AUDIT GUIDELINES
Learning Facilities and Infrastructure

QUALITY ASSURANCE UNIT
UNIVERSITAS NEGERI SURABAYA
2022

LEARNING FACILITIES AND INFRASTRUCTURE AUDIT GUIDELINE

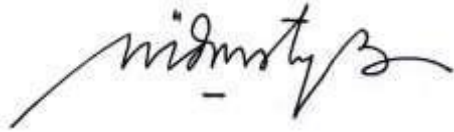Document Number: 01/PA/SPM Unesa/2022

QUALITY ASSURANCE UNIT
SURABAYA STATE UNIVERSITY

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PREFACE

Dengan rahmat Tuhan Yang Maha Esa telah terselesaikan pedoman audit sarana dan prasarana pembelajaran di selingkung Unesa yang dapat digunakan sebagai acuan pelaksanaan audit sarana dan prasarana pembelajaran yang ada di Unesa. Pedoman audit sarana dan prasarana pembelajaran ini berisi tentang tujuan, sasaran, ruang lingkup, pelaksanaan, teknik audit dan instrumennya. Pedoman ini diharapkan dapat membantu auditor dan auditee dalam pelaksanaan audit.

Surabaya, June 2022

Dr.Widowati Budijastuti,.
Head of Unesa Quality Assurance Unit

1. INTRODUCTION

With the development of technology and the service needs of students, educational distribution units must meet the expectations of students in improving services. Learning facilities and infrastructure is one of the quality standards of undergraduate courses SN Dikt, which is derived from Unesa internal quality standards that every education provider Unesa environment must meet. Fulfilling this standard is a top priority every education provider in the Unesa environment must meet. Standard services include:

Furniture, educational equipment, media, books, information technology, sports, and art. Infrastructure now includes:

National Standards, Classrooms, Libraries, Laboratories, Meeting Rooms, Lecturers, Executive Rooms, and Public Spaces. To ensure compliance with the standards, it is necessary to conduct an internal audit as evidence of the evaluation and control cycle, which is one of the SPMI cycles viz. definition, implementation, evaluation, control, and improvement of standards.

The objectives of the internal audit of learning facilities and infrastructure are (1) to determine the availability of learning opportunities and facilities, (2) to check the appropriate facilities and infrastructure in accordance with the A accreditation exam, (3) to check facilities and infrastructure with special needs, (4) Review of Terms of Reference (Plan) including the development, management and use of information systems, (5) Review of the completeness of documents related to learning opportunities and infrastructure.

2. OBJECTIVE

These guidelines aim to:
a. Implementing work procedures for auditing Unesa's learning facilities and infrastructure.
b. Become a reference for the provisions in the implementation of audit of learning facilities and infrastructure in the Unesa study area
c. knowing and mapping the extent to which the achievement of facilities and infrastructure standards has been met in each study program in Unesa.

3. TARGET

a. Faculty and study program within Unesa
b. Unesa Library and Language Center

4. SCOPE

The study of learning facilities and infrastructure includes administrative documents, learning facilities documents, supporting facilities documents, availability of learning facilities, and infrastructure in Unesa.

5. DEFINITIONS

a. Management Documents

      1) Planning documents and development documents for learning facilities and infrastructure

      2) Use a determination document

      3) User security and safety documents

      4) Maintenance/repair/cleaning documents

    The documents consist of (a) policies; (b) regulations; (c) guidelines.

b. Learning Facilities Documents

    Learning Facilities Documents

      1) Land ownership documents

      2) Land use documents

      3) Learning facilities development plan document

      4) Learning facilities ownership documents

      5) Learning facilities maintenance document

      6) Management documents/instructions for the use of learning facilities

      7) Document the number of types and specifications of learning facilities with the ratio of users

c. Updated documents on book/journal data at the study program level

      1) Documents Library materials in the form of dissertations/theses/essays/final assignments minimum 200/study program

      2) Documents Library materials in the form of scientific journals accredited by the Higher Education minimum 3 journal/study program

      3) Library materials in the form of a minimum of 2 international scientific journals/study program

      4) Library materials in the form of seminar proceedings in the last three years, minimum 9 pieces/study program

      5) Library access subscription documents / other sources

      6) Library/reading room user service satisfaction response documents

      7) Library visit documents $\geq$ 30% of students

d. Supporting Infrastructure Document

      1) Evidence of infrastructure development plans (e.g., sports hall, common room, counseling, student council room, polyclinic, lecturer, study room for thesis)

      2) Infrastructure maintenance documents (training facilities, lounge, counseling, student council room, polyclinic, lecture room, final workshop)

      3) Infrastructure management/use documents (schedules, permits, log books, etc.)

      4) Documents listing supporting infrastructure, including type, number of units, number of units, ownership status, condition, and management of units

      5) appropriate information system documents, including computers connected to a wide area network/internet, appropriate licensed software, frequently used online learning opportunities and online access to library collections.

      6) Accessible information documents in the information system (at least 3 types of information are still available on computers connected to the wide area network).

