



UNIVERSITAS
GADJAH MADA

QUALITY MANUAL BOOK INTERNAL QUALITY ASSURANCE SYSTEM

This book outlines the principles, structures, and procedures of the Internal Quality Assurance System (IQAS) at Universitas Gadjah Mada. It serves as a reference for implementing continuous quality improvement in academic and non-academic processes, ensuring compliance with national higher education standards and institutional goals. The manual provides guidance for planning, implementing, evaluating, and developing quality assurance at all levels within the university.

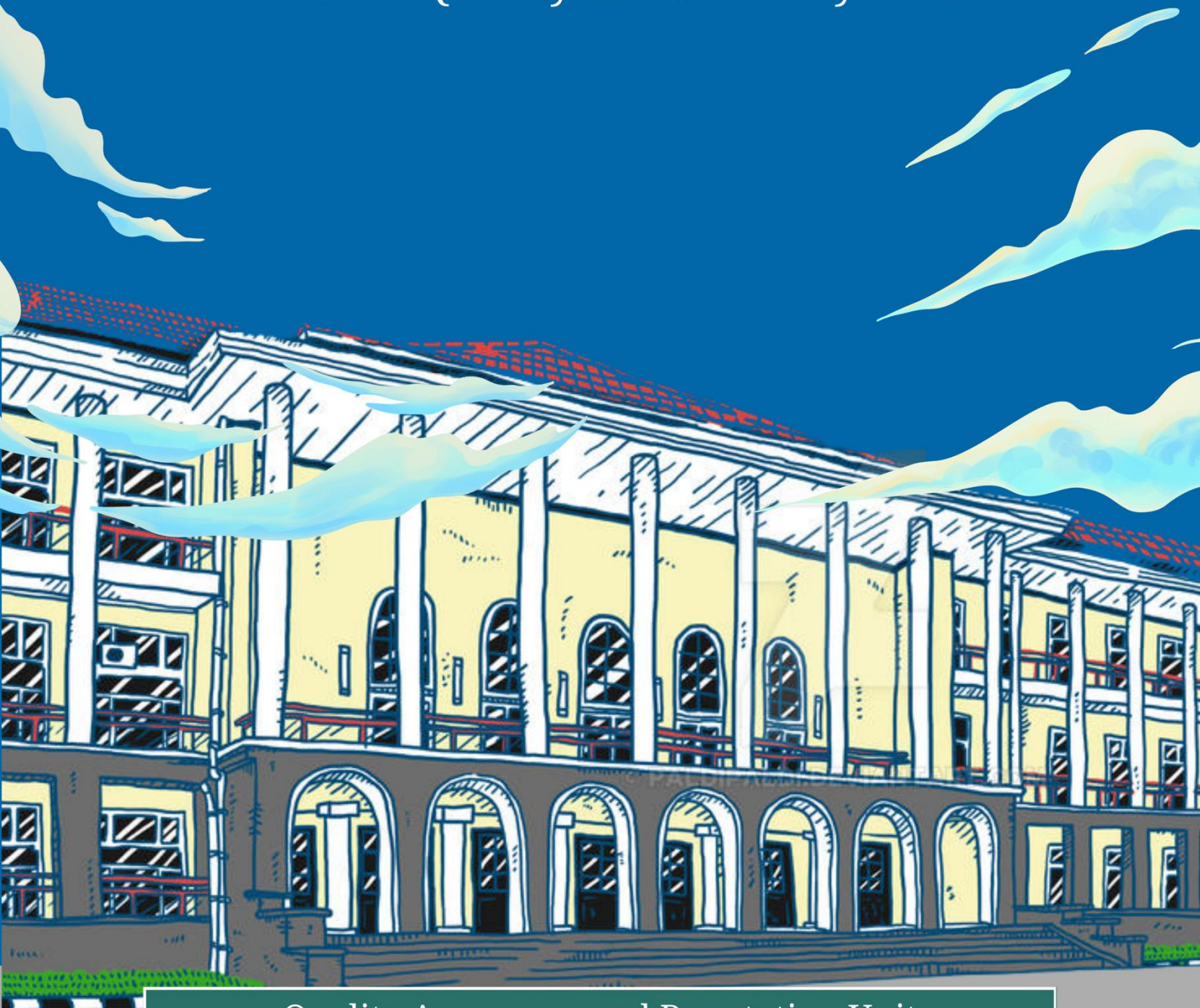
Universitas Gadjah Mada
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UNIVERSITAS
GADJAH MADA

QUALITY MANUAL BOOK

Internal Quality Assurance System



Quality Assurance and Reputation Unit
Universitas Gadjah Mada



Quality Assurance and Reputation Unit
Universitas Gadjah Mada

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The book cover features the image "Gedung Pusat UGM Balairung" by Paldipaldi, sourced from [DeviantArt](#).

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Validation Sheet

All policies stipulated in this Quality Manual document must be understood and used as guidelines in the development and application of the Internal Quality Assurance System at all levels at UNIVERSITAS GADJAH MADA

Yogyakarta, 13August 2021

Approved by

Rector

Universitas Gadjah Mada

Prof. Ir. Panut Mulyono, M. Eng., D. Eng.

Drafted by

Head

Quality Assurance Office - UGM

Prof. Dr. Indra Wijaya Kusuma, MBA

Foreword

Based on Law Number 12 of 2012 and following the development of the Higher Education Quality Assurance System, the 2020 revised UGM Quality Manual, which is an elaboration of the IQAS (Internal Quality Assurance System) policy regulated by the Minister of Research, Technology and Higher Education Regulation Number 62 of 2016 on the higher education quality assurance system, has been prepared and contains principles of internal quality assurance systems. The Universitas Gadjah Mada Quality Manual is a controlling document for fulfilling UGM academic documents, consisting of Academic Policies, Standards, and Regulations. Furthermore, the UGM Quality Manual is used as a reference for developing quality manuals at the faculty/school/other work unit level, which then become guidelines for preparing Study Program Specifications (SP). Quality Procedures (PM) and Work Instructions (IK) at the department and/or study program level.

The contents of the Quality Manual, which includes the Internal Quality Assurance System and Supporting Systems, have been refined by considering the ASEAN University Network Quality Assurance (AUN-QA) standards and various international accreditation standards implemented at UGM. This manual should be used as a guide for university administrators, unit and program managers, lecturers, education staff, and students to control the implementation of the policies contained in Universitas Gadjah Mada academic documents.

Yogyakarta. 13 August 2021

Rector

Prof. Ir. Panut Mulyono, M. Eng., D. Eng.

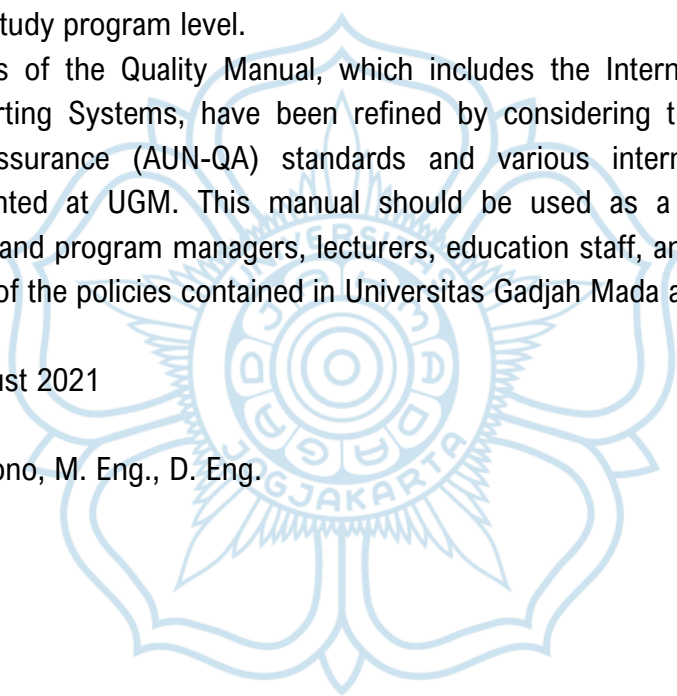
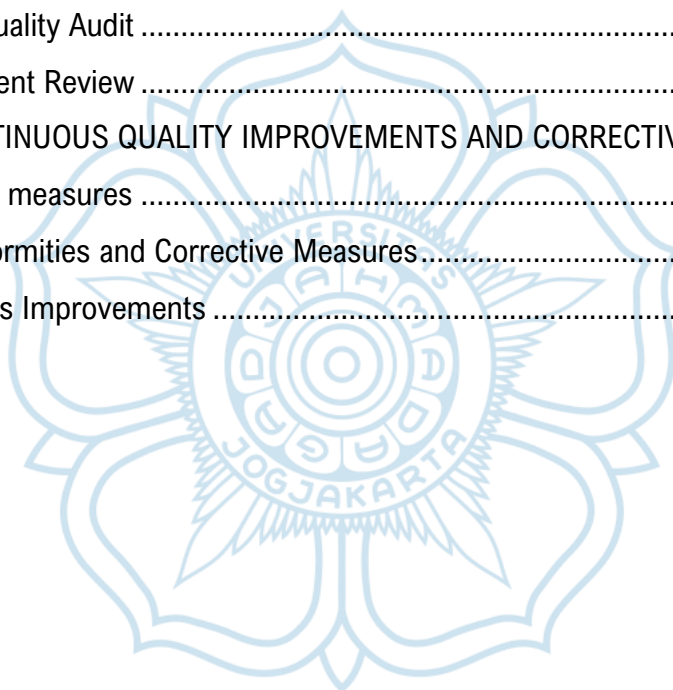


TABLE OF CONTENTS

VALIDATION SHEET	2
FOREWORD	2
CHAPTER 1 INTRODUCTION	7
1.1. Universitas Gadjah Mada Profile.....	8
1.1.1. Vision, Mission and Goals of Universitas Gadjah Mada	9
1.1.2. Universitas Gadjah Mada Organizational Structure	10
CHAPTER 2 NORMATIVE REFERENCES	13
CHAPTER 3 SCOPE OF UNIVERSITAS GADJAH MADA IQAS	15
CHAPTER 4 TERMS AND DEFINITIONS.....	16
CHAPTER 5 UNIVERSITAS GADJAH MADA INTERNAL QUALITY ASSURANCE SYSTEM AND PROCESSES	18
5.1. Concepts and Policies	19
5.2. Applications	21
CHAPTER 6 LEADERSHIP AND QUALITY POLICIES.....	29
6.1. Leaderships and Commitments.....	30
6.2. Focus on Internal and External Stakeholders	30
6.3. <i>Tridharma</i> Quality Policies at the University level.....	31
6.4. Basic Policies.....	31
6.5. Education Policies.....	31
6.6. Research Policies	33
6.7. Community Service Policies	34
6.8. Internal Quality Assurance System Policies.....	35
6.8.1. Internal Quality Assurance System in the Education Sector Policies	35
6.8.2. Internal Quality Assurance System in the Research Sector Policies	36
6.8.3. Internal Quality Assurance System Sector in the Community Service Sector Policies	36
6.9. Outreach of University Quality Policies.....	37
6.10. Roles.....	37
CHAPTER 7 IMPLEMENTATION OF RISK MANAGEMENT	39
7.1. Scope of Risks and Opportunities	40
7.1.1. Education Sector	40
7.1.2. Research Sector.....	40
7.1.3. Community Service Sector	41

7.1.4. Support Systems	42
7.2. Risk Mitigation Measures	43
7.3. Quality Targets and Planning for Achievement.....	44
7.4. IQAS Changes Planning	45
CHAPTER 8 SUPPORTING RESOURCES.....	46
8.1. Introduction.....	47
8.2. Human Resources.....	47
8.3. Infrastructure and Facilities.....	50
8.4. <i>Tridharma</i> Implementation Environment.....	51
8.5. Monitoring and Measurement Resources	52
8.6. Organizational Knowledge	53
8.7. Competence	53
8.8. Stakeholder Concerns.....	54
8.9. Communications	54
8.10. Documentation Systems	55
8.11. Document Controls	55
CHAPTER 9 IMPLEMENTATION OF THE HIGHER EDUCATION <i>TRIDHARMA</i>	57
9.1. Education Sector	58
9.1.1. Planning and Controlling the Educational Processes	58
9.1.2. Determination of Service Requirements and Learning Outcomes	58
9.1.3. Design and Development of Educational Outcomes	59
9.1.4. Performance Control of Internal and External Parties in the Education Sector	60
9.1.5. Educational Activity Requirements	61
9.1.6. Judicium	62
9.1.7. Controlling Inappropriate Learning Process Outcomes.....	63
9.2. Research Sector	63
9.2.1. Research Process Planning and Control	63
9.2.2. Determination of Research Output Requirements.....	65
9.2.3. Design and Development of Research Outputs	66
9.2.4. Performance Controls of External Parties Related to the Research Processes at UGM	68
9.2.5. Research Activity Requirements	69
9.2.6. Publication of Research Results.....	71
9.2.7. Controlling Inappropriate Outcomes of Research Activities	71
9.3. Community Service Sector	71
9.3.1. Planning and Controlling the Implementation of Community Service	71

9.3.2. Determination, Review and Changes to Requirements for Community Service Outcomes .	72
9.3.3. The Design and Development of Community Service Outcomes.....	74
9.3.4. Controlling the Performance of External Parties in Community Services	76
9.3.5. Requirements for Community Service Activities	77
9.3.6. Publication of community service outcomes	78
9.3.7. Control for inappropriate community service outcomes.....	78
CHAPTER 10 PERFORMANCE EVALUATION	80
10.1. Stakeholder Satisfaction Measurement, Analysis and Evaluation.....	81
10.1.1. Introduction.....	81
10.1.2. Measurement of Stakeholders' Satisfaction.....	81
10.1.3. Analysis and Evaluation.....	81
10.2. Internal Quality Audit	82
10.3. Management Review	83
CHAPTER 11 CONTINUOUS QUALITY IMPROVEMENTS AND CORRECTIVE MEASURES	85
11.1. Corrective measures	86
11.2. Non-conformities and Corrective Measures.....	86
11.3. Continuous Improvements	87





Quality Assurance and Reputation Unit
Universitas Gadjah Mada

CHAPTER I

INTRODUCTION



CHAPTER 1

INTRODUCTION

1.1. Universitas Gadjah Mada Profile

Universitas Gadjah Mada was founded on December 19, 1949, through Government Regulation Number 23 of 1949 as a national university developing science, culture and higher education, which consistently implements and translates the *Tridharma* of Higher Education in various aspects of national and state life. Universitas Gadjah Mada is one of the oldest universities in Indonesia, which also plays a role as the bearer of Pancasila and as a people's university. Since becoming a Legal-Entity State University (PTN-BH) with the latest Statute, which was ratified through the Government Regulation Number 67 of 2013, UGM has strengthened its identity as a National University, University of Struggle, Pancasila University, People's University, and Cultural-Center University.

UGM's head office is located at the UGM Bulaksumur Campus, Special Region of Yogyakarta. Currently, Universitas Gadjah Mada has 18 Faculties, 1 Vocational School, and 1 Postgraduate School, with more than 280 study programs. All University activities are designed and executed based on the *Tridharma* of Higher Education, which consists of Education and Teaching, Research, and Community Service activities. In implementing the *Tridharma* of Higher Education, Universitas Gadjah Mada is supported by lecturers and non-academic staff, all of whom are committed to making UGM a revered university by Indonesians. More than 50,000 students from within and outside the country are studying at the Diploma, Bachelor's, Professional, Specialist, Sub-specialist, and Postgraduate (Master's and Doctoral) education levels.

In the academic processes at Universitas Gadjah Mada, students have ample opportunities to develop creativity and innovation in their respective fields with lecture activities supported by modern equipment and information technology. As a research university, Universitas Gadjah Mada pays close and constant attention to research activities, which are realized by encouraging lecturers and students to carry out and develop various research projects with the support of 22 study centers related to various scientific fields. UGM's commitment to the people is manifested in community service activities by sending KKN-PPM (Student Service Learning) students to all corners of Indonesia and through community empowerment activities organized by lecturers.

