



MINISTRY OF EDUCATION AND CULTURE,

UNIVERSITAS SUMATERA UTARA

Jalan dr. T. Mansur No. 9 Kampus USU Medan 20155
Phone: (061) 8211633, 8216575, Fax: (061) 8219411, 8211822, 8211766
Website: www.usu.ac.id

REGULATION OF THE RECTOR OF UNIVERSITAS SUMATERA UTARA

NUMBER: 4 OF 2021

ON

INTERNAL QUALITY ASSURANCE SYSTEM
UNIVERSITAS SUMATERA UTARA

BY THE GRACE OF THE ALMIGHTY GOD

THE RECTOR OF UNIVERSITAS SUMATERA UTARA,

CONSIDERING : a. that by the stipulation of the Regulation of the Minister of Research, Technology, and Higher Education Number 62 of 2016 on Quality Assurance System of Higher Education, which regulates Internal Quality Assurance System of Higher Education, it is necessary to synchronize the Internal Quality Assurance System within Universitas Sumatera Utara;

b. that Universitas Sumatera Utara shall implement the guidance of the quality assurance system issued by the Minister of Research, Technology, and Higher Education, Directorate General of Learning and Student Affairs, Directorate of Quality Assurance of 2019;

c. that Universitas Sumatera Utara needs to continuously implement USU strategic plan 2020-2024, and requires academic and non-academic quality improvement;

d. that based on the considerations as referred to in letters a, b, and c, it is necessary to stipulate the Regulation of the Rector of Universitas Sumatera Utara on Internal Quality Assurance System.

IN VIEW OF : 1. Law Number 20 of 2023 on National Education System;

2. Law Number 12 of 2012 on Higher Education;

3. Government Regulation of the Republic of Indonesia Number 16 of 2014 on Statute of Universitas Sumatera Utara;

4. Regulation of the Minister of Education and Culture of the Republic of Indonesia Number 50 of 2014 on Higher Education Quality Assurance System;
5. Regulation of the Minister of Research, Technology, and Higher Education of the Republic of Indonesia Number 15 of 2015 on Organization and Governance of the Minister of Research, Technology, and Higher Education;
6. Regulation of the Minister of Research, Technology, and Higher Education of the Republic of Indonesia Number 44 of 2015 on National Standard for Higher Education;
7. Regulation of the Minister of Research, Technology, and Higher Education Number 62 of 2016 on Higher Education Quality Assurance System;
8. Regulation of the Minister of Research, Technology, and Higher Education of the Republic of Indonesia Number 3 of 2020 on Higher Education National Education Standard;
9. Regulation of the Minister of Education and Culture of the Republic of Indonesia Number 5 of 2020 on Accreditation of Study Program and Higher Education;
10. Decree of the Minister of Research, Technology, and Higher Education of the Republic of Indonesia Number 317/M/KP/X/2015 on Removal of the members of Universitas Sumatera Utara Board of Trustees for the period of 2009-2014, and Appointment of the members of Universitas Sumatera Utara Board of Trustees for the period of 2015-2020;
11. Regulation of the National Accreditation Body for Higher Education (BAN-PT) Number 2 of 2017 on Higher Education National Accreditation System;
12. Regulation of the National Accreditation Body for Higher Education (BAN-PT) Number 1 of 2020 on Accreditation Mechanism conducted by BAN-PT;
13. Regulation of Universitas Sumatera Utara Board of Trustees Number 16 of 2016 on Organization and Governance of Universitas Sumatera Utara;
14. Decree of USU Board of Trustees Number: 1/SK/MWH/I/2025 on Universitas Sumatera Utara Article of Association;
15. Decree of USU Board of Trustees Number 1/SK/MWA/I/2016 on Appointment of the Rector of Universitas Sumatera Utara for the period of 2016-2021;
16. Decree of USU Board of Trustees Number:

3/SK/MWA/I/III/2016 on Appointment of Vice Rectors of Universitas Sumatera Utara for the period of 2016-2021;

17. Regulation of the Rector Number 7 of 2016 on Internal Quality Assurance System;
18. Decree of the Rector of Universitas Sumatera Utara Number: 738/UN5.1.R/SK/SDM/2017 on Appointment of the Head and Secretary of Universitas Sumatera Utara Quality Management Unit for the period of 2017-2022;
19. Regulation of the Rector of Universitas Sumatera Utara Number: 3023/UN5.1R/SK/SDM/2017 on the Removal and Appointment of Secretary for Universitas Sumatera Utara Quality Management Unit for the period of 2019-2022;
20. Decree of the Rector of Universitas Sumatera Utara Number 219/UN5.1.R/SK/SJM/2020 on the Execution Staff of Quality Management Unit (UMM USU) for Cycle 13 of 2020

DECIDED:

TO STIPULATE : REGULATION OF THE RECTOR OF UNIVERSITAS SUMATERA UTARA ON UNIVERSITAS SUMATERA UTARA INTERNAL QUALITY ASSURANCE SYSTEM