      7) documents the availability of data sources consisting of websites, online services, local area networks, and wireless networks.

8) Guidelines for establishment criteria and infrastructure with special needs
9) Planning documents for the development, management, and use of information systems (the plan is in the form of detailed terms of reference as a basis for policy, which includes setting goals and objectives, formulating strategies, implementing programs and activity directions, as well as steps or implementation that must be carried out by each unit)
10) Facilities and Infrastructure include (a) administrative units; b) information flow and access authorization systems; (c) Disaster Recovery System

6. METHODS AND IMPLEMENTATION

a. Methods

Dalam melakukan audit, maka auditor perlu melakukan:
1. Wawancara
Auditor harus mempunyai kemampuan dalam cara bertanya, pencatatan hasil, identifikasi temuan, menjaga rahasia hasil audit dan membuat laporan.
2. Observasi
Audior harus melakukan pemeriksaan kesesuaian dokumen dan bukti di lapangan.

b. Implementations

The audit of learning facilities and infrastructure can take place at the stages of planning, preparation, implementation, processing, and presentation of audit results, which include the following steps:
1) Preparation of audit instruments

No	Type of Instruments	Instrument development	Description
1.	Form 1. Document Completeness Checklist	SPM	Reference minimum standards for reviewers to conduct document reviews
2.	Form 2. Audit Work Procedure (PKA)	Auditor	Define each inspector's work steps using standards and checklists.
3.	Form 3. Audit log	Auditor	Capture and categorize types of observations, including observations or deviations.
4.	Form 4. Audit summary	Auditor and auditee	Description of conditions and determination of categories based on audit result records agreed by auditors and auditees.
5.	Form 5. Description of Audit Conditions	Auditor	1. Description of findings, criteria, root causes, consequences of findings, 2. Auditi's improvement plan, 3. Schedule of improvement, 4. Prevention plan, 5. Prevention schedule 6. Person in charge 7. Auditee and auditor approval 8. Recommendations to the auditee to

No	Type of Instruments	Instrument development	Description
			provide solutions to the findings, 9. Follow-up results

6.	Form 6. Audit Report	Auditor	1. Executive summary
			2. Preface
			3. Table of Contents
			4. CHAPTER 1. Introduction
			   a. Background
			   b. Overview
			   c. Background
			   d. Auditi Overview
			   e. Purpose of Examination
			   f. Scope of Examination
			   g. Legal basis/Rules used
			   h. Limitation of Inspection
			   i. Inspection Method
			   j. Stages of Examination
			   k. Review of Previous Audit Results
			   l. Audit Team Organization
			5. CHAPTER 2. Inspection Results
			   a. Condition - A1.xx
			   b. Condition - A2. xx
			   c. Condition - A3. xx
			   d. Condition - A5. xx
			   e. Condition - A6. Xx
			6. Chapter 3. Conclusion
			Attachment
			For templates can be downloaded at htpps://www.ppm.unesa.ac.id/

2) Determination of the audited unit
Determination of the audited unit is determined by SPM together with GPM based on the need to determine baseline data on learning facilities and infrastructure. The audited units are all faculties, study programs, language centers, and libraries within Unesa.

3) Conducting the audit
The audit is conducted through the following mechanism:
a. SPM and GPM develop audit plan schedule
b. SPM determines the auditors to be assigned to each audited unit
c. Auditors are briefed on the implementation of the audit
d. Auditors get audit instruments
e. SPM sends the audit schedule to the auditee
f. The auditor meets the head of the audited unit to:
- Explain the scope of the audit
- Agreed audit schedule
g. Conduct audits guided by the document completeness checklist (form 1) and the audit work program (Form 2)

4) Auditor records and classifies the type of findings, including observations or nonconformities, on form 3.
5) The auditor describes the condition and determines the category based on the results of the audit notes that the auditor agrees with the auditee on form 4.
6) The auditor summarizes the audit conditions according to each finding on Form 5 (1 finding 1 form).
7) The auditor makes an audit report by the template that can be downloaded at www.ppm.unesa.ac.id

6. AUDITOR ETHICS

Some of the ethics of an auditor are:
a. Auditors must have integrity, honesty, diligence, and responsibility.
b. Auditors must be careful in using and maintaining information for personal gain.
c. Meet the auditee to convey the purpose and agenda of arrival.
d. Arrive on time by the agreement that has been made.
e. Dress neatly.
f. Communicative and polite in speech.
g. The auditor must be objective and data-based in recording and classifying the types of findings or discrepancies.
h. Involve the auditee in analyzing and testing the conditions that occur. This allows for questions and answers.

7. AUDITORS' SANCTIONS

Sanksi bagi auditor yang melanggar etika:
a. Receive a warning
b. Subtle warning for non-severe violations, strong warning for severe violations
c. Dismissed as an auditor for a specific time
d. Dismissal as auditor

Attachment

1. Audit instrument
2. An accreditation rubric for facilities and infrastructure