To ensure that all campus activities take place well and with quality, Universitas Gadjah Mada directs the arrangement and development of physical infrastructure in the campus environment based on the principle of realizing an *educopolis* campus. This principle is stated in the Campus Development Master Plan, which mandates an environment that is conducive to academic activities in the context of developing multidisciplinary collaboration and responsiveness to ecological issues.

1.1.1. Vision, Mission and Goals of Universitas Gadjah Mada

Vision:

UGM has a vision as a pioneer of world-class national universities that are superior and innovative, serving the interests of the nation and humanity, imbued with the nation's cultural values based on Pancasila.

Mission:

UGM has a mission to provide education, carry out research and community service, and preserve and develop knowledge that is superior and beneficial to society.

Goals:

- a. Realizing UGM as a national institution of science, culture, and higher education that instills and teaches science and culture to students for the sake of survival and human life in general, for the development of the nation and people in particular as the incarnation and implementation of Pancasila and the 1945 Constitution of the Republic of Indonesia in 1945, and to achieve the ideals of the Proclamation of Independence as stipulated in the Preamble to the 1945 Constitution of the Republic of Indonesia;
- b. Developing morally responsible individuals who are dedicated to the well-being of Indonesia and the global community. This involves instilling a sense of national spirit, embracing Indonesian culture, fostering a foundational belief in the Almighty, nurturing a commitment to justice and civilization, promoting democratic values, encouraging a connection with reality and truth, fostering intelligence and creativity, honing communication skills, and instilling an awareness of environmental responsibility. These individuals are prepared to undertake their responsibilities for the growth, preservation, and advancement of culture, social life, and the future of Indonesia, contributing not only to the nation but also to humanity at large.

1.1.2. Universitas Gadjah Mada Organizational Structure

UGM implements an Internal Quality Assurance System (hereinafter abbreviated as IQAS) in all university organizations. The university's organizational structure consists of university organ components: the Board of Trustees, the Academic Senate, and the Rector. The university executive consists of five vice-rectors, academic implementing units, namely Faculties/Schools/Study Centers, administration and development units consisting of 11 directorates, three offices, and university support departments.

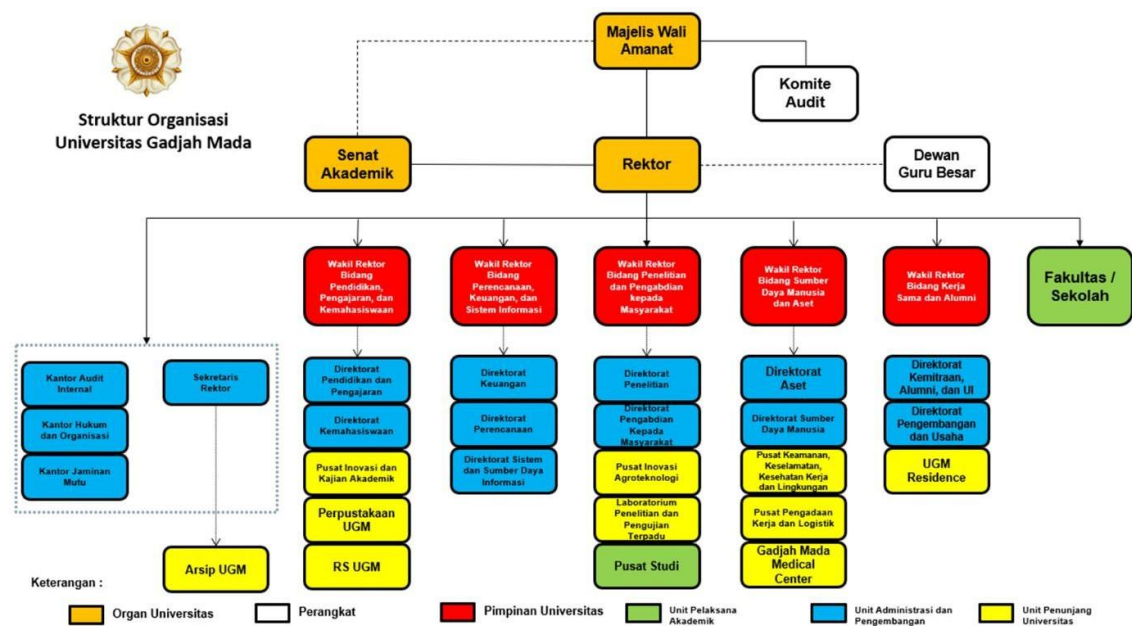


Figure 1.1. Universitas Gadjah Mada's Organizational Structure Chart

Translation of Terminology in Figures

Majelis wali amanat	Board of Trustees
Komite audit	Audit committee
Senat akademik	Academic Senate
Rektor	Rector
Dewan Guru Besar	Council of Professors
Kantor Audit Internal	Internal Audit Office
Kantor Hukum dan Organisasi	Legal and Organization Office
Kantor Jaminan Mutu	Quality Assurance Office
Sekretaris Rektor	Rector 's Secretary
Arsip UGM	UGM Archives
Wakil Rektor Bidang Pendidikan, Pengajaran, dan kemahasiswaan	Vice Rector for Education, Teaching and Student Affairs
Direktorat Pendidikan dan Pengajaran	Directorate of Education and Teaching
Direktorat Kemahasiswaan	Directorate of Student Affairs
Pusat Inovasi dan Kajian Akademik	Center for Innovation and Academic Studies
Perpustakaan UGM	UGM Library
RS UGM	UGM Hospital

Wakil Rektor Bidang Perencanaan, Keuangan, dan Sistem Informasi	Vice Rector for Planning, Finance and Information Systems
Direktorat Keuangan	Directorate of Finance
Direktorat Perencanaan	Directorate of Planning
Direktorat Sistem dan Sumber Daya Informasi	Directorate of Information Systems and Resources
Wakil Rektor Bidang Penelitian dan Pengabdian Kepada Masyarakat	Vice Rector for Research and Community Service
Direktorat Penelitian	Research Directorate
Direktorat Pengabdian Kepada Masyarakat	Directorate of Community Service
Pusat Inovasi Agroteknologi	Agrotechnology Innovation Center
Laboratorium Penelitian dan pengujian Terpadu	Integrated Research and Testing Laboratory
Pusat Studi	Study Centers
Wakil Rektor Bidang Sumber Daya Manusia dan Aset	Vice Rector for Human Resources and Assets
Direktorat Aset	Directorate of Asset
Direktorat Sumber Daya Manusia	Directorate of Human Resources
Pusat Keamanan, Keselamatan, Kesehatan Kerja dan Lingkungan	Center for Occupational and Environmental Security, Safety, and Health
Pusat Pengadaan Kerja dan Logistik	Center for Work Procurement and Logistics
Gajah Mada Medical Center	Gajah Mada Medical Center
Wakil Rektor Bidang Kerja Sama dan Alumni	Vice Rector for Cooperation and Alumni
Direktorat Kemitraan, Alumni, dan Urusan Internasional	Directorate of Partnerships, Alumni, and International Affairs
Direktorat Pengembangan dan Usaha	Directorate of Development and Business
UGM Residence	UGM Residence
Fakultas/Sekolah	Faculty/School
Keterangan	Notes
Organ Universitas	University's Organs
Perangkat	Apparatuses
Pimpinan Universitas	University Leaders
Unit Pelaksana Akademik	Academic Implementation Units
Unit Administrasi dan Pengembangan	Administration and Development Units
Unit Penunjang Universitas	University Support Units

Universitas Gadjah Mada ensures that the implementation of the internal quality management system is carried out comprehensively within the university by establishing an organizational structure related to quality management for each unit level, as follows:

Table 1.1. Organizational structure related to quality management at UGM for each unit level

No.	Level/unit	Organization name
1	University	Quality Assurance Office
2	Faculty/School/Directorate	Quality Assurance Unit
3	Department	Handled by the department head
4	Study Program	Handled by the study program head

The references for implementing IQAS at UGM are academic documents and quality documents. Academic documents consist of academic policies, academic standards, and academic regulations. Quality documents consist of quality manuals, quality procedures, and work instructions and forms.





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CHAPTER II – IV

TERMS AND DEFINITIONS

NORMATIVE REFERENCES

SCOPE OF UNIVERSITAS GADJAH MADA IQAS



CHAPTER 2

NORMATIVE REFERENCES

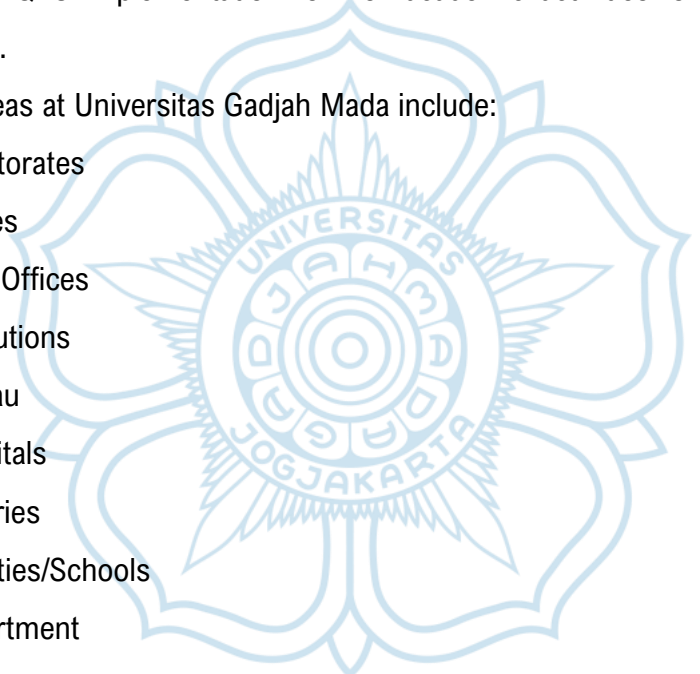
1. Law Number 20 of 2003 on the National Education System
2. Law Number 12 of 2012 on Higher Education
3. Government Regulation Number 19 of 2005 on National Education Standards
4. Government Regulation Number 67 of 2013 on the Statutes of Universitas Gadjah Mada
5. Republic of Indonesia Government Regulation Number 153 of 2000 on the Determination of Universitas Gadjah Mada as a State-Owned Legal Entity
6. Minister of Research, Technology and Higher Education Regulation Number 62 of 2016 on Higher Education Quality Assurance Systems.
7. Minister of Education and Culture Regulation number 3 of 2020 on National Higher Education Standards
8. Minister of Education and Culture Regulation Number 5 of 2020 on the Accreditation of Study Programs and Higher Education Institutions Minister of Education and Culture Regulation Number 7 of 2020 on the Establishment, Changes, and Dissolution of State Universities, and the Establishment, Changes, and Revocation of Private Higher Education Permits
9. Universitas Gadjah Mada Strategic Plan for 2017 – 2022
10. Universitas Gadjah Mada Board of Trustees Regulation Number 4/SK/MWA/2014 on Universitas Gadjah Mada Organization and Governance as last amended by Universitas Gadjah Mada Board of Trustees Regulation Number 1 of 2018 on Fourth Amendment to the Board of Trustees Regulation Number 4/SK/MWA/2014 on Organization and Governance of Universitas Gadjah Mada
11. UGM Rector's Directive No. 11 of 2021 on the Internal Quality Assurance System of Universitas Gadjah Mada
12. UGM Rector's Directive No. 1 of 2015 on the Position, Functions and Duties of Organizations within Universitas Gadjah Mada
13. UGM Rector's Directive No. 809 of 2015 on Organizational Structure and Faculty Governance within Universitas Gadjah Mada
14. Universitas Gadjah Mada Board of Trustees Decree Number 12/SK/MWA/ of 2003 on Universitas Gadjah Mada Bylaws
15. Universitas Gadjah Mada 2017 – 2022 Academic Policies
16. Universitas Gadjah 2017 Mada Standards

CHAPTER 3

SCOPE OF UNIVERSITAS GADJAH MADA INTERNAL QUALITY ASSURANCE SYSTEM

The scope of Universitas Gadjah Mada IQAS includes academic activities (education, research, community service) and non-academic (infrastructure and facilities, organization and management, human resource development, finance, technology and information systems, cooperation, security, safety, health, and environment). The application of IQAS at Universitas Gadjah Mada is focused on achieving predetermined academic standards. Control of IQAS implementation for academic activities is carried out by the Quality Assurance Office (QAO), and the control of IQAS implementation for non-academic activities is carried out by IAU (Internal Audit Unit).

IQAS application areas at Universitas Gadjah Mada include:

- 
- a. Directorates
 - b. Offices
 - c. Main Offices
 - d. Institutions
 - e. Bureau
 - f. Hospitals
 - g. Libraries
 - h. Faculties/Schools
 - i. Department
 - j. Study Program
 - k. Laboratories
 - l. Study Centers
 - m. Student Activity Units

CHAPTER 4

TERMS AND DEFINITIONS

Universitas Gadjah Mada determines the terms and definitions outlined in the Quality Manual following statutory regulations regarding IQAS and other related documents. The terms and definitions in this Quality Manual must be understood and comprehended by the entire UGM academic community and educational staff.

1. The university is Universitas Gadjah Mada
2. A faculty is an academic implementing entity which is a collection of supporting resources, grouped by department, which organizes and manages academic education, and/or professions in one group of science, technology, and/or arts disciplines.
3. The Quality Assurance Office (QAO) is a University Support Unit tasked with improving the accountability and quality of higher education at Universitas Gadjah Mada (Rector's Decree on the Establishment of QAO at Universitas Gadjah Mada No. 123/P/SK/Set.R/2001).
4. The Quality Assurance Unit (QOU) is a quality assurance organ at the faculty/school/directorate/study center/other work unit level, which assists the dean/unit head in improving accountability and quality of education in the faculty/work unit.
5. The Internal Audit Office (IAO) is a University Support Unit tasked with carrying out and supervising non-academic activities at UGM.
6. UGM IQAS is a systemic activity to ensure the quality of higher education at Universitas Gadjah Mada autonomously to control and improve the implementation of higher education in a planned and sustainable manner.
7. Universitas Gadjah Mada Academic Policies (UGM-AP) is a strategic direction that functions as a guideline for the management and academic development of Universitas Gadjah Mada. The policies provide guidelines for all educational, research and community service activities that must be carried out to achieve better conditions in the future in accordance with the Vision, Mission, and Goals of Universitas Gadjah Mada. Universitas Gadjah Mada Academic Standards (UGM-AS) is an elaboration of UGM Academic Policies, which contain statements to direct the preparation of planning, implementing, and evaluating academic activities of UGM institution and academic community with an orientation towards improving academic quality on an ongoing basis.