CHAPTER I GENERAL PROVISIONS

Article 1

In this Regulation of the Rector, the following terms shall define as hereunder:

- (1) Universitas Sumatera Utara, henceforth referred to as USU, is a higher education institution that administers academic programs in the fields of science, technology, health, humanities, and arts in accordance with the provisions of law and regulations.
- (2) Rector is the organ of USU that is responsible for leading the organization and management of USU.
- (3) Vice Rector assists the Rector in the areas of academics, student affairs and alumni, finance, human resources, research, community service and collaboration, information systems, planning and development, asset management, and university businesses.
- (4) Dean of the Faculty/Director of Graduate School is the head of the Faculty/Graduate School within USU, authorized and responsible for ensuring academic quality assurance in the Faculty/Graduate School in their respective Faculty/Graduate School.
- (5) Lecturers are USU professional educators and scholars tasked with transforming, developing, and disseminating knowledge and technology through education, research, and community service for the community within USU.

- (6) Administrative Staff are members of the community who dedicate themselves and are appointed to support the operations of university.
- (7) Internal Quality Assurance System (IQAS), henceforth referred to as SPMI, is a systematic activity of quality assurance in education, research, and community service, committed to controlling and improving the implementation of the *Tri dharma* of higher education in a planned and sustainable manner.
- (8) External Quality Assurance System (EQAS), henceforth referred to as SPME, is an accreditation assessment committed to assessing the eligibility and level of quality achievement of study programs and higher education.
- (9) The Execution Staff of Internal Quality Assurance System (SPMI) at USU is the Quality Management Unit, henceforth referred to as UMM, that manages quality assurance activities in both academic and non-academic sectors.
- (10) Faculty is a group of supporting resources, grouped by major/department, that administers and manages academic programs at Associate Degree (D3), or professional degree in the fields of science, technology, humanities, and/or arts within USU.
- (11) The Graduate School, hereinafter, referred to as SPs, is the academic body that coordinates and/or administers academic programs at the Master's (S2) and Doctoral (S3) levels and/or Advanced Professional Degree in specific fields of science, technology, and/or arts.
- (12) A Study Program is a unit of educational and learning activities with a specific curriculum and methodology conducted in a particular type of academic programs, professional degree, and/or D3 within USU.
- (13) Quality Assurance Unit (QAU), henceforth referred to as GJM, is committed to planning, implementing, evaluating, controlling, and continuously enhancing the quality of both Faculty/Graduate School level in academic sectors and the bureau offices in non-academic sectors.
- (14) Academic GJM is the execution team of the quality assurance at Faculty/Graduate School level, a group of supporting resources that may be grouped by Faculty/Graduate School that administers and manages academic programs at D3, Undergraduate Degree (S1), Specialist Degree, Professional Degree, S2, and Doctoral Degree (S3) in one scientific discipline encompassing science, technology, health, humanities, and arts within USU.
- (15) Non-Academic GJM is the execution team of the quality assurance officer at the University Secretary (SU) and the Bureau of Central Administration (BPA) level, responsible for carrying out administrative activities within USU.
- (16) Quality Control Unit (QCU), henceforth referred to as GKM, is dedicated to planning, implementing, evaluating, controlling, and continuously enhancing the quality of Study Programs in academic sectors; including institutes, libraries, Basic Science Laboratory (LIDA), Information System Center (PSI), and other units/departments in non-academic sectors.

- (17) Academic GKM is the execution team of the quality assurance at Study Program Level, consisting of educational and learning activities with specific curriculum and methodologies in a particular academic program such as D3, S1, Specialist Degree, Professional Degree, S2, and S3 in one scientific discipline encompassing science, technology, health, humanities, and arts within USU.
- (18) Non-academic GKM is the execution team of the quality assurance at SU BPA level, as well as other Institutes, Libraries, and PSI.
- (19) The PPEPP (Establishment, Implementation, Evaluation, Control, and Enhancement) Cycle is USU SPMI mechanism that follows the approach of Establishment/Planning, Implementation, Evaluation, Control, and Enhancement.
- (20) BINTANG is set of values of USU that stands for Being Pious towards One Almighty God within the framework of Diversity, Innovation with Integrity, Resilience and Wisdom.
- (21) TALENTA represents the academic excellence in the fields of Tropical Science Medicine, Agroindustry, Local Wisdom, Sustainable Energy, Natural Resources (biodiversity, forest, marine, and tourism), Technology (appropriateness), and Arts (ethnic).
- (22) On-Campus Study Programs and Off-Campus Study Program (PSDKU) include all study programs within USU, whether it is located at the main campus or outside the main campus.
- (23) Master's program is Strata 2 (S2) educational program which is equivalent to the Indonesian National Qualifications Framework (KKNI) level 8, completed either through coursework or research.
- (24) Doctoral program is Strata 3 (S3) educational program which is equivalent to KKNI level 9, completed either through coursework or research.
- (25) Applied Master's program is Strata 2 (S2) vocational education program which is equivalent to KKNI level 8.
- (26) Applied Doctoral Program is Strata 3 (S3) vocational education program which is equivalent KKNI level 9.
- (27) Project in Student Activity is part of the Freedom of Learning activities, involving the development of project assignments focused on specific social issues, and can be carried out collaboratively with other students.

