2. Recommendation of Proposal eligibility by Proposal Reviewer;
 3. Research Agreement Letter.

- b. Stage II (30%), by attaching the following valid documents:
 1. Report on the progress of research implementation based on the stages in accordance with the Research Work Contract and/or Research Results Report;
 2. Statement of Expenditure Responsibility 70%;
 3. Recommendation of eligibility from the Research Progress Reviewer;
 4. Report of Assessment Results.

Stipulated in Medan
Rector,

Signed

MURYANTO AMIN