8. Universitas Gadjah Mada Academic Regulations (UGM-AR) are documents prepared as a binding reference basis for all UGM academics in carrying out educational, teaching, research, and community service processes along academic, vocational, and professional lines. The scope of UGM-AP is:
 - i. These Academic Regulations must be used by the UGM academic community to ensure the implementation of activities that have an impact on the academic quality of graduates and the implementation of the *Tridharma* of Higher Education.
 - ii. These Academic Regulations are intended to ensure uniformity in the implementation of the *Tridharma* of Higher Education at UGM but do not rule out the possibility of modifications and improvisations in each Faculty, Department, and Study Program because of diverse abilities, fields of science, culture, and different academic organizational structures as long as they do not conflict or causes confusions with UGM Academic Regulations.
9. The Quality Manual is a first-level quality document that provides an overview of:
 - a. Internal Quality Assurance System Policies at Universitas Gadjah Mada
 - b. Leadership, responsibility, and authority of personnel
 - c. Risk application and management
 - d. Implementation of the *Tridharma* of higher education
 - e. Performance evaluation
10. Continuous quality improvement and corrective measures



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CHAPTER V

UNIVERSITAS GADJAH MADA INTERNAL QUALITY ASSURANCE SYSTEM AND PROCESSES



CHAPTER 5

UNIVERSITAS GADJAH MADA INTERNAL QUALITY ASSURANCE SYSTEM AND PROCESSES

5.1. Concepts and Policies

1. The general definition of quality is conformity to standards, conformity with stakeholder expectations, or fulfillment of promises that have been made. The quality of education at UGM is understood as the achievement of educational goals and graduate competencies that have been determined according to strategic plans and academic standards. Achieving this goal concerns aspects of input, process, and output, as well as the value and degree of goodness, priority, and perfection (degree of excellence).
2. The quality of higher education at UGM is the level of conformity between the implementation of higher education at UGM and the academic standards set by UGM. The quality of education at UGM also includes administrative services, facilities/infrastructure, organization, and management that can meet the expectations of the academic community and the community (parents of students, graduate users, partners, and the wider community).
3. The Quality Assurance Office (QAO) is obliged to implement the following quality assurance system: QAO plays an active role in implementing UGM quality assurance; QAO provides the best service and satisfaction to the Academic Community and Stakeholders; QAO plays an active role in fulfilling academic standards which include education, research, and community service; QAO plays an active role in developing IQAS towards superior EQAS success at national, regional, and international levels.
4. The Quality Assurance Office determines internal and external issues relevant to the goals and strategic direction that may impact the quality management system's ability to achieve the desired results. Understanding internal issues is carried out by considering problems related to organizational values, culture, and performance. Internal issues are useful for developing QAO services, and understanding external issues is carried out by considering national and international legal aspects as well as the demands of society that continue to develop.

5. The Quality Assurance Office implements a quality management system to ensure the quality of the Internal Quality Assurance System services under the vision, mission, goals, targets, and policies of Universitas Gadjah Mada and to ensure the achievement of the targets and requirements of service users as well as applicable laws and regulations. As for the main activities, the Quality Assurance Office sets the national and international standards, develops self-evaluation instruments, implements IQA (Internal Quality Audit), corrective measures, IQAS evaluation, training and mentoring services, and develops IQAS information systems.
6. The Higher Education Quality Assurance System (HE-QAS) is a system established to ensure the quality of higher education by carrying out three types of activities, namely: (i) Higher Education Database (HE-D), (ii) Internal Quality Assurance System (IQAS), and (iii) External Quality Assurance System (EQAS).

The Higher Education Data Base collects, stores, stores, and manages data and information by universities and the Directorate General of Higher Education to evaluate SNPT (The National Standard of Higher Education) compliance.

Internal Quality Assurance System (IQAS) is a higher education self-evaluation activity by the higher education institution itself (internally driven) to meet or exceed the SNPT on an ongoing basis (continuous improvement).

External Quality Assurance System (EQAS) is an activity assessing the suitability of higher education institutions by BAN-PT (National Accreditation Body - Higher Education) or independent institutions outside higher education institutions recognized by the Government, based on SNPT or standards that exceed the SNPT set by the higher education institution itself (called Accreditation).

HE-QAS (Higher Education Quality Assurance System) aims to create synergy among HE-D (Higher Education Database), IQAS, and EQAS to meet or exceed SNPT by universities, to encourage efforts to ensure sustainable quality of higher education in Indonesia

7. UGM IQAS is designed and implemented to ensure the quality of graduates and the quality of the process and output from research and community service. This means that IQAS at UGM must be able to ensure that graduates will have the competencies specified in the Study Program Specifications, processes and outputs from research and community service in accordance with established standards and be able to solve

various national issues. In this way, the university ensures that students will get the learning experience as promised in the study program specifications, and researchers and community service implementers will receive optimal facilities and support from the university in developing science and technology to solve the nation's problems.

8. The UGM Quality Assurance Organization is as follows. At the university, it is the Quality Assurance Office (QAO). At the faculty level, it is called the Quality Assurance Unit (QAU); at the department level, it is handled by the department head and at the study program level, it is handled by the study program head. Relationships among these organizations are coordinative in nature.

5.2. Applications

1. Universitas Gadjah Mada ensures the implementation of IQAS in order to realize UGM's vision, mission, and goals in a comprehensive and integrated manner by referring to UGM academic documents and quality documents. An integrated internal quality assurance framework was built at UGM as a basis for evaluation covering all levels of units at UGM and integrating IQAS and the External Quality Assurance System (EQAS) (Figure 5.1). This integrated Quality Assurance System ensures optimal, efficient, and effective implementation of quality assurance activities towards continuous quality improvement to realize a quality culture at UGM.

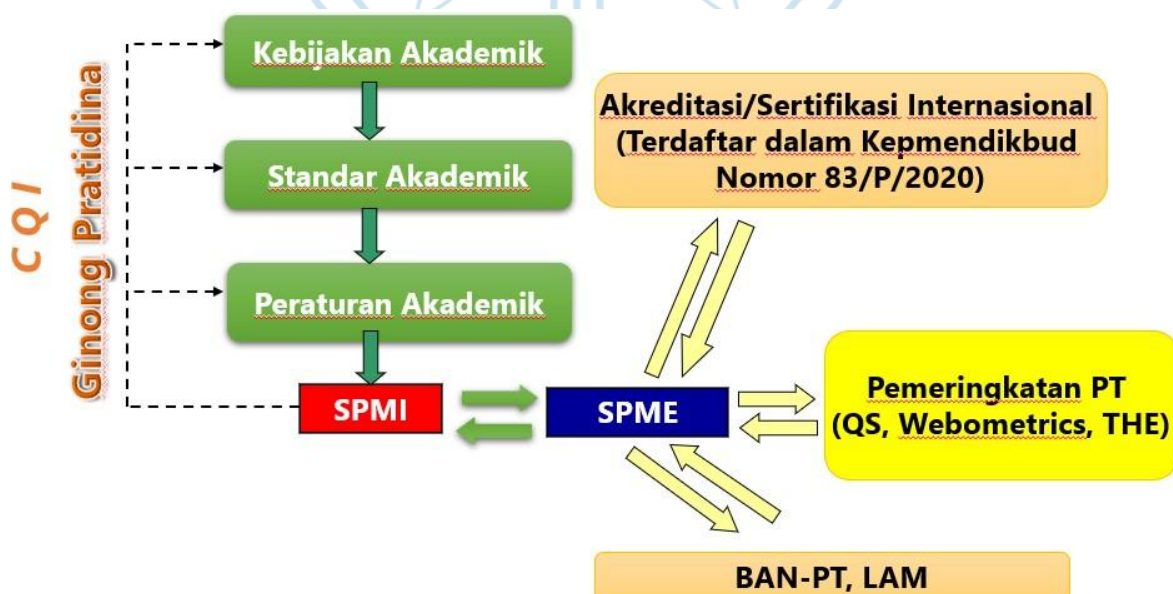


Figure 5.1. IQAS and External Quality Assurance System (EQAS)

Note: QS (*Quacquarelli Symonds*); CQI (*Continuous Quality Improvement*)

Translation of Terminology in Figures

Ginong Pratidina	Continuous Improvement
Kebijakan Akademik	Academic Policy
Standar Akademik	Academic Standards
Peraturan Akademik	Academic Regulations
SPMI	IQAS
SPME	EQAS
Akreditasi/ Sertifikasi Internasional (Terdaftar dalam Kepmendikbud Nomor 82/P/2020)	International Accreditation/ Certification (Registered in Kepmendikbud Number 82/P/2020)
Pemeringkatan PT (QS, Webometrics, THE)	Higher Education Rankings (QS, Webometrics, THE)
BAN-PT, LAM	National Accreditation Body - Higher Education Independent Accreditation Agency

- Universitas Gadjah Mada applies IQAS documents in stages. At the university level, academic policies, academic standards and academic regulations are formulated as a reference for the preparation of academic policies, academic standards and academic regulations at the Faculty/School level. At the department and study program levels, the academic policy documents, standards, and regulations are implemented as *Tridharma* academic activities. IQAS evaluation is carried out through monitoring, self-evaluation and IQA activities. Monitoring is carried out on a scheduled and documented basis while the activity is in progress to determine the conformity of implementation to plans/references/academic documents, so that any irregularities can be corrected immediately. Self-evaluation is a systematic effort by higher education institutions to obtain an overview of their performance and condition through studies and analyzes carried out by universities, faculties, and study programs regarding strengths, weaknesses, opportunities, challenges, obstacles and threats. Internal Quality Audit (IQA) is a systematic and independent test to ensure that the effective implementation of Higher Education activities is in accordance with the plan and that the results are in accordance with UGM academic standards to achieve UGM goals and opportunities for improvement.
- IQAS at UGM has been implemented through the IQAS cycle (Figure 5.2) consistently and continuously since 2004, which is an elaboration of the IQAS cycle in Minister of Research, Technology and Higher Education Regulation Number 62 of 2016. The HE-IQAS cycle consists of five stages, namely Determination, Implementation, Evaluation, Control and Improvement of Standards (DIECI), while the UGM IQAS cycle consists of seven stages. The seven stages of the UGM IQAS cycle are Standard Setting, Standard

Implementation, Self-Evaluation, Internal Audit, Correction Formulation, and Quality Improvement through Benchmarking activities. Evaluation of standard implementation is elaborated into three types of activities, namely monitoring, self-evaluation, and Internal Audit.

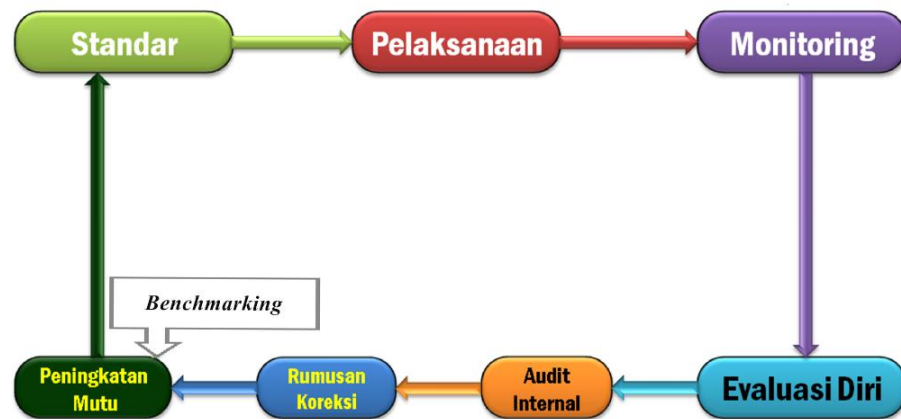


Figure 5.2. Cycles in the Internal Quality Assurance System at UGM

Translation of Terminology in Figures

Standar	Standard
Pelaksanaan	Implementation
Monitoring	Monitoring
Evaluasi Diri	Self-Evaluation
Audit Internal	Internal Audit
Rumusan Koreksi	Correction Formula
Peningkatan Mutu	Quality improvement

4. In developing and applying IQAS, UGM chose the Facilitating, Empowering and Enabling (FEE) approach, which was implemented in accordance with statutory regulations, and assigned the Quality Assurance Office to carry out the university's role in the development and implementation of IQAS in all units implementing *Tridharma* activities.

5. The IQAS Implementation Procedure and Implementation Mechanism are explained in more detail in Figure 5.3.

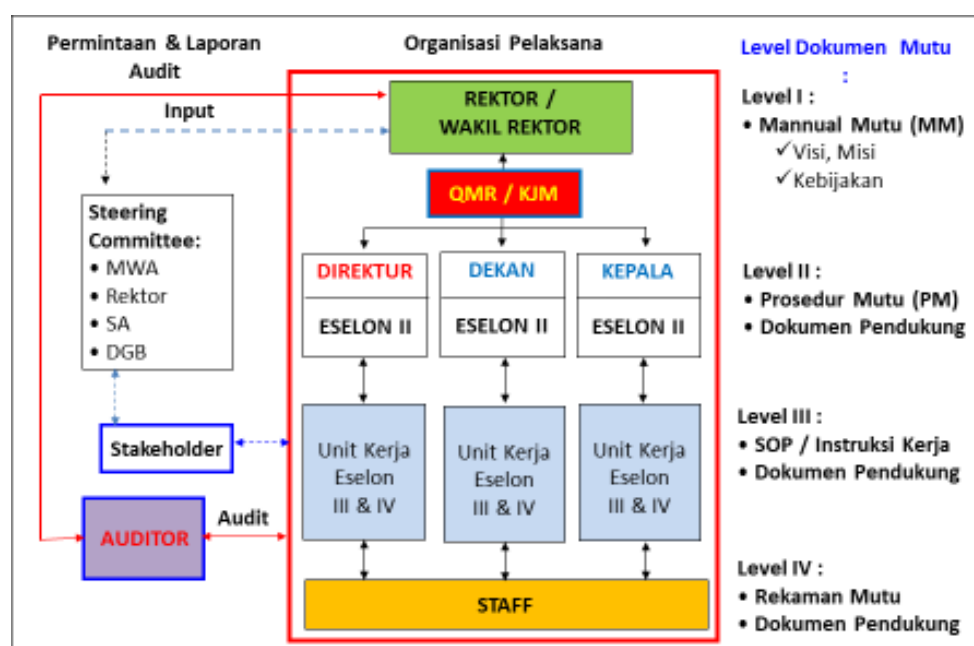


Figure 5.3. IQAS Implementation Mechanism at UGM

Translation of Terminology in Figures

Permintaan dan Laporan Audit	Audit Requests and Reports
Majelis Wali Amanat	Board of Trustees
Rektor	Rector
Senat Akademik	Academic Senate
Dewan Guru Besar	Council of Professors
Organisasi Pelaksana	Implementing Organization
Rektor/Wakil Rektor	Rector/Vice Rector
OMR/Kantor Jaminan Mutu	OMR/Quality Assurance Office
Direktur	Director
Dekan	Dean
Kepala	Head
Eselon II	Echelon II
Unit Kerja Eselon III & IV	Echelon III & IV Work Units
Level Dokumen Mutu	Quality Document Level
Manual Mutu	Quality Manual
Visi, Misi	Vision and mission
Kebijakan	Policy
Prosedur Mutu	Quality Procedures
Dokumen Pendukung	Supporting documents
SOP/Instruksi Kerja	SOP/Work Instructions
Rekaman Mutu	Quality Records

6. UGM IQAS Cycle

(a) The UGM IQAS cycle is carried out over a one-year period and consists of seven activities:

- (1) Review/determination of Academic Standards;
- (2) Implementation of Standards;
- (3) Monitoring;
- (4) Self-Evaluation;
- (5) Internal Quality Audit;
- (6) Management Correction/Review Formulation; and
- (7) Improvement of Standards.

(b) One of the stages carried out in UGM IQAS is the implementation of an Internal Quality Audit (IQA).

(c) Before the IQA process, auditees are required to fill out the Self-Evaluation Instrument prepared by UGM'S QAO according to the specified schedule. Self-evaluation and IQA are carried out to measure performance achievements according to established standards and find room for continuous quality improvement.

(d) IQA Study Programs and UPPS are implemented in an integrated manner with a cycle of once a year for Study Programs and once every two years for UPPS.

(e) IQA for units/directorates within UGM is carried out as needed with the direction and decision of the relevant Vice Rector.

7. Evaluation, Follow-up and Improvement

1. Universitas Gadjah Mada ensures that the follow-up mechanism for evaluation results (the Control stage in the IQAS cycle) has been carried out systematically and involves all units and university leaders (Figure 5.4).
2. The evaluation, follow-up, and improvement system clearly link the organizational structure, implementation, and documentation systems.