CHAPTER II
VISION, MISSION, OBJECTIVES, AND GOALS

Section One
Vision

Article 2

The vision of Quality Management Unit (UMM), as the execution team of Internal Quality Assurance System (SPMI), is “to become a credible Quality Assurance Unit that promotes continuous quality improvement of *Tri Dharma* of Higher Education and is capable of competing on a global level”.

Section Two
Mission

Article 3

To achieve its vision, UMM sets the following missions:

- a. to establish, implement, evaluate, control, and enhance the quality, with integrative coordination and public accountability, using a system and information technology comprehensively, consistently, and continuously to support the achievement of USU Vision, Missions, Goals, and Objectives;
- b. to synchronize SPMI with External Quality Assurance System (SPME) at both national and international level harmoniously and continuously;
- c. to optimize the SPMI organs within each work unit, and an accountable autonomous coordination by empowering all academic and non-academic GJM and GKM within USU thoroughly, gradually, and continuously;
- d. to cultivate a culture of quality to become the higher education that embodies BINTANG values and promotes the competitive excellence of TALENTA to meet the national and international standards.

Section Three
Objectives

Article 4

To achieve the vision and carry out the missions, UMM shall strive to achieve the following goals:

- a. to conduct PPEPP cycle periodically, comprehensively, consistently, and continuously with integrative coordination and public accountability, by utilizing system and information technology;

- b. to prepare SPMI documents that exceed the standards of Dikti (the Directorate General of Higher Education);
- c. to conduct initiatives dedicated to refining and enhancing SPMI;
- d. to conduct evaluation activities consisting of diagnostic, formative, and summative monitoring evaluation (Internal Quality Audit) in each cycle;
- e. to implement monitoring for the implementation of SPMI standards which are the outcomes obtained from the evaluation phase.
- f. to achieve the improvement of the established SPMI;
- g. to enhance national and international accreditation achievements through the systematic and continuous implementation of SPMI;
- h. to ensure the consistency of each component of Quality Assurance in Education, Research, and Community Service;
- i. to enhance the performance of internal quality assurance system organs within work units comprehensively, gradually, continuously, and enhance an accountable coordinating autonomy;
- j. to achieve a culture of quality in higher education which embodies BINTANG value and promotes the competitive excellence of TALENTA that meets national and international standards.

Section Four

Goals

Article 5

The objectives of UMM, as established above and based on the results of USU Self-Evaluation, are elaborated into the six strategic objectives, as follow:

- a. To achieve the vision, mission, goals, and objectives of USU, encompassing all aspects related to Quality Assurance;
- b. To ensure the consistency and presence of every Quality Assurance component in accordance with national quality standards in education, research, and community service, as well as other higher education standards;
- c. To ensure that every USU Graduate masters competencies in accordance with specific standards;
- d. To ensure that all students across study programs experience the same learning experience;
- e. To ensure the average relevance of educational programs and stakeholders' demands and needs;
- f. To facilitate and coordinate continuous improvement efforts at every level and unit of both academic and non-academic sectors within USU.

CHAPTER III SCOPE

Article 6

- (1) The scope of the Internal Quality Assurance System of USU (henceforth referred to as SPMI USU) encompasses all aspects of higher education administration in both academic and non-academic sectors, which consist of planning/establishment, implementation, evaluation (diagnostic, formative, and summative), control, and quality enhancement based on quality standards, followed by audits in education, research, community service, student affairs, and other non-academic sectors.
- (2) SPMI USU is implemented annually, henceforth referred to as the Quality Cycle.
- (3) The Quality Cycle SPMI USU is implemented across all work units, including: Faculties/Graduate Schools, and Study Programs in terms of academic sectors. On the other hand, Bureaus, Agencies, Institutes, Libraries, Information Systems Centers, and other work units are meant for non-academic sectors.
- (4) SPMI USU standards will be continuously developed to exceed the minimum higher education standards and shall meet the international standards.
- (5) The development of SPMI USU standards is also expected to support the implementation of SPME conducted by National Accreditation Agencies (BAN-PT, LAM-PTKes, LAM in other fields, Certification Agencies) and International Accreditation (IABEE, ABET, JABEE, and other international accreditations as well as non-academic certification institutes such as ISO and AUN-QA).

CHAPTER IV QUALITY POLICY

Article 7

Management and all execution team of Quality Management Unit of USU (henceforth referred to as as (UMM USU) are committed to:

- a. administering a credible and accountable Internal Quality Assurance System;
- b. improving premium, qualified, prompt quality assurance service programs and activities to increase satisfaction of user and stakeholders;
- c. improving an effective, continual, and sustainable Quality Management System.