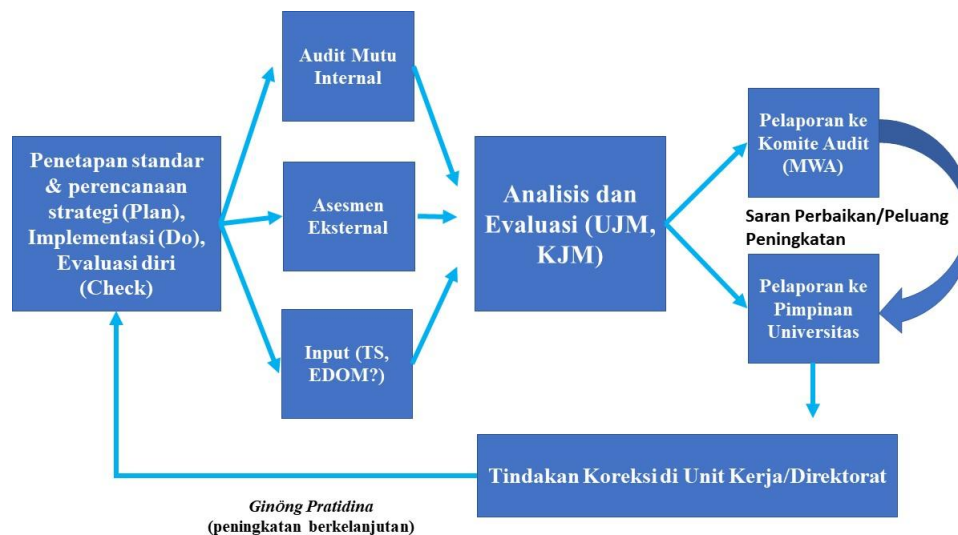


Figure 5.4. Audit Results Follow-up Mechanism (Control Stage in the IQAS Cycle)

Translation of Terminology in Figures

Penetapan standar & perencanaan strategi (Plan), Implementasi (do), Evaluasi diri (check)	Setting standards & Strategic planning (Plan), Implementation (do), Self-evaluation (check)
Audit Mutu Internal	Internal Quality Audit
Asesmen Eksternal	External Assessment
Input (TS, EDOM?)	Input (Current Academic Year, Lecturer Evaluation by Students)
Analisis & Evaluasi (QAO, QAU)	Analysis & Evaluation (QAO, QAU)
Pelaporan ke komite Audit (Majelis Wali Amanat)	Reporting to the Audit committee (Trustee Council)
Saran perbaikan/saran peningkatan	Improvement suggestions/ improvement suggestions
Pelaporan ke pimpinan universitas	Reporting to university leadership
Tindakan koreksi di unit kerja/direktorat	Corrective actions in work units/directorates
Ginong Pratidina	Continuous Improvement

8. Collaboration

Collaboration is part of the Internal Quality Assurance System (IQAS). Collaboration with educational institutions is directed at supporting the achievement of the institution's vision and mission. Collaboration can be carried out with institutions (for example, universities) that are higher, equivalent, or lower than UGM. There is a gap in the quality of education between regions in Indonesia (regional disparity), requiring a greater role for UGM to help other universities create a knowledge-based society. *Tridharma* collaboration involves students as much as possible. Collaboration can be carried out bilaterally, multilaterally, and regionally by applying the principles of equality, respect for identity, and mutual benefit, and it must not conflict with national and international law.

9. Stakeholder Needs and Expectations

1. Universitas Gadjah Mada ensures that it consistently and continuously provides quality academic services and outputs.
2. Universitas Gadjah Mada has determined the stakeholders and their requirements.
 - a. Stakeholders:
 - i. Internal stakeholders: lecturers, education staff, study programs, faculties, and work units
 - ii. External stakeholders: students, parents, alumni, users, community and government
 - b. The requirements for each stakeholder regarding academic services and outcomes are as follows:
 - i. Stakeholders of lecturers and non-academic staff include a clear career development system, a clear training system; clear main duties and functions, a conducive academic atmosphere and working atmosphere, fulfillment of the code of ethics for lecturers and staff, assurance of Occupational Health and Environmental Safety (OHES) on campus.
 - ii. Stakeholders in directorates/study programs/departments/faculties/schools/study centers/laboratories/other work units include clear structure and main tasks and functions, optimal accreditation and certification services, internal quality audit services, quality improvement consultation/assistance, and requirements of campus's OHES campus.
 - iii. Student stakeholders include excellent education and learning services, a conducive academic atmosphere, fulfillment of student ethics, and the campus's OHES.
 - iv. Alumni stakeholders include excellent post-education services and active contributions to their alma mater: tracer studies and public lectures.
 - v. User stakeholders include excellent user service output (graduates, research, and service results) and activeness in providing input (through user surveys) at the university.
 - vi. Community stakeholders include community services and empowerment partners.
 - vii. Government stakeholders, including compliance with government regulations and fulfillment of government targets/strategies.

3. Universitas Gadjah Mada ensures that the review of stakeholder requirements is carried out systematically, namely:
 - a. Review stakeholder requirements regularly at the beginning of each year to ensure that requirements are met in response to developments in stakeholder needs.
 - b. Actively seek input on stakeholder requirements and needs.
 - c. Facilitate gathering stakeholder input directly through activity units and indirectly through the "UGM aspirations" system.





Quality Assurance and Reputation Unit
Universitas Gadjah Mada

CHAPTER VI

LEADERSHIP AND QUALITY POLICIES



CHAPTER 6

LEADERSHIP AND QUALITY POLICIES

6.1. Leaderships and Commitments

University management must demonstrate leadership and commitment to IQAS through:

1. Implementing financial accountability and the *Tridharma* process for IQAS effectiveness;
2. Ensuring that the quality manual and academic standards set for IQAS follow the university's Vision and Mission and are compatible with the context and strategic direction of university development;
3. Ensuring the integration of data and policies as IQAS requirements in the university's main activity processes;
4. Prioritizing the application of process approaches and risk management;
5. Ensuring the availability of facilities and resources needed by IQAS;
6. Disseminating information to all academics about the importance of effective quality management in accordance with the requirements in IQAS;
7. Ensuring that IQAS achieves the desired goals;
8. Directly involved, directing and supporting the entire academic community to contribute to the effectiveness of IQAS;
9. Implementing "*Ginōng Prati Dina*" or continuous improvement as the university's motto;
10. Supporting the management role of each work unit to succeed in university leadership in the areas for which they are responsible.

6.2. Focus on Internal and External Stakeholders

University leaders can demonstrate commitment to internal and external stakeholders through:

1. Determining, understanding and consistently fulfilling the needs of internal and external stakeholders, applicable laws and regulatory requirements;
2. Determining and applying risks and opportunities that may affect the suitability of products and services, and the ability to increase internal and external stakeholder satisfaction; and
3. Maintaining focus on increasing internal and external stakeholder satisfaction.

6.3. *Tridharma* Quality Policies at the University level

Universitas Gadjah Mada ensures the determination, application, and maintenance of its quality policies:

1. in accordance with the vision, mission, goals and supports the strategic direction of university development,
2. to provide a framework for setting university quality objectives,
3. that includes a commitment to comply with applicable statutory requirements.
4. and a commitment to continuous improvement of the internal quality assurance system.

6.4. Basic Policies

1. Universitas Gadjah Mada Management Autonomy is implemented based on the principles of accountability, transparency, non-profit, quality assurance, effectiveness and efficiency in accordance with the Universitas Gadjah Mada Statutes.
2. In carrying out its mandate, UGM ensures to improve the quality and relevance of its higher education as stated in the UGM Strategic Plan.
3. The Universitas Gadjah Mada Academic Quality Manual has been revised according to developments in the Higher Education Quality Assurance System.

6.5. Educational Policies

1. Education at Universitas Gadjah Mada is directed at producing graduates who are capable, faithful and devout, responsible for the welfare of society, have academic and professional abilities, are able to apply, develop and enrich the treasures of science, technology and arts (STA), have high integrity and have a national and international outlook pertaining to Indonesian culture and independent, creative, innovative, and entrepreneurial spirit.
2. Universitas Gadjah Mada requires educational management to improve its quality continuously. This quality improvement is carried out by continuously maintaining a complete higher education management cycle that aligns with community expectations.
3. The development of educational programs should refer to UGM's strategic plan and always be accompanied by innovation in learning methods and substances as well as the necessary infrastructure, software, and hardware improvements. Development in

the medium and long term is aimed at becoming a trend setter at the national level and contributing to the academic standards of similar programs at regional and international levels.

4. The implementation of education at Universitas Gadjah Mada should be designed by considering a shift in the educational paradigm from focusing more on teaching by lecturers (faculty teaching) to focusing on learning by students (student learning). The portion of research-based learning should be increased continuously.
5. Evaluation of educational programs must be systematic, structured, periodically and continuously using measuring tools acceptable to the international community and developed within the framework of accelerating Universitas Gadjah Mada to become an international standard university.
6. Improvement of the quality of education at Universitas Gadjah Mada is based on five pillars of learning process development policies, namely:
 - a. learning materials are closer to real issues, training problem identification and resolution strategies;
 - b. integration between scientific disciplines that support each other for understanding and implementation;
 - c. an international perspective based on understanding existing national advantages (preparation for global cooperation);
 - d. encouragement of optimal use of information and communication technologies that are available and will be available;
 - e. various innovations that provide access to increased creativity.
7. In the context of efficiency, a study program can be temporarily closed and reopened according to the existing level of need. The decision to open and close must be taken through evaluation steps that can objectively and intelligently classify study programs that have the potential to be developed to international quality levels and study programs that need to be closed because their existence will actually create a moral, financial and institutional burden.
8. Universitas Gadjah Mada ensures that the education process is carried out through a quality management system that includes planning, implementation, evaluation, and follow-up.

9. Universitas Gadjah Mada ensures that the implementation of education meets education standards.
10. Universitas Gadjah Mada ensures that a work unit is tasked with developing, maintaining, and evaluating the implementation of a quality management system in the academic field in a comprehensive and integrated manner.

6.6. Research Policies

1. Universitas Gadjah Mada, as a research university, carries out research and development activities in science, technology and arts, including locally specific national wealth, the results of which are utilized in an integrated manner in every educational and community service activity.
2. Universitas Gadjah Mada directs research for the advancement of science, obtaining patent rights, industrial development, and developing works that can be used freely by the community.
3. Universitas Gadjah Mada is responsible for creating environmental conditions or atmospheres suitable for research.
4. Universitas Gadjah Mada ensures that the implementation of research and education is balanced in academic programs.
5. Inventions and/or findings obtained from university research are disseminated so the community can further develop and utilize them.
6. Universitas Gadjah Mada ensures that the university's research policies apply to all research projects.
7. Universitas Gadjah Mada provides freedom for researchers to choose topics and research methods, obtain sources of research funding, and use media for publishing research results.
8. Universitas Gadjah Mada facilitates interaction between researchers from various scientific disciplines in conducting research.
9. Universitas Gadjah Mada ensures that researchers who conduct their research are serious about achieving high professional standards.
10. Universitas Gadjah Mada increases researchers' awareness that their research activities promote a good reputation for the university and themselves.

11. Universitas Gadjah Mada ensures that researchers conducting research respect the rights, privacy, dignity and sensitivity of colleagues, as well as the integrity of the university.
12. Universitas Gadjah Mada prepares and establishes research governance and organization, research policies, research quality assurance standards for research organizing units, research management guidelines and a research code of ethics for researchers.
13. The research organizing unit is responsible for building, implementing and maintaining a research management system that meets the minimum requirements set out in the university's research quality assurance standards.
14. The effectiveness of applying research quality assurance standards is evaluated systematically through internal research audit activities carried out by internal auditors.
15. Universitas Gadjah Mada encourages research organizing units to make continuous improvements in the application of the quality assurance system towards recognition or accreditation by external parties.

6.7. Community Service Policies

1. The community service policies apply to all community service activities carried out by lecturers, students and university education staff.
2. Implementation of community service as the application of science, technology and art based on sustainable development and oriented towards community needs and the advantages of national small and medium industries is integrated with education and research activities.
3. Universitas Gadjah Mada provides freedom for lecturers, students and non-academic staff to carry out community service activities in accordance with their competencies.
4. Universitas Gadjah Mada provides opportunities for lecturers, students and non-academic staff to respond responsibly to the nation's problems both individually and institutionally.
5. Universitas Gadjah Mada provides opportunities to form institutions and/or community service activities outside of existing schemes in order to respond to emergency conditions.

6. Universitas Gadjah Mada gives awards to individuals and institutions implementing community service in accordance with the provisions in force at Universitas Gadjah Mada.
7. Universitas Gadjah Mada prepares and determines organizations, policies and programs, quality assurance standards, implementation guidelines and a code of ethics for community service.
8. The leadership of the community service implementation unit is responsible for building, implementing, and maintaining an implementation system that meets the minimum requirements set out in the community service quality assurance standards.
9. Internal quality auditors evaluate the effectiveness of applying community service quality assurance standards systematically.
10. Universitas Gadjah Mada encourages community service implementing units to carry out continuous improvements.

6.8. Internal Quality Assurance System Policies

6.8.1. Internal Quality Assurance System in the Education Sector Policies

1. Internal quality assurance is carried out at the university, faculty/school, department, study program and other implementing units to ensure:
 - a. compliance with academic policies, academic standards, academic regulations and quality manuals;
 - b. ensuring that graduates have the competencies specified in each study program;
 - c. ensuring that each student has a learning experience in accordance with the study program specifications;
 - d. relevance of education and research programs to the demands of society and other stakeholders.
2. Internal Quality Assurance is part of the responsibility of university leaders, faculty leaders, department heads, study program managers and lecturers.
3. The targets for applying the internal quality assurance system must be determined and outlined in the Strategic Plan and Activity Plan and Annual Budget for each work unit.

6.8.2. Internal Quality Assurance System in the Research Sector Policies

1. Internal quality assurance in the research sector is carried out systematically and continuously through directorates, study centers, laboratories, faculties/schools, departments and other implementing units to ensure:
 - a. compliance with academic policies, academic standards and quality manuals.
 - b. assurance that research activities and management of research activities carried out by researchers are in accordance with research quality standards, appropriateness of research ethics and the code of ethics applicable at the university;
 - c. assurance that research output is useful for supporting the *Tridharma* of higher education, solving various national problems, and supporting the nation's progress;
 - d. assurance that the management, organizing units and research activity support units work together and facilitate the development of university research activities and implement quality assurance of performance and institutional quality.
2. Internal quality assurance in the research sector is part of the responsibility of university leaders, directors, deans, department heads, work unit heads and researchers.
3. The targets for applying the internal quality assurance system in the research sector consider the Strategic Plan and Operational Plan, outlined in the Activity Plan and Annual Budget, and the achievements are evaluated in accordance with the Performance Indicator plan and/or Performance Achievement Mandate of each work unit.

6.8.3. Internal Quality Assurance System Sector in the Community Service Sector Policies

1. Internal quality assurance in the community service sector is carried out systematically and continuously through directorates, faculties/schools, departments and other implementing units to ensure:
 - a. compliance with academic policies, academic standards and quality manuals;
 - b. assurance that the management of community service activities and real work courses is carried out in accordance with the needs of society and the state in the context of the application of science, technology and/or art.

- c. assurance that the outcomes of community service and real work studies are useful for supporting the *Tridharma* of higher education, encouraging independence and advancing the welfare of society and the region, as well as helping to resolve the nation's problems.
 - d. assurance that the directorate, community service organizing units in Faculties/Schools/Departments/Study Centers/Field Laboratories and other supporting units within UGM work together in synergy in community service and implement quality assurance of performance and institutional quality.
2. Internal quality assurance in the community service sector is part of the responsibility of university leaders, directors, deans, heads of departments, heads of work units and heads of service teams.
 3. The targets for applying the internal quality assurance system in the field of community service consider the Strategic Plan and Operational Plan, outlined in the Activity Plan and Annual Budget, and the achievements are evaluated in accordance with the Performance Indicator plan and/or Performance Achievement Mandate of each work unit.

6.9. Outreach of University Quality Policies

In the context of system integration, the University Quality Policies must:

1. Easily accessible and designated as a university quality document;
2. Able to reach all levels of the organization, understood and implemented within the organization;
3. Available at every level of the relevant university organization.

6.10. Roles

Universitas Gadjah Mada leadership ensures that responsibility and authority for relevant roles assigned are communicated and understood within the University organization. To do so, the university leadership determines the responsibility and authority for each Vice Rector to:

1. Ensure that IQAS complies with standard requirements;
2. Ensure that the *Tridharma* process provides the desired output and outcomes;
3. Vice Rector Reports on IQAS's performance and opportunities for improvement,

especially for Universitas Gadjah Mada leaders;

4. Ensure that internal and external stakeholder focus occurs throughout the Universitas Gadjah Mada organization;
5. Ensure that IQAS integrity is planned and implemented well.





Quality Assurance and Reputation Unit
Universitas Gadjah Mada

CHAPTER VII

IMPLEMENTATION OF RISK MANAGEMENT



CHAPTER 7

IMPLEMENTATION OF RISK MANAGEMENT

7.1. Scope of Risks and Opportunities

To realize the vision, mission and goals, UGM determines external and internal factors, both positive and negative, relevant conditions that can influence the university's ability to realize the vision, mission and goals, then:

1. Universitas Gadjah Mada ensures that the influential external context covers the legal, technological, competitive, market, cultural, social and economic environments at national, regional and international levels.
2. Universitas Gadjah Mada ensures that the internal context encompasses the values, culture, knowledge and performance of the organization.
3. Universitas Gadjah Mada ensures systematic and periodic monitoring and review of internal and external factors by involving all stakeholders.

Based on this, the internal and external factors of *Tridharma* and supporting systems have been determined as follows:

7.1.1. Education Sector

1. Strengths:
 - a. Large number of prospects from various cultural backgrounds throughout Indonesia,
 - b. Comprehensive study programs are available with autonomous management systems and focus on scientific development and solving national issues.
2. Weaknesses: Large variety of students and fields of study bring varying quality consequences so that they require a very large adequacy of resources.
3. Opportunities: The large interest of the community provides a challenge for managing quality education which is supported by technological developments so that it can reach a wider area.
4. Challenges: World developments require adjustments in various fields, for example policies, types of competencies produced, a more adaptive educational process, on the other hand government subsidies which tend to be limited require creative funding efforts.

7.1.2. Research Sector

1. Strengths:
 - a. comprehensive field of science;
 - b. downstream to upstream research policies;
 - c. increasing national and international research collaboration;
 - d. improvement of infrastructure and facilities.
2. Weaknesses:
 - a. research resources and capabilities have not been used optimally;
 - b. the fund management system and infrastructure are not yet effective, efficient, and integrated.
3. Opportunities:
 - a. potential natural resources and cultural diversity;
 - b. maritime sector in accordance with Indonesia's conditions as an archipelagic country;
 - c. the complex dynamics of societal development.
4. Challenges:
 - a. borderless and transborder higher education;
 - b. the independence of science and technology in Indonesia is still low.

7.1.3. Community Service Sector

1. Strengths:
 - a. people's university;
 - b. service becomes a long-term focus on solving the nation's needs and problems;
 - c. KAGAMA's national and international collaboration networks are widespread in various fields and regions.
2. Weaknesses:

Community service programs at UGM are not yet fully integrated with regional and national government programs.
3. Challenges:
 - a. increasingly critical and high demands from stakeholders,
 - b. rapid changes in the field of innovation (disruptive innovation)
 - c. lack of support for scientific and technological independence
 - d. lack of coordination between government agencies and university work units

4. Opportunities:

- a. UGM's credibility as a people's campus is remarkably high.
- b. Universitas Gadjah Mada has always been a trend setter in national and international universities.
- c. the dynamics of society and national problems are increasingly complex.
- d. the government's and KAGAMA's support are very strong.

7.1.4. Support Systems

1. Strengths:

- a. high commitment and awareness from the leadership and the entire academic community towards the development and implementation of quality assurance;
- b. the university management system is constructive and corrective with an inspectorate that oversees governance;
- c. universities as a reference for developing quality assurance systems in Indonesia and the ASEAN region;
- d. available integrated information system (SIMASTER) which is a strong instrument for implementing a systematic quality assurance system;
- e. quality assurance organizational structure starting at university, faculty/school, department/study program, and laboratory/Science Cluster levels with a quality assurance cycle that has been implemented systematically since 2004.

2. Weaknesses:

UGM's reputation causes some academics and non-academic staff to become complacent/less motivated to significantly improve their qualities.

3. Challenges:

- a. the demands of stakeholders and society are increasing, resulting in a need for better quality education, community service, and research services;
- b. intense competition between universities in developing the quality of higher education at national and global levels,
- c. large financial support is needed to adopt the very rapid development of information technology in maintaining the current condition of information systems to support the implementation of quality assurance.

4. Opportunities:

- a. greater autonomy with government support for programs and increasingly strong

- public oversight,
- b. performance measures shift from administrative to more substantive ones,
- c. very extensive university network,
- d. abundance of good practices that can be an inspiration for governance development,
- e. availability of integrated information system development technology to support the integrated quality assurance process in the *Tridharma* sector starting from the university, faculty/school, department, study program, lab/Science Cluster level.

7.2. Risk Mitigation Measures

1. Universitas Gadjah Mada ensures that in planning and establishing IQAS, it is carried out by considering:
 - a. developing issues.
 - b. requirements and expectations of relevant stakeholders.
 - c. risks that can occur in services and can be handled.
 - d. opportunities to improve service quality and stakeholder satisfaction that can be achieved.
2. Universitas Gadjah Mada ensures that it handles risks that may occur in services and achieves opportunities:
 - a. ensuring that IQAS becomes an instrument for achieving the set goals and objectives.
 - b. preventing or reducing negative impacts/undesirable effects.
 - c. carrying out continuous quality improvements/corrections.
3. Universitas Gadjah Mada ensures Risk management measures as follows:
 - a. planning and implementing measures necessary for handling risks and achieving opportunities.
 - b. integrating and implementing measures in the agency's quality management system processes.
 - c. evaluating the effectiveness of measures taken in handling risks and achieving opportunities.

4. Universitas Gadjah Mada ensures that the measures taken to handle risks and achieve opportunities are adjusted to the negative impacts/potential effects that could occur on the suitability of the specified service quality.
5. Universitas Gadjah Mada ensures that the measures taken in handling risks and achieving opportunities consider the following:
 - a. identifying risks.
 - b. minimizing risk.
 - c. taking risks to pursue opportunities.
 - d. eliminating/reducing sources of risk.
 - e. reducing the level of probability and severity of risks occurring.

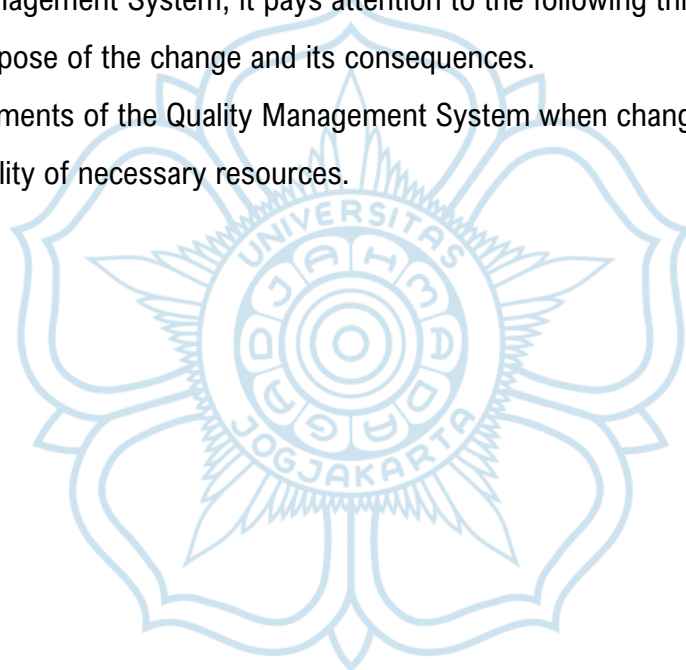
7.3. Quality Targets and Planning for Achievement

1. Universitas Gadjah Mada ensures that:
 - a. quality targets or performance achievement mandates are set at all levels, functions, and processes at the university.
 - b. quality targets or performance achievement mandates must be measurable and consistent with the university's quality policies.
 - c. quality targets or performance achievement mandates include things needed to meet service requirements.
 - d. quality targets or performance achievement mandates are relevant to fulfilling the institution's service quality requirements to stakeholders.
 - e. quality targets or performance achievement mandates are relevant to increasing stakeholder satisfaction.
 - f. quality targets or performance achievement mandates are evaluated for their achievement periodically.
 - g. quality targets or performance mandates that have been achieved satisfactorily are updated or improved on an ongoing basis.
2. Universitas Gadjah Mada controls quality target documents or performance achievement mandates and evaluation results.
3. Universitas Gadjah Mada ensures that each work unit carries out the determination, outreach, and evaluation of planning programs necessary to achieve quality targets or performance achievement mandates.

4. Determination of quality targets or performance achievement mandates and achievement planning programs are carried out based on documented quality procedures.

7.4. IQAS Changes Planning

1. Universitas Gadjah Mada systematically plans every need for implementing changes to the Internal Quality Assurance System (IQAS).
2. Universitas Gadjah Mada ensures that any changes to the Quality Management System are implemented based on the Internal Document Control Quality Procedures.
3. Universitas Gadjah Mada ensures that in every implementation of changes to the Quality Management System, it pays attention to the following things, among others:
 - a. the purpose of the change and its consequences.
 - b. requirements of the Quality Management System when changes are implemented.
 - c. availability of necessary resources.





Quality Assurance and Reputation Unit
Universitas Gadjah Mada

CHAPTER VIII

SUPPORTING RESOURCES



CHAPTER 8

SUPPORTING RESOURCES

8.1. Introduction

1. Universitas Gadjah Mada determines and fulfills the resources needed to:
 - a. ensure the effectiveness of the continuous cycle of determining, implementing, evaluating, controlling, and improving (DIECI) quality standards.
 - b. ensure the implementation of *Tridharma* policies in accordance with Board of Trustee Regulation number 4 of 2015 which includes policies in the fields of human resources, physical and environmental infrastructure, organization and governance, finance, information systems and cooperation.
 - c. increase stakeholder satisfaction.
2. Universitas Gadjah Mada ensures that the resources in question include:
 - a. the adequacy and competency of existing internal resources to determine whether or not it is necessary to utilize resources from outside the university.
 - b. adequacy of information technology and its completeness.
 - c. adequacy of lecture halls and related facilities.
 - d. adequacy of laboratory equipment.
 - e. adequacy of other supporting infrastructure.
3. Universitas Gadjah Mada ensures that in fulfilling the required resource requirements as in points a and b, it considers:
 - a. capabilities and constraints on the resources available from the government.
 - b. potential resources that can be obtained from stakeholders and external parties.

8.2. Human Resources

1. Universitas Gadjah Mada ensures the adequacy and competency of human resources (HR) required for effective implementation of IQAS.
2. Policies in the human resources sector include:
 - a. building efficient, accountable and transparent HR organization and governance;
 - b. developing a professional HR recruitment system;
 - c. managing human resources to create a conducive to develop the *Tridharma* of higher education with a cross-disciplinary approach;

- d. facilitate and encourage human resources to further support the development of *Tridharma*.
3. Human resource policies on lecturers and non-academic staff in the education sector include:
- a. ensure that the assignment of lecturers and non-academic staff must be in accordance with the required competencies and qualifications;
 - b. ensure that lecturers and non-academic staff can improve their competence through study assignments, research, writing and dissemination of scientific work, training and work experience;
 - c. creating a fair work system and division of tasks;
 - d. develop and implement a performance evaluation system for lecturers and education staff;
 - e. utilize external practitioners, if necessary, with certain competencies that meet the qualifications set by the university;
 - f. ensure that certifications are carried out on the expertise of lecturers and non-academic staff in accordance with the regulations;
 - g. awards to lecturers and non-academic staff according to work performance or giving sanctions according to violations.
4. Human resource policies on lecturers and non-academic staff in the research sector include:
- a. increase the number of lecturers with doctoral qualifications according to university standards;
 - b. ensuring the achievement of lecturer research productivity and quality;
 - c. developing a human resource management system, including a career and compensation system by considering the performance of lecturers and non-academic staff in the research sector;
 - d. ensure that there are development programs for researchers to improve research capabilities;
 - e. encourage researchers to participate in professional organizations and/or international bodies actively;

- f. ensure that each researcher undergoes training, among others, in terms of research design, procedures for obtaining approval from the ethics commission, use of equipment, confidentiality management, data management, recording/record keeping, data protection, use of experimental animals, management of intellectual property, involvement of patients and consumers, and clinical trial protocols;
 - g. ensure that the main researcher is responsible so that students and new researchers can implement the provisions in the guidelines for conducting good research;
 - h. ensure that any involvement of external research personnel in carrying out research at Universitas Gadjah Mada, complies with regulations.
5. Policies on lecturers, students and non-academic staff in the community service sector include:
- a. ensuring that all human resources consisting of lecturers and students, non-academic staff, and/or external parties involved in community service activities follow Quality Procedures;
 - b. ensuring that there is an effective human resource management system in institutions implementing community service activities;
 - c. ensuring the development of programs to increase the capacity of lecturers, students and non-academic staff in carrying out community service;
 - d. ensuring facilitation of institutional collaboration with external institutions in carrying out community service;
 - e. ensuring an increase in the allocation of funds for activities that support community service;
 - f. ensuring an increase in sources of funds for community service from the government and private sector, both within and outside the country;
 - g. ensuring the utilization of allocated funds for increasing activities, services for implementation support units, national and/or international publications, coaching, collaboration, and utilization of community service results.
 - h. ensuring that there is a service management system and facilities supporting community service that enables effective and optimal use;
 - i. ensuring that every lecturer, student, and non-academic staff has access to services or can utilize the university's community service activity facilities.

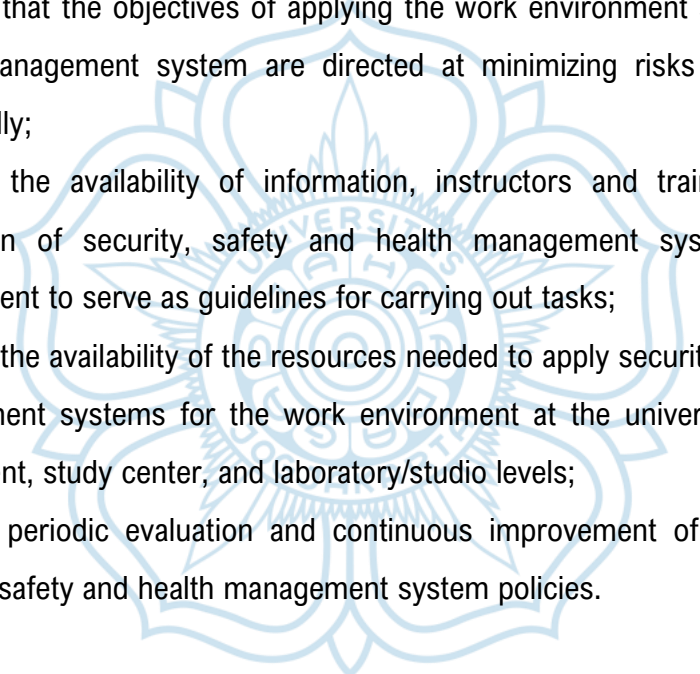
8.3. Infrastructure and Facilities

1. Universitas Gadjah Mada identifies, fulfills, and maintains the infrastructure and facilities needed for effective implementation and improvement of the quality of *Tridharma* outcomes or outputs in accordance with established standards. The infrastructure and facilities include:
 - a. buildings and utilities;
 - b. equipment, including hardware and software;
 - c. transportation resources;
 - d. information and communication technology.
 - e. infrastructure and facilities for the academic community and stakeholders with special needs.
2. Policies in the physical infrastructure and environment sector include:
 - a. ensuring the implementation of the university's noble values by developing physical campuses that are environmentally, democratically, and nationally aware;
 - b. ensuring the development of universities with an academic-oriented future for sustainable development that is in harmony with developments and innovations in science, technology, culture, and arts, as well as the environment.
3. Universitas Gadjah Mada strives to complete and update infrastructure and facilities that can increase the effectiveness and quality of the results of *Tridharma* activities.
4. Infrastructure and facilities policies in the education sector include:
 - a. ensuring the availability of infrastructure and facilities, especially libraries and laboratories, that are adequate for the implementation of quality and sustainable education and teaching;
 - b. ensuring the creation of an effective and efficient infrastructure and facilities management system;
 - c. ensuring maintenance, repair and readiness of infrastructure and facilities.
5. Infrastructure and environment policies in the research sector include:
 - a. ensuring a management system for research support services and facilities that enable their use effectively and optimally;

- b. ensuring that every lecturer, student and non-academic staff has access to services or utilizes the university's research facilities;
 - c. ensure the maintenance and development of information and communication technology systems.
6. Infrastructure policies in the community service sector include:
- a. ensuring that there is an effective and optimal management system for services and facilities supporting community service;
 - b. ensuring that every lecturer, student, non-academic staff and target community has access to university community service services and facilities;
 - c. ensuring the maintenance and development of information and communication technology systems.