CHAPTER V
MECHANISM AND CONCEPT OF
INTERNAL QUALITY ASSURANCE SYSTEM (SPMI) IMPLEMENTATION

Section One
Mechanism of Internal Quality Assurance System (SPMI)

Article 8

SPMI USU mechanism follows the approach of PPEPP, namely:

- a. Establishment/Planning: it involves the establishment of SPMI documents, including Policies, Standards, Manuals, and Forms, and other supporting documents;
- b. Implementation: it encompasses the execution of all phases of the PPEPP cycles by using SPMI documents within the designated timeframe of the cycle;
- c. Evaluation: it encompasses the entire range of monitoring and evaluation activities (diagnostic, formative, and summative), also known as Internal Quality Audit (AMI), conducted in accordance with SPMI documents within the cycle's timeframe;
- d. Control: it involves a follow-up on the outcomes of evaluation to monitor whether standard have been met, not met, or exceeded within the cycle's timeframe;
- e. Enhancement: it involves the action for quality improvement formulated at the Monitoring Meeting (RP), with the resulting output being an Action plan (RT) to be implemented in the following cycle.

Section Two
Concept of Internal Quality Assurance System (SPMI) Implementation

Article 9

The Concept of SPMI Implementation for academic and non-academic fields follows the principles of:

- a. Write what you do;
- b. Do what you write;
- c. Record what you write.

Article 10

- (1) The mechanisms and concepts outlined in Article 8 and Article 9 shall be implemented at each Faculty/Graduate School/ BPA level and Study Programs/Institutes/Work Units. To carry out integrated Internal Quality Assurance program activities, GJM serves as the task force at Faculty/Graduate School/ Bureau of Central

Administration (BPA) level, and Quality Control Unit (GKM) serves as the task force at Study Programs/Institutes/Work Unit level within USU.

- (2) All SPMI programs, including routine activities and developmental activities, are supported by the Annual Activity Budget Plan (RKAT) with sufficient funding to ensure the implementation of all programs.

CHAPTER VI RESPONSIBLE HOLDER OF INTERNAL QUALITY ASSURANCE SYSTEM (SPMI)

Article 11

- (1) The Rector is responsible for SPMI at the university level; and Vice Rector 1 serves as the deputy.
- (2) The responsible parties for GJM and GKM are the Deans/Directors of Graduate Schools.
- (3) The responsible parties for Non-academic GJM and GKM are the Vice Rectors/University Secretary.

CHAPTER VII EXECUTION PERSONNEL OF INTERNAL QUALITY ASSURANCE SYSTEM (SPMI)

Article 12

- (1) The execution personnel of SPMI consists of academic GJM managers who are responsible at Faculty/Graduate Schools, and non-academic GJM managers who are responsible at University Secretary/BPA. Additionally, the Academic GKM managers are responsible at study program, and non-academic GKM managers are responsible at institutes/divisions/work units.
- (2) The officer of SPMI is systemic, integrated, and structured in a hierarchical manner.

Section One

Internal Quality Assurance System (SPMI) at University Level

Article 13

- (1) UMM is a unit committed to planning, implementing, evaluating, controlling, and analyzing/formulating quality enhancement continuously at university level within SPMI framework.
- (2) UMM consists of a head and secretary appointed and removed by the Rector for a five-year tenure period.
- (3) To meet its duties and functions, UMM is operated by a Head, Secretary, Deputy Secretary, Divisions Managers, Divisions Members, and Secretariat.

- (4) UMM is accountable to the Rector through the Vice Rector I.
- (5) The Deputy Secretary is appointed by the Rector for one-year tenure period.
- (6) The Division Manager consists of several Division Managers and a number of Division Members appointed by the Rector for one-year tenure period.
- (7) The Secretariat comprises administrative staff who assist Quality Management Unit (UMM) in its daily operational activities, particularly in secretarial and administrative matters.

Section Two

Internal Quality Assurance System (SPMI) at Faculty Level

Article 14

- (1) Academic GJM, as a task force, is committed to planning, implementing, evaluating, controlling, analyzing/formulating quality enhancement continuously at Faculty/Graduate School level within academic sectors.
- (2) Vice Dean I, II, and III provide data/inputs related to planning, implementation, evaluation, control, and analyze/formulate continuous quality enhancement to GJM, as the task force officer of SPMI at faculty level.
- (1) Academic GJM gradually coordinates with UMM.
- (2) Academic GJM consists of a Head and at least one member or more.
- (3) Academic GJM consists of Lecturers and/or Administrative Staff proposed by the Dean and appointed by the Rector for one-year tenure period.

Section Three

Internal Quality Assurance System (SPMI) at Study Program Level

Article 15

- (1) To implement an integrated Internal Quality Assurance System, Academic GKM, as a quality task force, is committed to planning, implementing, evaluating, controlling, and continuously enhancing the quality at Study Program level within academic sectors.
- (2) The Head of Study Program provides data/inputs related to planning, implementation, evaluation, control, and analyze/formulate continuous quality enhancement to GKM as the task force officer of SPMI at study program level.
- (3) Academic GKM is gradually coordinating with Academic GJM and/or the Head of the Study Program.
- (4) GKM consists of a Head and at least one member or more.