8.4. *Tridharma* Implementation Environment

1. Universitas Gadjah Mada establishes and manages a conducive work environment that is necessary for the effective implementation of the *Tridharma* of higher education to achieve or exceed the standards that have been set.
2. Universitas Gadjah Mada ensures that appropriate environmental factors are a combination of human resources, physical resources and environmental factors, such as:
 - a. social (e.g. no discrimination, calm, no confrontation);
 - b. psychological (e.g. stress reduction, burnout prevention, emotional protection);
 - c. physical (e.g. temperature, heat, humidity, light, air flow, cleanliness, noise);
 - d. environment (e.g. green open spaces, water reservoirs, and Wastewater Treatment Plant installations).
3. Work environment policies on security, safety and health aspects include:
 - a. ensuring the availability of a work environment security, safety and health management system that meets applicable requirements and/or regulations, including external parties who are in the university environment;

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- b. ensuring the development and maintenance of an effective work environment security, safety and health management system that meets the requirements of applicable laws and regulations;
 - c. ensuring the establishment of an effective organization to implement a work environment security, safety and health management system and integrate it with other management systems within the university environment;
 - d. ensuring the implementation of effective communication between lecturers, non-academic staff and students regarding their obligations and responsibilities in the preparation, application and evaluation of security, safety and health management systems for the work environment;
 - e. ensuring that the objectives of applying the work environment security, safety and health management system are directed at minimizing risks and are evaluated periodically;
 - f. ensuring the availability of information, instructors and training regarding the application of security, safety and health management systems in the work environment to serve as guidelines for carrying out tasks;
 - g. ensuring the availability of the resources needed to apply security, safety and health management systems for the work environment at the university, faculty/school, department, study center, and laboratory/studio levels;
 - h. ensuring periodic evaluation and continuous improvement of work environment security, safety and health management system policies.

8.5. Monitoring and Measurement Resources

1. Universitas Gadjah Mada identifies and monitors the effectiveness of resources needed to ensure graduate competency and research and community service outcomes meet or exceed standards.
2. Universitas Gadjah Mada ensures that the instruments provided:
 - a. suitable for measuring graduates' competency, research output and community service;
 - b. maintained to ensure suitability/accuracy for the purpose/function of the instrument.

3. Universitas Gadjah Mada ensures documentation of the results of measuring the suitability/accuracy of monitoring and measurement instruments.
4. Universitas Gadjah Mada ensures that measurement instruments:
 - a. calibrated and/or verified against standards periodically;
 - b. identified to determine the condition status of the measurement equipment.
5. Universitas Gadjah Mada ensures that appropriate measures are taken against inappropriate measurement results.

8.6. Organizational Knowledge

1. Universitas Gadjah Mada identifies, determines and develops the knowledge needed to improve the effectiveness of services to stakeholders.
2. Universitas Gadjah Mada documents every piece of knowledge that is proven to be effective and satisfies stakeholders.
3. Universitas Gadjah Mada ensures that when making changes, the institution considers current knowledge and additional knowledge required.
4. Universitas Gadjah Mada explores the knowledge needed for the implementation and achievement of effective institutional services to stakeholders through:
 - a. sources from within the institution include learning from past mistakes, learning from successes that have been achieved, the experience of experts;
 - b. external sources include standards, conferences, academics, gatherings with stakeholders.

8.7. Competence

1. Universitas Gadjah Mada determines the suitability of the competence of lecturers and non-academic staff for their work;
2. Universitas Gadjah Mada ensures the competence of lecturers and non-academic staff based on education, training or experience;
3. Universitas Gadjah Mada ensures that measures are taken to obtain the required competencies and evaluates the effectiveness of the measures taken;
4. Universitas Gadjah Mada maintains appropriate documented information as proof of competency achievements.

8.8. Stakeholder Concerns

1. Universitas Gadjah Mada ensures that every lecturer and non-academic staff understands:
 - a. their work, the output of their work, and the scope of their duties and responsibilities;
 - b. quality policies;
 - c. performance achievement mandates;
 - d. active contribution to the effective implementation of work;
 - e. negative impact of non-compliance with point (a) with established standards.
2. Universitas Gadjah Mada carries out increased awareness of lecturers and education staff and monitors the performance and consistency of implementing quality awareness through continuous employee performance.

8.9. Communications

1. Universitas Gadjah Mada identifies and implements internal and external communication mechanisms, including:
 - a. what will be communicated;
 - b. when communication will take place;
 - c. to whom the communication will be carried out;
 - d. how communication will be conducted (media);
 - e. who will communicate.
2. Information system development policies include:
 - a. ensuring the realization of information systems and databases that are standard, integrated, fast, accurate and safe;
 - b. ensuring the use of information systems and databases in knowledge management to support the *Tridharma* activities of higher education and university management optimally;
 - c. ensuring the realization of an information system to build national and international networks.
3. Universitas Gadjah Mada ensures that internal and external communications results are documented, distributed, followed up on, and maintained.

8.10. Documentation Systems

1. Universitas Gadjah Mada ensures the implementation of documented information to meet academic standards;
2. Universitas Gadjah Mada ensures that information is documented by being identified, determined, implemented, evaluated and continuously improved;
3. Universitas Gadjah Mada ensures that documented information is created and updated, including the following aspects.
 - a. identification and description;
 - b. formats and media;
 - c. review and approval for suitability and adequacy.

8.11. Document Controls

1. Universitas Gadjah Mada ensures that all documents are available, safe, and controlled.
2. Universitas Gadjah Mada ensures control of documented information, including activities:
 - a. distribution, access, use, and withdrawal;
 - b. storage and maintenance;
 - c. change control;
 - d. storage (retention) and disposition limits.
3. Universitas Gadjah Mada ensures that documented information originating from external sources is identified and controlled adequately.
4. Universitas Gadjah Mada ensures that documented information is protected from unwanted changes.
5. Universitas Gadjah Mada ensures that policies regarding data classification, protection and destruction include:
 - a. regulations for the classification of institutional data based on the level of protection required;
 - b. methods for obtaining, using, maintaining, storing and destroying data that complies with applicable regulations;
 - c. personnel who have the authority to use, move, modify, disseminate, maintain, store, and destroy data;

- d. personnel who access and/or use data must comply with university regulations;
- e. personnel who access and/or use data must be responsible for maintaining the confidentiality, integrity and availability of data obtained, used, accessed or stored by the institution;
- f. sanctions for someone who falsifies, damages, changes and/or transfers data without institutional permission.





Quality Assurance and Reputation Unit
Universitas Gadjah Mada

CHAPTER IX

IMPLEMENTATION OF THE HIGHER EDUCATION TRIDHARMA



CHAPTER 9

IMPLEMENTATION OF THE HIGHER EDUCATION

TRIDHARMA

9.1. Education Sector

9.1.1. Planning and Controlling the Educational Processes

1. Universitas Gadjah Mada plans, determines, implements and evaluates the educational process by paying attention to:
 - a. applicable government regulations, policies, standards and academic regulations and its values;
 - b. needs of internal and external stakeholders;
 - c. requirements for the quality of admissions, processes, outcomes, and services;
 - d. resources for lecturers and educational staff;
 - e. capabilities of faculties, departments, study programs and laboratories;
 - f. stages of the educational process according to the academic calendar and guidelines;
 - g. application of control of the educational process;
 - h. determination, maintenance and archive of educational process documents according to standards to achieve promised graduate learning outcomes.
2. Universitas Gadjah Mada controls changes to the educational process to minimize risks.
3. Universitas Gadjah Mada controls all educational activities involving external parties in accordance with academic standards.

9.1.2. Determination of Service Requirements and Learning Outcomes

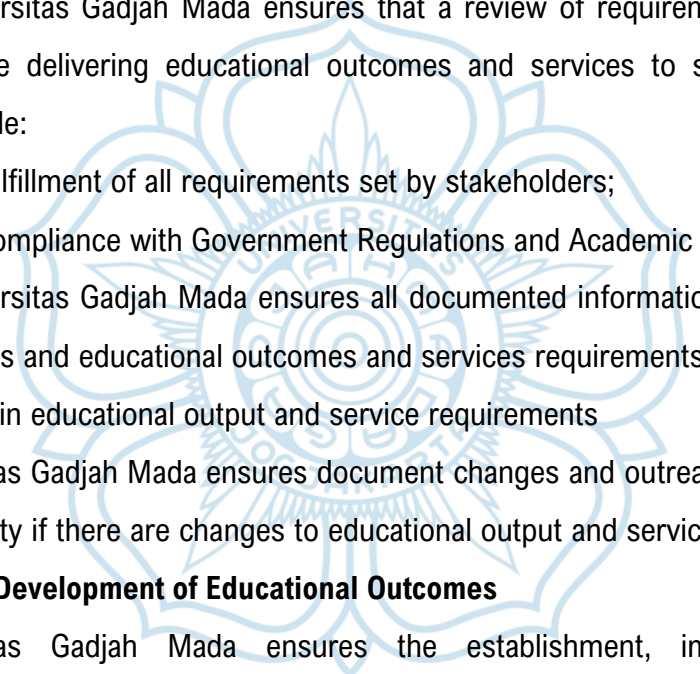
Universitas Gadjah Mada ensures service requirements and learning outcomes with the following mechanism.

1. Stakeholder communications

Universitas Gadjah Mada ensures effective communication with stakeholders by providing information feedback, handling stakeholder property, and establishing requirements for contingency measures.

2. Determination of process requirements and educational outcomes

Universitas Gadjah Mada sets educational output requirements by ensuring:

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- a. faculties/departments as knowledge holders formulate learning outcomes by referring to the vision and mission, UGM values, the Indonesian National Qualifications Framework (INQF), National Higher Education Standards, and stakeholder needs;
 - b. study program implements, monitors, self-evaluates, and increases the achievement of learning outcomes;
 - c. faculties/departments carry out internal quality evaluations and audits.
3. Review of requirements for educational outcomes and services:
 - a. Universitas Gadjah Mada ensures the ability to meet stakeholder requirements and needs;
 - b. Universitas Gadjah Mada ensures that a review of requirements is carried out before delivering educational outcomes and services to stakeholders, which include:
 - i. fulfillment of all requirements set by stakeholders;
 - ii. compliance with Government Regulations and Academic Standards.
 - c. Universitas Gadjah Mada ensures all documented information about the review results and educational outcomes and services requirements.
 4. Changes in educational output and service requirements
Universitas Gadjah Mada ensures document changes and outreach to the academic community if there are changes to educational output and service requirements.

9.1.3. Design and Development of Educational Outcomes

1. Universitas Gadjah Mada ensures the establishment, implementation and maintenance of the curriculum design and development process and educational outcomes.
2. Universitas Gadjah Mada determines the stages and controls for the design and development of curriculum and educational outcomes by considering:
 - a. length of study, program level;
 - b. design and development stages;
 - c. stakeholder requirements and needs;
 - d. availability of permanent and guest lecturers;
 - e. program sustainability;

- f. level of control;
 - g. self-evaluation document as a basis for development.
3. Universitas Gadjah Mada ensures that each study program management unit (UPPS) has designed the curriculum constructively in relation to learning outcomes.
 4. Universitas Gadjah Mada ensures that evaluation and curriculum changes are carried out periodically.
 5. Universitas Gadjah Mada ensures that every learning activity has clear learning objectives and outcomes and is related to the goals and competencies of graduates.
 6. Universitas Gadjah Mada ensures that the curriculum leads to a learning process that encourages active student participation.
 7. Universitas Gadjah Mada ensures the use of diverse learning methods and measures the achievement of learning outcomes with assessment tools that are in accordance with the promised learning outcomes.

9.1.4. Performance Control of Internal and External Parties in the Education Sector

1. Universitas Gadjah Mada ensures that the education sector's performance is in accordance with the requirements set by all stakeholders.
2. Universitas Gadjah Mada ensures performance control of all internal stakeholders through:
 - a. determining lecturers and non-academic staff in accordance with regulations;
 - b. controlling every stage of the educational process;
 - c. implementing a systematic documentation system to ensure that activities can be evaluated and controlled.
3. Universitas Gadjah Mada ensures performance control of all external stakeholders through:
 - a. determining that external human resources who carry out/are involved in the learning process must have competence in accordance with regulations;
 - b. carrying out each learning process in accordance with basic regulations and contracts with UGM;
 - c. following the learning process and ensuring its conformity with UGM's internal quality assurance system.

9.1.5. Educational Activity Requirements

Universitas Gadjah Mada ensures that the learning process is in accordance with UGM's vision, mission, and goals by establishing learning process requirements, including:

1. Controlling Learning Processes Requirements

Universitas Gadjah Mada controls educational and graduate service requirements, which include:

- a. providing documented educational information containing the following.
 - i. learning outcomes, learning processes which include curriculum preparation, learning implementation and assessment of learning outcomes, as well as monitoring and evaluation systems for learning activities;
 - ii. graduates who match the learning outcomes of the study program.
- b. providing resources for monitoring and evaluating the learning process;
- c. carrying out monitoring and evaluation activities periodically at least twice in each semester to verify that process standards and learning outcomes have been met, namely:
 - i. before the mid-term exam to evaluate the implementation of learning, review mid-term questions on course learning outcomes and the fulfillment of lecture time;
 - ii. before the end-of-semester exam to evaluate learning, review end-of-semester questions on course learning outcomes and the fulfillment of lecture time.
- d. providing appropriate infrastructure and environment to build a conducive academic atmosphere;
- e. appointing competent lecturers in accordance with Rector's Directive Number 18/P/SK/HT/2016 on Resource Management;
- f. validating and re-validating lecturer competency through performance monitoring and evaluation based on data on Lecturer Performance Load (LPL), Lecturer Performance Report (LPR), and lecturer Employee Performance Targets (EPT) periodically at the end of each semester and academic year to meet educational service requirements and learning outcomes;
- g. carrying out measures to prevent errors;
- h. carrying out judiciary, graduation and alumni services.

2. Identifying the Learning Processes

- a. Universitas Gadjah Mada ensures that all learning and graduation processes are in accordance with educational service requirements, achievement of learning outcomes, and judicial requirements;
- b. Universitas Gadjah Mada ensures that the learning and judicial process documentation system is in accordance with educational and alumni services;
- c. Universitas Gadjah Mada controls document traceability for all educational service outputs and alumni.

3. Control of Stakeholder Property

Universitas Gadjah Mada ensures that all educational facilities belonging to stakeholders are controlled and reported.

4. Maintenance of the Learning Processes

Universitas Gadjah Mada maintains all service processes and educational outcomes to ensure conformity with standards.

5. Alumni Service Activities

Universitas Gadjah Mada sets alumni service standards by considering:

- a. legal and regulatory requirements;
- b. negative impacts related to alumni services;
- c. desired learning outcomes;
- d. stakeholder requirements;
- e. stakeholder feedback.

6. Controlling Changes in the Learning Processes

- a. Universitas Gadjah Mada periodically reviews and controls service standards and educational outcomes to ensure conformity with academic standards, academic policies and UGM's vision and mission;
- b. Universitas Gadjah Mada continuously improves the quality of learning;
- c. Universitas Gadjah Mada controls all results of review and evaluation of the learning process for decision making and continuous quality improvement.

9.1.6. Judicium

1. Universitas Gadjah Mada determines its students' times in residence, judicium and graduation regulations to meet process requirements and learning outcomes.
2. A study period that has passed the time limit stated in Universitas Gadjah Mada

academic standards but has not yet passed The Directorate of Higher Education's national standards can be extended by the education authority, in this case, the study program, department, faculty and university administrators if the reasons are acceptable.

3. Universitas Gadjah Mada ensures that it documents graduation and graduation data and information, including:
 - a. proof of conformity of learning outcomes with graduation criteria/judicial requirements;
 - b. proof of the official who has the authority to ratify/determine the results of the judgement/graduation.


9.1.7. Controlling Inappropriate Learning Process Outcomes

1. Universitas Gadjah Mada carries out identification and control measures to prevent process outcomes that are not in accordance with learning outcomes.
2. Universitas Gadjah Mada takes action if it is discovered that there is use of process outputs that are not in accordance with learning outcomes.
3. Universitas Gadjah Mada has established a process output documentation system that is not in accordance with learning outcomes.

9.2. Research Sector

9.2.1. Research Process Planning and Control

1. Universitas Gadjah Mada plans, determines, implements, evaluates and controls the research processes necessary to meet research quality requirements by ensuring that:
 - a. Universitas Gadjah Mada establishes and implements research ethical standards;
 - b. every researcher must uphold and maintain moral, social and scientific ethics in conducting research and preparing research reports;
 - c. research involving living subjects must receive ethical approval and supervision by a competent institution;
 - d. researchers avoid misconduct in research;

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- e. research involving human respondents must first obtain a statement of consent from the subjects, and the consent form must contain an explanation of the objectives, research procedures, and willingness to be involved in the research.
 - f. for any biomedical research that involves human subjects, researchers must ensure the confidentiality of the subjects and ensure that any information obtained will not be published other than for scientific purposes;
 - g. research that uses human tissue or body parts must be carried out with utmost care and thoroughness and ensure that the use of the tissue or body part is solely for scientific, not commercial, purposes;
 - h. research is carried out to support and become an integrated part of education, teaching and community service activities;
 - i. policies, strategies and research priorities are determined in accordance with the university's vision, mission and goals with input from stakeholders;
 - j. research is carried out in accordance with academic standards by paying attention to scientific and ethical principles;
 - k. research can involve students;
 - l. research consists of basic research, applied research, development, and studies.
2. Universitas Gadjah Mada ensures the achievement of planning and research processes by:
- a. developing monodisciplinary, multidisciplinary, interdisciplinary and transdisciplinary research;
 - b. establishing adequate policies, procedures and allocation of research funds;
 - c. allocating funds for dissemination of research results, both at national and international levels;
 - d. holding training, seminars, workshops and internships, both at home and abroad, on an ongoing basis to improve researchers' abilities and research quality;
 - e. coordinating research involving various fields of science and between universities at home and abroad;
 - f. ensuring that the use of original germplasm and natural resources, historical sites, cultural heritage and customs does not harm national interests, especially collaborative research with foreign countries;
 - g. developing intellectual property rights/patents for research results;

- h. building collaboration with industry to obtain further research funding sources;
- i. preparing procedures for submitting research proposals to various research funding sources, both domestic and international;
- j. facilitating the publication of research results, both in national, international journals and other media that are easily accessible to the public;
- k. supporting researchers to increase the number and quality of their research results;
- l. developing procedures that ensure that the use of research results does not deviate from universal ethical values.

9.2.2. Determination of Research Output Requirements

1. Communication with internal and external stakeholders

Universitas Gadjah Mada ensures smooth communication with internal and external stakeholders by:

- a. utilizing research results in the learning process and/or community service;
- b. facilitating the dissemination of research results so that they are easily accessible to the broader community;
- c. developing mechanisms that ensure that the use of research results does not deviate from the university's objectives;
- d. supporting lecturers to increase the number and quality of their research results.

2. Determination of requirements for research products and services

- a. Universitas Gadjah Mada determines the research results of the academic community according to the variety of research so that the research results benefit the development of science and technology, society, industry and the environment.
- b. Universitas Gadjah Mada develops research according to the stages of innovation readiness levels.

3. Review of requirements for research products and services

- a. Universitas Gadjah Mada ensures the ability to meet the requirements of research products and research services to be offered to internal and external stakeholders by:
 - i. implementing a continuous research quality assurance system;
 - ii. ensuring scientific authority and integrity in a conducive academic

- atmosphere;
- iii. coordinating research management with the supporting faculties of the study center concerned;
 - iv. facilitating good governance in research organizations.
 - v. facilitating integrated research at the university, faculty, department and study center levels;
 - vi. directing research in accordance with developments in science, technology and art;
 - vii. facilitating research according to the research collaboration network.
- b. Universitas Gadjah Mada develops research products that become national and/or international references that are environmentally insightful, applicable and responsive to the problems of society, nation and state. In order to do so, Universitas Gadjah Mada ensures:
- i. availability of quality and adequate resources for the development of research that prioritizes benefits;
 - ii. achievement of quality and quantity of research results that are relevant to university policies directions;
 - iii. increasing publication and incubation of research results.
- c. Changes in requirements for research products and research services.
- Every change in university research policies is informed to all research units so that it becomes a guideline and direction for conducting research.

9.2.3. Design and Development of Research Outputs

1. Introduction

UGM sets research priorities, which are part of the research policies, in accordance with regulations to provide research direction so that it has an impact on national development. Studies are prioritized for:

- a. handling vulnerable communities;
- b. saving critical environments;
- c. strengthening and utilizing local culture;
- d. strengthening national sovereignty.

2. Research Planning and Development

Universitas Gadjah Mada ensures it is a conducive place for researchers with adequate

resource support. The university research plan is implemented effectively and sustainably with the strategy:

- a. honoring expertise in various fields and forms of research;
- b. encouraging the development of new initiatives, ideas and research areas;
- c. developing interdisciplinary relationships with both internal and external parties;
- d. establishing a work unit tasked with managing and evaluating research management;
- e. creating a research strategic plan, which is part of the university's strategic plan;
- f. determining criteria for planning, implementation, monitoring, and evaluation, and reporting of research activities.

3. Research Input Design and Development

Universitas Gadjah Mada determines the main requirements for the design and development of certain types of research and services by considering the following input:

- a. functional and performance requirements;
- b. information obtained from design and development activities that have been carried out;
- c. legal and regulatory provisions;
- d. standards and codes of ethics that the university has committed to;
- e. the potential consequences of the risk of failure;
- f. adequate research resources for design and development needs that do not conflict with each other and are supported by proper documentation.

4. Research Design and Development Controls

Universitas Gadjah Mada implements controls for the research design and development process by:

- a. carrying out integrated assessment of research processes and results with educational, objective, accountable and transparent principles;
- b. applying research assessments based on methods and instruments that are relevant, accountable, and represent measures of performance achievement of research processes and results;

- c. ensuring the suitability of the assessment system with process standards, content and research results;
 - d. carrying out monitoring and research results to determine the next research policies;
 - e. periodically evaluating and refining research results assessment instruments.
5. Research Design and Development Outputs
- Universitas Gadjah Mada ensures that the output of research design and development is based on the university's strategic theme criteria, which have:
- a. relevance to university research priorities;
 - b. excellence at the national and/or international level;
 - c. strategic role in solving national problems and increasing competitiveness;
 - d. sustainable support from partners (industry, government and/or society);
 - e. opportunities to improve university research priorities to support the development of new strategic research themes (emerging/re-emerging).
6. Documentation of Changes in Research Design and Development
- Universitas Gadjah Mada documents all information related to:
- a. changes in research design and development;
 - b. results of the evaluation of research activities;
 - c. the authority implementing changes in the research field;
 - d. measures taken to prevent adverse impacts and risks.

9.2.4. Performance Controls of External Parties Related to the Research Processes at UGM

1. Introduction

The implementation of research at Universitas Gadjah Mada is partly carried out in collaboration or partnership with parties outside the university. Universitas Gadjah Mada ensures that external providers of inputs, processes, products and services meet specified quality requirements.

Universitas Gadjah Mada determines external party performance controls to be applied to input, process, product and service providers including:

- a. research processes provided by external providers as a result of university decisions;
- b. external products and services are combined with university research products and services;

- c. research products and services are delivered by external providers to stakeholders on behalf of the university.

Universitas Gadjah Mada establishes and applies criteria for the selection, performance monitoring and evaluation of external providers according to the external provider's ability to provide research input, processes, products, and services based on requirements. Universitas Gadjah Mada documents activities and changes made with external providers.

2. Types and Levels of Research Controls.

Universitas Gadjah Mada ensures that research activities are carried out in accordance with established procedures and support the achievement of the university's vision and mission. The research organizing unit is responsible for developing, implementing, evaluating and maintaining research organizations that meet university standards. The effectiveness of applying research standards is evaluated periodically through internal quality audit activities.

3. Information for External Providers

Universitas Gadjah Mada ensures the quality of research before communicating to external providers.

Universitas Gadjah Mada ensures communications to external providers regarding quality requirements, which include:

- a. research processes, products and services that must be met;
- b. agreement on:
 - i. research methods, processes and equipment;
 - ii. research products and services;
 - iii. use of research results.
- c. researcher competence;
- d. interaction with external providers;
- e. monitoring and evaluation activities at external providers.

9.2.5. Research Activity Requirements

1. Controlling Research Requirements

Universitas Gadjah Mada establishes good conditions for research infrastructure and facilities, including:

- a. availability of documents regarding research activities, characteristics of research

products to be produced, research services to be provided, and research results to be achieved;

- b. availability and use of measurement monitoring and research resources;
- c. implementation of monitoring and measurement activities to verify that the research complies with the product requirements criteria;
- d. use of facilities and environments appropriate for the research process;
- e. appointment of competent researchers, including the required qualifications;
- f. periodic validation of researchers' abilities;
- g. implementation of measures to prevent errors;
- h. implementation of reporting research results.

2. Identification and Traceability

Universitas Gadjah Mada ensures that all research results involving the academic community are well-documented and can be traced. Universitas Gadjah Mada identifies the status of research results in categories including:

- a. research for publication;
- b. research for application in industry;
- c. research for community empowerment;
- d. research for the development of other institutions;
- e. research to develop knowledge and study.

3. Control of Property belonging to Internal and External Stakeholders

Universitas Gadjah Mada ensures that all facilities and resources for research input, processes and output belonging to stakeholders are well-managed. Any changes or losses are documented and reported to stakeholders.

4. Maintenance of Research Results

Universitas Gadjah Mada ensures the use of research results in accordance with the following requirements:

- a. patented research results of academics;
- b. academic community research results are documented by universities, faculties, departments, laboratories, study centers;
- c. results of collaborative research between academics and other institutions;
- d. research results that have passed a certain time are designated as community property.

5. Post-Research Activities

Universitas Gadjah Mada ensures ownership of research results involving the academic community by considering:

- a. cooperation agreement;
- b. legal and regulatory requirements;
- c. potential unintended consequences related to research outcomes and services;
- d. the nature, use and lifespan of agreed research products/services;
- e. research standards and internal and external stakeholders' feedback.

6. Controlling Changes in Research Activities

Universitas Gadjah Mada determines changes or termination of research activities if they conflict with the university's objectives and documents all processes and decision-making.

9.2.6. Publication of Research Results

Universitas Gadjah Mada implements regulations for publishing research results and documenting them. Documentation includes proof of conformity to requirements and is traceable.

9.2.7. Controlling Inappropriate Outcomes of Research Activities


1. Universitas Gadjah Mada ensures that research outputs are as planned and carries out evaluation and control to prevent inappropriate use of research results.
2. Universitas Gadjah Mada takes resolving measures if there is any inappropriate use of research findings.
3. Universitas Gadjah Mada has established a documentation system for controlling research results and measures to ensure the suitability of the utilization of research findings.

9.3. Community Service Sector

9.3.1. Planning and Controlling the Implementation of Community Service

Universitas Gadjah Mada plans, determines, implements and evaluates the community service process by ensuring:

1. the breadth and depth of the content of community service, which originates from the results of research and development of technological knowledge in accordance with community needs;

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2. the contents of community service can be applied directly by the community;
 3. the contents of community service is the development of knowledge and technology in the context of community empowerment;
 4. the contents of community service can be used to improve living standards, community welfare and social justice;
 5. characteristics of community service, which include benefits, scientific truth, sustainability and institutionalism;
 6. the quality of planning and implementation of community service then the university:
 - a. determines that the implementation of community service will be carried out institutionally;
 - b. determines that implementers of community service have integrity, credibility, honesty, responsibility and commitment to the university and partners;
 - c. implementation of community service involving stakeholders;
 - d. organizes community service based on the principles of care, sincerity, non-profit, openness, equality, partnership, togetherness and sustainability;
 - e. implementation of community service based on participatory and empowerment principles by considering local wisdom;
 - f. implementation of community service activities considers quality standards, work safety, health, comfort, community security and the environment;
 - g. implementation of community service activities is targeted, measurable and programmed;
 - h. community service as a process of downstreaming research results carried out by lecturers;
 - i. the university regularly monitors and evaluates the implementation of community service to improve the quality and competence of community service implementers.

9.3.2. Determination, Review and Changes to Requirements for Community Service Outcomes

1. Stakeholder Communications

Universitas Gadjah Mada ensures smooth communication with internal and external stakeholders through:

- a. management of community service is carried out by institutions that work

- effectively, efficiently, transparently and accountably;
 - b. community service organizers side with the interests of the community;
 - c. community service organizers can collaborate with government, private and community institutions with the principles of equality and independence;
 - d. organizers pay attention to the strategic plan for community service, which is part of the university's strategic plan;
 - e. organizers determine the criteria for planning, implementation and evaluation, as well as reporting of community service activities.
 - f. organizers can offer consultation services to the community and can collaborate with partners, both government and non-government organizations.
2. Determining Requirements for Community Service Products and Services
- Universitas Gadjah Mada determines that the results of community service meet at least one of the following requirements:
- a. useful for solving problems in society by utilizing relevant academic community expertise;
 - b. used in the development of science and technology;
 - c. used to enrich learning resources as teaching materials or training modules;
 - d. provide a positive impact on the environment, society, nation and state;
 - e. problem-solving models, social engineering, or recommendations that can be applied directly by society, business, industry and/or government.
3. Review of Requirements for Products and Services
- a. Universitas Gadjah Mada ensures the ability to meet the requirements for community service products and services that will be offered to internal and external stakeholders by ensuring:
 - i. the level of ability to implement community service based on academic qualifications and the usefulness of the findings;
 - ii. evaluate standards for implementing community service;
 - iii. improve the quality and competence of community service implementers.
 - b. Universitas Gadjah Mada ensures that implementers of community service:
 - i. have the ability to master the scientific application methodology, level of complexity and depth of activity targets;
 - ii. have integrity, credibility, honesty, responsibility and loyalty to the institution;

- iii. maintain and develop connections and access to sources of infrastructure and facilities for community service activities.
- c. Universitas Gadjah Mada ensures that the development of community service products becomes a national reference that is applicable and responsive to the problems of society, nation and state through:
 - i. availability of quality and adequate resources for the development of community service that prioritizes benefits;
 - ii. achieving quality and quantity of community service results that are relevant to the direction of university policies;
 - iii. increasing publication and incubation of community service outcomes.