- (5) Academic GKM consists of Lecturers and/or Administrative Staff proposed by the Dean and appointed by the Rector for one-year tenure period.

Section Four
Internal Quality Assurance System (SPMI)
at University Secretary/Bureau of Central Administration (BPA) Level

Article 16

- (1) Non-Academic GJM, as a task force, is committed to planning, implementing, evaluating, controlling, and continuously enhancing the quality at University Secretary and BPA levels.
- (2) Non-Academic GJM consists of a Head and at least one member or more.
- (3) The Head of Non-Academic GJM is the Head of the Bureau proposed by the Vice Rector/University Secretary and appointed by the Rector for one-year tenure period.
- (4) Non-Academic GJM is gradually coordinating with UMM.
- (5) Non-Academic GKM, as a quality task force, is committed to planning, implementing, evaluating, controlling, and continuously enhancing the quality at BPA/Institutes/ Libraries/ PSI/Departments/Units.
- (6) Non-Academic GKM consists of a Head and at least one member or more.
- (7) The Head of Non-Academic GKM is the Head of the Division at BPA/Head of Institutes/Head or Deputy Head of the Library/Head of PSI/Head of Work Unit whose administrative staff members working at BPA/Institutes/Library/PSI. The Head is proposed by the Vice Rector/University Secretary and appointed by the Rector for one-year tenure period.
- (8) Non-Academic GKM coordinates with Non-Academic GJM and/or the Head of the Bureau.

Section Five
Internal Quality Auditor

Article 17

Internal Quality Auditor, as a group of quality auditors consisting of USU permanent lecturers with internal certification, conducts the Internal Quality Audit activities in each quality cycle at all academic and non-academic GJM and GKM within USU.

CHAPTER VIII
TASKS OF INTERNAL QUALITY ASSURANCE SYSTEM (SPMI)
EXECUTION PERSONNEL

Section One
Compilation and Revitalization of
Internal Quality Assurance System (SPMI) Documents

Article 18

SPMI USU documents for each cycle consist of:

- a. Policies;
- b. Standards;
- c. Manuals;
- d. Forms;
- e. Other required supporting documents

Article 19

The Policy Documents on SPMI USU as referred to in Article 18 letter a, shall contain at least:

- a. USU Vision, Mission, and Objectives;
- b. Background of SPMI;
- c. Objectives of the Policy Document;
- d. Scope and Presence of the Policy Document;
- e. Definitions/terms in the Policy Document;
- f. Outline of SPMI USU Policy, including:
 - i. Objectives and Strategies;
 - ii. Principles of Implementation;
 - iii. Management (PPEPP);
 - iv. Strategy of implementation;
 - v. Officials or particular officers (including the organizational structure and governance of SPMI, if any);
 - vi. List of Standards and Manuals;
 - vii. Key Performance Indicators and Achievement Targets.
- g. Brief information about other documents, namely: Manuals, Standards, and Forms;
- h. Correlation of policy documents with other USU relevant Documents (such as Statutes and Strategic Plans);
- i. References

Article 20

The Standard Document of SPMI USU as referred to in Article 18 letter b shall contain at least:

- a. USU Vision and Mission;
- b. Standard Rationale: it explains the reason for establishing the standards;

- c. Responsible Holders: Parties responsible for achieving/meeting content standard;
- d. Definition of Terms: It provides specific terms used in each standard to avoid multiple interpretations;
- e. Standard Statement: It defines required minimum criteria of higher education quality standards;
- f. Strategy: It provides methodologies or processes which are designed to achieve the Standard Statements;
- g. Performance Indicator: It defines how achievement targets are measured;
- h. Documents closely related to SPMI USU standards; and
- i. Reference: closely related to the establishment of SPMI USU standards.

Article 21

The Manual Document of SPMI USU as referred to in Article 18 letter c provides technical instructions, steps, or procedures of USU PPEPP, that shall contain at least:

- a. USU Vision and Mission;
- b. Objectives of the Manual document;
- c. Scope or coverage of the Manual document;
- d. Definitions of Terms;
- e. Steps/Procedures for establishing the standards;
- f. Qualifications of Officials/Officers who implement the manual document;
- g. Notes;
- h. References.

Article 22

- (1) The Form Document as aforementioned in Article 18 letter d, is designed to record or document specific information required for the implementation of USU Internal Quality Assurance System (SPMI) standards;
- (2) The use of Forms serves the following purpose:
 - a. recording/documenting all findings from the education organization practices that do not meet to certain standard.
 - b. recording/documenting all corrective actions of authorized officials to address non-compliances in the content standard, performed by lecturers, administrative staff, and structural officials.
 - c. conducting self-evaluation using checklist consisting of essential questions or data that must be completed by each study program.