4. Changes to Requirements for Community Service Outputs and Services.

Universitas Gadjah Mada informs all changes in community service policies to all community service organizers so that they become guidelines and directions for implementation.

9.3.3. The Design and Development of Community Service Outcomes

Community service is the use of science, technology, and art to help increase communities' competitiveness, so that they can face challenges and solve their problems.

1. Planning for the design and development of community service of Universitas Gadjah Mada considers the stages of controlling the design and development of community service by improving:
 - a. the benefits of community service activities
 - b. support to professional associations and involvement in international meetings;
 - c. continuity of community service activities through increasing internal synergy and developing partnerships;
 - d. quality of community service activities through the use of scientific methods and integration with education and research;
 - e. improvement of institutional aspects in implementing community service;
 - f. documentation, publication and dissemination of community service activities in various forms.
2. Universitas Gadjah Mada determines the requirements for the design and development of community service by considering:
 - a. functional and performance requirements;

- b. information obtained from community service design and development activities;
- c. legal and regulatory provisions;
- d. university standards and codes of ethics;
- e. the potential consequences of the risk of failure;
- f. adequate resources for design and development needs supported by good documentation

3. Controlling the Design and Development of Community Service

Universitas Gadjah Mada implements control over the design and development of community service activities by ensuring:

- a. assessment criteria;
- b. assessment is carried out in an integrated manner and fulfills educational, objective, accountable and transparent elements;
- c. assessment involving stakeholders;
- d. assessment is carried out using relevant and accountable methods and instruments;
- e. assessment represents a measure of process performance achievements and performance achievements resulting from community service.

4. Design and Development of Outputs

Universitas Gadjah Mada ensures the output of design and development of community service by determining the university's strategic theme criteria in the form of:

- a. useful for solving problems in society by utilizing the expertise of academics;
- b. used for the development of science, technology and art;
- c. used to enrich learning resources both as teaching materials and training modules;
- d. have a positive impact on the environment, society, nation and state;
- e. problem solving models, social engineering, or recommendations that can be applied by society, business, industry and/or government.

5. Design and Development Changes

Universitas Gadjah Mada ensures a continuous improvement process (*Ginong Prati Dina*) by identifying and controlling changes made during the process or after the design and development of community service products and services to ensure that there is no adverse impact or reduction in the quality of the community service outcomes or outputs.

The University documents all community service information related to:

- a. design and development changes;
- b. activity evaluation results;
- c. the authority implementing the changes;
- d. measures taken to prevent impacts and risks.

9.3.4. Controlling the Performance of External Parties in Community Services

1. Introduction

Implementation of community service is carried out in collaboration or partnership with external parties. The University ensures that external providers of inputs, processes, products and services meet established quality requirements. Universitas Gadjah Mada determines the control system to be applied to entities providing inputs, processes, outputs, and external services that include the following.

- a. the service process provided by external partners is the result of the university's decision;
- b. outputs and services from external providers are incorporated into university service products and services;
- c. community service outputs and services that are delivered by external providers to stakeholders on behalf of the university.

Universitas Gadjah Mada determines, implements, and evaluates the performance of external partners based on the quality and ability to provide input, processes, outputs and/or community service. Universitas Gadjah Mada documents activities and changes made with external partners.

2. Types and levels of control

- a. Universitas Gadjah Mada ensures that service activities are carried out in accordance with established procedures and support the achievement of the university's vision, mission and goals.
- b. Community service organizers are responsible for building, implementing and maintaining an implementation system that meets the minimum requirements set out in community service quality assurance standards.
- c. The effectiveness of applying service quality assurance standards is evaluated periodically through internal quality audit activities.

3. Information for external providers

Universitas Gadjah Mada must ensure the quality of service before communicating to external partners. Universitas Gadjah Mada communicates to external providers about quality requirements:

- a. processes, outputs and service services that must be fulfilled;
- b. approval of methods, processes, and equipment; output, services and utilization of service results;
- c. competency of service implementers;
- d. interaction with service partners;
- e. monitoring and evaluation activities at service partner locations.

9.3.5. Requirements for Community Service Activities

1. Controlling external requirements and community service services

Universitas Gadjah Mada must establish controlled community service infrastructure and facilities with the availability of information that includes:

- a. availability of information about the characteristics of service products to be produced, service services to be provided, and service results to be achieved;
- b. availability of adequate resources and measurements;
- c. appointment of competent service providers, including the required qualifications;
- d. use of appropriate facilities and environment;
- e. implementation of monitoring and measurement to verify that the criteria for process control, output, and service results have been met;
- f. periodic validation of the ability of service implementers;
- g. prevention of errors;
- h. reporting of service results.

2. Identification and traceability

Universitas Gadjah Mada ensures that the results of community service are well documented and can be traced by:

- a. developing an information system to facilitate integration and synergy of community service activities;
- b. developing an information system to support documentation and publication of the results of community service, including the dissemination of knowledge, innovation and new findings that are beneficial to society.

3. Items belonging to internal and external stakeholders

Universitas Gadjah Mada ensures that all partners' research input, processes and output facilities and resources are well managed, documented and reported to partners.

4. Maintaining the results of community service

Universitas Gadjah Mada maintains the results and development of community service through collaboration to support the promotion and utilization of community service results with industrial partners, community groups, government, professional associations and alumni. Universitas Gadjah Mada develops a collaborative forum to conduct critical studies of the implementation of community service in an interdisciplinary manner that leads to recommendations for improving public policies, new findings and/or innovation.

5. Post-community service activities

Universitas Gadjah Mada ensures ownership of the results of community service by considering the following.

- a. cooperation agreement,
- b. legal and regulatory requirements,
- c. risks related to community service results and services,
- d. the nature, use and lifespan of agreed community service products/services,
- e. standards of community service, and
- f. internal and external stakeholder feedback.

6. Changes controls

Universitas Gadjah Mada determines, documents and decides on any changes or termination of community service activities if they are found to be inappropriate or contrary to the university's objectives.

9.3.6. Publication of community service outcomes

Universitas Gadjah Mada implements regulations for publishing the results of community service by lecturers, students and/or collaboration with other institutions. Permission can be granted by the dean or unit head.

9.3.7. Control of inappropriate community service outcomes

Universitas Gadjah Mada ensures that community service outputs are in accordance with planning and carries out evaluations to identify and control inappropriate use of

service outputs. Universitas Gadjah Mada makes improvements if it is discovered that there is an improper use of community service outcomes. Universitas Gadjah Mada documents the outputs of community service programs and the measures taken to ensure the suitability of the use of community service output.





Quality Assurance and Reputation Unit
Universitas Gadjah Mada

CHAPTER X

PERFORMANCE EVALUATION



CHAPTER 10

PERFORMANCE EVALUATION

10.1. Stakeholder Satisfaction Measurement, Analysis and Evaluation.

10.1.1. Introduction

1. Universitas Gadjah Mada establishes monitoring, measurement, analysis and evaluation of all *Tridharma* activity services to ensure the effectiveness of services and the achievement of planned goals/aims/targets.
2. Universitas Gadjah Mada establishes regular monitoring and measurement based on documented quality procedure comprising the following.
 - a. stakeholders satisfaction
 - b. level of administrative services
 - c. work unit performance
 - d. performance of lecturers, students and educational staff
 - e. achievement of performance achievement indicators/mandate
 - f. variables related to the *Tridharma* activity process.

10.1.2. Measurement of Stakeholders' Satisfaction

1. Universitas Gadjah Mada carries out regular monitoring and measurement of stakeholder satisfaction.
2. Universitas Gadjah Mada uses stakeholder satisfaction measurement instruments to obtain information regarding perceptions of the results and service processes of *Tridharma* activities.
3. Universitas Gadjah Mada analyzes and evaluates the results of measuring stakeholder satisfaction for improvement.

10.1.3. Analysis and Evaluation.

Universitas Gadjah Mada analyzes and evaluates data from monitoring, measurement, and other sources to:

1. demonstrate the suitability of planning, processes and results of *Tridharma* service activities;
2. ensure the effectiveness of *Tridharma* activity services, implementing and evaluating a quality management system;

3. increase stakeholder satisfaction;
4. assess work unit performance;
5. assess the ability of external partners to meet the quality of results and service performance requirements set by the university;
6. identify opportunities for improving the quality management system; and
7. ensure the results of analysis and evaluation as one of the inputs in management review meetings.

10.2. Internal Quality Audit

1. Universitas Gadjah Mada carries out regular and planned Internal Quality Audits to ensure that:
 - a. the internal quality assurance system consistently meets the requirements of standards and applicable laws and regulations, and
 - b. the internal quality assurance system is implemented consistently and continuously to achieve the set goals.
2. Universitas Gadjah Mada plans, establishes, implements and evaluates the Internal Quality Audit program, which includes:
 - a. frequency of carrying out Internal Quality Audits,
 - b. methodology used,
 - c. auditor on duty and person in charge of implementation, and
 - d. reporting Internal Quality Audit results.
3. Universitas Gadjah Mada ensures that the establishment of the Internal Quality Audit program, considering:
 - a. the importance of Internal Quality Audit,
 - b. stakeholder feedback,
 - c. changes to improve the quality management system, and
 - d. previous Internal Quality Audit report.
4. Universitas Gadjah Mada ensures that internal quality auditors are independent and professional in conducting Internal Quality Audits.
5. Universitas Gadjah Mada ensures that:
 - a. Internal Quality Audits are carried out systematically, periodically, and based on

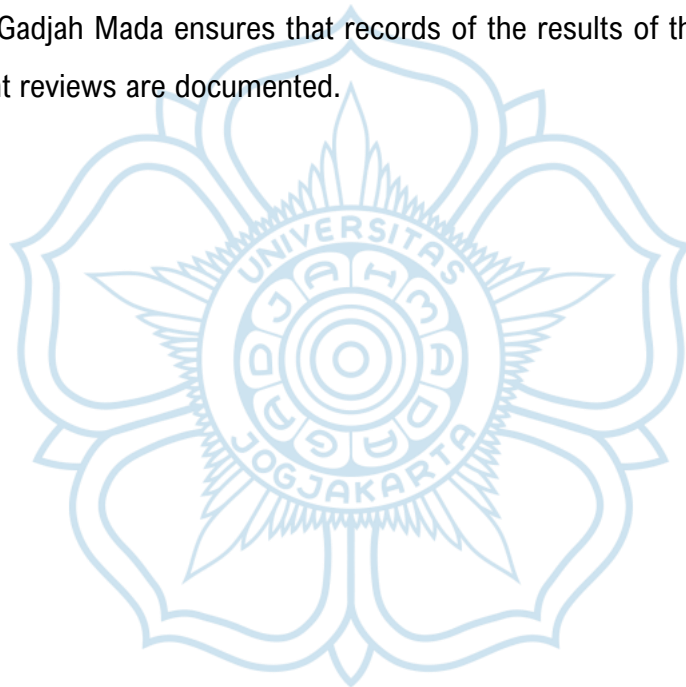
quality procedures,

- b. Internal Quality Audit quality procedures include responsibilities and requirements for implementation, formulation of results and reporting of internal quality audits to leadership/management,
- c. Internal Quality Audit findings are confirmed to the auditees, followed up, documented, and corrective measures will be verified for their effectiveness,
- d. the results of the verification of corrective measures are reported to the leadership, and
- e. Internal Quality Audit reports are documented and become part of the discussion material in management review meetings.

10.3. Management Review

1. Universitas Gadjah Mada reviews the internal quality assurance system periodically to ensure its suitability, adequacy, continuity, and effectiveness.
2. Universitas Gadjah Mada ensures that management reviews are carried out by considering, among other things:
 - a. follow-up evaluation of previous management reviews;
 - b. internal and external changes and issues relevant to improving the internal quality assurance system;
 - c. work unit performance with the following indicators
 - i. monitoring and measurement results,
 - ii. non-conformities and corrective measures,
 - iii. Internal and External Quality Audit results,
 - iv. benchmarking results against relevant partners,
 - v. stakeholder satisfaction, feedback, and complaints,
 - vi. achievement of quality targets,
 - vii. *Tridharma* program and its supporters,
 - viii. process performance and suitability of *Tridharma* products and services, and
 - ix. performance of product and service provider partners.
 - d. resources required to ensure the effectiveness of *Tridharma* services and the application of the quality management system,

- e. the effectiveness of measures taken against risks, and
 - f. opportunities that can be implemented for continuous improvement and quality improvement.
3. Universitas Gadjah Mada ensures that management review outputs include decisions and measures related to:
- a. opportunities to improve internal quality assurance systems and processes;
 - b. improvement of *Tridharma* services to stakeholders in accordance with statutory requirements and regulations;
 - c. fulfillment of every resource requirement required for the implementation of point 3.a. and 3.b.
4. Universitas Gadjah Mada ensures that records of the results of the implementation of management reviews are documented.





Quality Assurance and Reputation Unit
Universitas Gadjah Mada

CHAPTER XI

CONTINUOUS QUALITY IMPROVEMENTS AND CORRECTIVE MEASURES



CHAPTER 11

CONTINUOUS QUALITY IMPROVEMENTS AND CORRECTIVE MEASURES

11.1. Corrective measures

1. Universitas Gadjah Mada determines and implements necessary corrective measures for:
 - a. satisfaction of all stakeholders;
 - b. suitability and effectiveness of *Tridharma* services to statutory and stakeholder requirements;
 - c. improvement of the quality of *Tridharma* services in meeting requirements;
 - d. suitability of the internal quality assurance system and processes to the requirements of standards and applicable laws and regulations;
 - e. improvement of the performance and the effectiveness of applying of internal quality assurance system on an ongoing basis.
2. Universitas Gadjah Mada ensures that corrective measures are carried out through several approaches based on available resources, including:
 - a. corrective;
 - b. developmental in nature;
 - c. gradual and continuous; and
 - d. innovative.

11.2. Non-conformities and Corrective Measures

1. Universitas Gadjah Mada takes corrective measures for any discrepancies in *Tridharma* services including stakeholder complaints.
2. Universitas Gadjah Mada ensures that corrective measures are focused on addressing and eliminating the root of the problem to prevent similar problems from occurring.
3. Universitas Gadjah Mada ensures that corrective measures are implemented based on quality procedures that include:
 - a. identification of non-conformities and their causes;
 - b. prevention so that non-conformities do not occur again;
 - c. implementation of necessary corrective measures;

- d. effectiveness of implementing corrective measures;
 - e. reviews of and changes to the quality management system affected by corrective measures, including re-identifying established risks and opportunities.
4. Universitas Gadjah Mada ensures that corrective measures are tailored to the impacts caused.
 5. Universitas Gadjah Mada documents the results of the implementation and effectiveness of corrective measures.

11.3. Continuous Improvements

1. Universitas Gadjah Mada continuously improves the quality and effectiveness of *Tridharma* services through the following.
 - a. fulfillment of legal requirements and regulations;
 - b. improving quality policies and operational procedures;
 - c. determining, reviewing and improving quality targets in each work unit;
 - d. implementation of follow-up to internal and external audit results;
 - e. implementation of follow-up on the results of measuring stakeholder satisfaction;
 - f. development of competence and professionalism of all academic members;
 - g. implementation of follow-up on the results of data analysis and evaluation of *Tridharma* services;
 - h. consistent implementation of corrective and preventive measures;
 - i. implementation of management reviews involving all levels of management;
 - j. carrying out reviews and following up on every input submitted by stakeholders, and
 - k. implementation of suggestions for corrections involving all levels of management.
2. Universitas Gadjah Mada ensures that every analysis and evaluation result and management review results will become an input in implementing continuous improvement.
3. Universitas Gadjah Mada ensures that every position function and work unit that, based on the results of analysis and evaluation, shows inappropriate performance is provided through coaching.
4. Universitas Gadjah Mada determines, implements, evaluates and develops the systems and methods needed to investigate declines in the performance of related job functions and work units.