Article 23

Other required supporting documents, as referred to in Article 18 letter e, are all documents including those beyond SPMI policies, standards, manuals, and forms. The supporting documents are essential for systemic, integrated, and gradual implementation of SPMI.

Article 24

The documents of SPMI as aforementioned in Article 18 are continuously compiled and updated with the involvement of parties who responsible/implement/manage the quality assurance at the level of Faculty/Graduate School, University Secretary/BPA, Study Program, and other institutes/ libraries/PSI/work units within USU.

Article 25

The establishment and revitalization of SPMI documents constitute the initial phase of mechanism, as aforementioned in Article 8, paragraph 1, as referred to "Establishment,". This phase serves as the planning and provides reference at the initial phase of each cycle's implementation.

Section Two

Training and Development Programs

Article 26

- (1) Training is a process conducted to improve the knowledge, understanding, and performance of SPMI officer at Faculty/University Secretary/BPA, Study Program, and other institutes/libraries/PSI/work units within USU.
- (2) Implementation training is mandatory for GJM and GKM in each cycle organized by UMM.
- (3) Auditor Certification Training which is organized by UMM is mandatory for the candidate of AMI auditors in each cycle.

Article 27

Development programs are programs and processes aimed at enhancing conceptual abilities, insights, and skills in management, monitoring, and decision-making which are organized for quality assurance system managers at the level of university, Faculty/Graduate School, and study program.

Article 28

- (1) Other training and development programs organized by UMM are referring to the needs outlined in UMM work program.
- (2) During the implementation and development of mechanism programs, it is necessary for UMM to organize education and training programs.

Article 29

Training and development programs are the second phase of SPMI mechanism as aforementioned in Article 8, paragraph 2, namely “Implementation”.

Section Three Evaluation

Article 30

- (1) Evaluation of SPMI Implementation is conducted to prevent and correct any non-compliance practices in the SPMI standards.
- (2) Evaluation activities are carried out simultaneously with monitoring activities, referred to as monitoring and evaluation (Monev).
- (3) Monitoring Evaluation is conducted regularly. It comprises several phases: Formative, Diagnostic, and Summative Monitoring Evaluation, which is also known as Internal Quality Audit.

Article 31

- (1) Formative Monitoring Evaluation is conducted in every SPMI implementation, primarily to optimize the application of SPMI policies, standards, manuals, and forms. It ensures that the implementation aligns with the established documents and mechanisms.
- (2) Formative Monitoring Evaluation evaluates the implementation of the standards in one academic year, from the beginning of the odd semester to the end of the even semester of the ongoing academic year.
- (3) The Formative Monitoring Evaluation utilizes standard achievement measurement instruments.
- (4) The execution personnel of Formative Monitoring Evaluation in academic sectors include Managers or Structural Officials at Faculty/Graduate School level, assisted by academic GJM, Managers or Structural Officials at the Study Program level, assisted by academic GKM. In non-academic sectors, it involves Managers or Structural Officials at the level of University Secretary/

BPA assisted by non-academic GJM, and Managers or Structural Officials at the level of work units/university library/PSI assisted by non-academic GKM.

- (5) The outcomes of Formative Monitoring Evaluation are analyzed to obtain the actual status of standard achievements, which serves as inputs for Diagnostic Monitoring Evaluation.
- (6) The analysis of Formative Monitoring Evaluation is conducted gradually. At the university level, it is conducted by UMM whereas at the Faculty/Graduate School/Bureau level, it is conducted by GJM.

Article 32

- (1) Diagnostic Monitoring Evaluation is conducted in every SPMI implementation to identify obstacles in meeting the standards, using diagnosis identification through a spiderweb diagram. This process facilitates improvements and ensures that a good implementation of each standard can be met and monitored well.
- (2) The entire SPMI USU Diagnostic Monitoring Evaluation utilizes Performance Indicator Instruments and Assessment, which are then scored in the form of Spiderweb Scoring at SPMI USU system.
- (3) Diagnostic Monitoring Evaluation identifies obstacles, improvements, and fulfilment of the implementation of each SPMI standard, covering the last academic year, starting from the September previous year to the ongoing August.
- (4) Officer for Diagnostic Monitoring Evaluation include Managers or Structural Officials at the Faculty/Graduate School level, assisted by GJM and Managers or Structural Officials at the Study Program level, assisted by Quality Control Unit (GKM).
- (5) The outcomes of Diagnostic Monitoring Evaluation results are analyzed for each criterion.
- (6) The manager of UMM oversees the implementation the Diagnostic Monitoring Evaluation.

Article 33

- (1) Summative Monitoring Evaluation is conducted at the end of each SPMI standard implementation to measure the achievements and identify improvements for the next cycle.
- (2) Summative Monitoring Evaluation conducted by internal parties of the university is also known as Internal Quality Audit.
- (3) Internal Quality Audit, abbreviated as AMI, is a systematic and independent auditing activity conducted by the university's internal party, UMM, together with certified external or internal quality auditors. During the implementation of SPMI, the audit activities target the faculties/Graduate Schools, Study Programs, Institutes, and Bureaus.
- (4) Summative Monitoring Evaluation is comprehensive and complete initiatives, which assess not only the output but also the outcomes or impacts of a process or activity.

- (5) Summative Monitoring Evaluation targets structural official unit/manager at each work unit.
- (6) The coordinators of Summative Monitoring Evaluation include the Manager Division of Monitoring Evaluation Quality Assurance, and AMI; whereas UMM Monitoring is coordinating with the current cycle of AMI Program Manager (MP-AMI).
- (7) Summative Monitoring Evaluation is conducted by auditors of AMI.
- (8) Summative Monitoring Evaluation consists of system audit (desk evaluation) and compliance audit (assessment implementation), which are compiled in AMI report.
- (9) System Audit employs System Audit Instrument.
- (10) Compliance Audit employs Compliance Audit Instrument.
- (11) The auditee in Summative Monitoring Evaluation is the Manager or Structural Official, assisted by GJM and GKM.
- (12) The outcomes of Summative Monitoring Evaluation will be analyzed by the manager of UMM.

Article 34

Formative, Diagnostic, and Summative Monitoring Evaluation are aimed at:

- a. ensuring the implementation of SPMI standard;
- b. anticipating and/or correcting any non-compliances or shortcomings in the implementation of SPMI standards that may hinder achieving the content standard;
- c. If no non-compliances or shortcomings are found, the goal of evaluation or monitoring is to maintain the implementation of SPMI standards, including the National Standard for Higher Education (SN-Dikti), standards developed by respective universities, and implemented non-academic standards.

Article 35

Evaluation constitutes as the third cycle of the Internal Quality Assurance System (SPMI) mechanism as aforementioned in Article 8 paragraph 3, namely in the "Evaluation" of the PPEPP quality cycle.

Section Four

Monitoring Meeting and Follow-up Plan

Article 36

- (1) Monitoring the implementation of SPMI Standards (Dikti Standards) is a follow-up to fact findings obtained during the Evaluation Phase of Standards Implementation.
- (2) If the findings indicate that the implementation of the Standards content aligns with the stipulated requirements, the monitoring steps involve maintaining these achievements while preparing for further improvements.

- (3) If the fact findings indicate otherwise, corrective actions must be taken to ensure that the established Standards in are fulfilled.

Article 37

- (1) The Monitoring Meeting and Follow-up Plan, abbreviated as RP-RTL, is a process of reviewing inputs, processes, and outputs.
- (2) RP-RTL essentially employs the outcomes of AMI, despite the fact that it may consider other inputs not originating from AMI to formulate future improvement plans for top management and the results shall determine steps for improving quality systems, especially in relation to customer demands and resource readiness to achieve the established targets.
- (3) RP-RTL employs RP-RTL instruments filled out by GJM.
- (4) RP-RTL is conducted by GJM and GKM in each Faculty/Bureau respectively.
- (5) The results of the Faculty RP-RTL are reported to UMM.
- (6) Joint RP-RTL is conducted by UMM.
- (7) The results of the Faculty RP-RTL are analyzed for each criterion.
- (8) The Analysis of the Faculty M RP-RTL is conducted by each quality assurance division of UMM.
- (9) The RP-RTL serves as the fourth phase of the SPMI cycle, namely "Control," aimed at assessing the effectiveness of the quality system and achieving continuous quality improvement within the current cycle.

Article 38

The Monitoring Meeting and Follow-up Plan (RP-RTL) is the fourth cycle of the SPMI mechanism as aforementioned in Article 8 paragraph 4, which is in the "Control" phase of the PPEPP quality cycle.

Section Five Quality Enhancement

Article 39

- (1) Quality improvement and enhancement follow up the outcomes of RP-RTL outlined in an action plan.
- (2) To determine the priority program of the action plans for improving and enhancing quality program, RP-RTL has been conducted by considering resource capabilities and target timelines.

- (3) It is necessary to benchmark with other succeeded institutions and those demonstrated better achievements to learn their best practices.

Article 40

Quality improvement constitutes the fifth cycle of SPMI mechanism in Article 8, paragraph 5, namely in the "Improvement" phase of the PPEPP quality cycle.

CHAPTER IX FUNCTIONS OF INTERNAL QUALITY ASSURANCE SYSTEM (SPMI) EXECUTION PERSONNEL

Article 41

- (1) SPMI USU assists the Rector to coordinate the quality assurance process of academic and non-academic program activities.
- (2) To meet SPMI USU standards and ensure continuous improvement of academic and non-academic programs and activities, all SPMI execution personnel are required to serve a quality assurance service function within their respective work units.

CHAPTER X DATABASE AND INFORMATION SYSTEM OF INTERNAL QUALITY ASSURANCE SYSTEM (SPMI)

Article 42

- (1) The entire implementation of SPMI is supported by a database and information system managed by the Quality Assurance Division of the Database and Information System.
- (2) SPMI database and Information System is coordinating with USU Information System to maintain integrated and up-to-date database management based on Information Technology and constraints on SPMI information system.

CHAPTER XI
INTERNAL QUALITY ASSURANCE SYSTEM (SPMI) OF
FREEDOM OF LEARNING – INDEPENDENT CAMPUS

Article 43

- (1) USU, as a Legal-Entity State University (PTN BH), is required to implement SPMI for the four pillars of Freedom of Learning – Independent Campus.
- (2) USU is required to implement SPMI upon the opening of new Study Programs.
- (3) USU is required to implement SPMI in accordance with Higher Education Accreditation System.
- (4) USU is required to implement SPMI upon its status as a Legal-Entity State University.
- (5) USU is required to implement SPMI in accordance with the Right to Learn Three Semesters outside the Study Program.

Article 44

Upon the Opening of New Study Programs, SPMI shall encompass:

- (1) the Curriculum of Study Programs which is designed based on graduate competencies in accordance with the National Standards for Higher Education and the provisions of applicable law;
- (2) the requirement that the study program is required to have at least five lecturers in their respective fields of expertise, both at Main Campus Study Programs and Off-Campus Study Program (PSDKU), subject to age and academic qualification criteria as mandated by law;
- (3) Doctoral programs that require to have at least two prospective permanent lecturers holding the academic title of professor in the relevant field of science and technology;
- (4) Applied doctoral programs that require to have at least two prospective permanent lecturers holding doctoral/ applied doctoral academic titles in the field of science and technology relevant to the Study Program;
- (5) USU as a Legal-Entity State University, where lecturers are willing to work full-time for 37.5 hours per week;
- (6) the placement of lecturers and administrative staff in the newly opened Study Programs in accordance with legislation;
- (7) the approval of the Organizing Body for the opening of Study Programs at the PTS;
- (8) Study Programs which are managed by the program management unit with organizational structure and functions arranged and stipulated by the Board of Trustees (MWA).

Article 45

In its relation to Higher Education Accreditation System, the Internal Quality Assurance System (SPMI) shall encompass:

- (1) optimization of the internal quality assurance system at all levels of the university, faculties/study programs, and departments;
- (2) optimization of the internal quality assurance organization at all levels from the university, faculties/ study programs, and departments;
- (3) optimization of personnel managing internal quality assurance at all levels from the university, faculties/ study programs, and departments;
- (4) optimization of the mechanism of internal quality assurance at all levels from the university, faculties/ study programs, and departments;
- (5) optimization of the implementation of the PPEPP cycle in Academic and Non-Academic GJM and GKM.

Article 46

In its relation to the status of Legal-Entity State University, SPMI shall encompass:

- (1) the implementation of high-quality *Tri Dharma* of Higher Education;
- (2) the management of university organizations based on principles of good governance;
- (3) the fulfilment of minimum standards of financial feasibility;
- (4) the fulfilment of social responsibilities; and
- (5) the contribution to economic development.

Article 47

In its relation to the Right to Learn Three Semesters outside the Study Program, SPMI shall encompass:

- (1) internship activities in companies, non-profit organizations, multilateral organizations, government institutions, and start-ups.
- (2) social projects to assist rural or remote areas in building people's economy, infrastructure, and others.
- (3) teaching activities in elementary, middle, and high schools following university guidelines. Schools can be located in urban or 3T (underdeveloped, frontier, and outermost) areas.
- (4) taking classes or semesters at domestic and foreign universities based on memorandum of understanding established by the Government and/or between universities.
- (5) academic research activities, both in sciences and social sciences/humanities, conducted under the supervision of lecturers or researchers.
- (6) student activities in developing entrepreneurship independently, proven by an explanation/proposal of entrepreneurship activities and evidence of transactions or payroll slips.
- (7) student activities in developing a project based on specific social topics and can be carried out together with other students.
- (8) social activities for a foundation or humanitarian organization approved by the University, both domestically and abroad

CHAPTER XII TRANSITIONAL PROVISIONS

Article 48

- (1) The provisions set forth in this regulation constitute an integral and inseparable part of Government Regulation of the Republic of Indonesia Number 16 of 2014 on Statute of Universitas Sumatra Utara, and Regulation of USU Board of Trustees Number 16 of 2016 on Organization and Governance of USU.
- (2) All expenses required in Article 10 paragraph 2 shall be charged to the budget of the University of North Sumatra.

CHAPTER XIII CLOSING PROVISION

Article 49

Upon the effective date of Regulation, the Regulation of the Rector of Universitas Sumatera Utara, Number: 7/UN5.1.R/SK/SJM/2016 on Universitas Sumatera Utara Internal Quality Assurance System is revoked and declared null and void.

Article 50

This Regulation of the Rector of Universitas Sumatera Utara comes into effect on the date it is enacted.

Enacted in Medan
Dated on 30 March 2021

Rector,

Signed and Stamped

MURYANTO AMIN
NIP.197409302005011002