



# Audit Report

## POLITEKNIK NEGERI BATAM

Address of Main Location:

Kampus Politeknik Negeri Batam  
Jl. Ahmad Yani  
Batam Kota  
Batam 29461  
Indonesia

Standard Audited  
Date of Audit

**ISO 9001:2015**  
**18-19 August 2021**

## Disclaimers and Notes

Number	Disclaimer and Notes
1	The report is confidential between the client and the URS Group of Companies and Regulators. Should a client and/or URS wish to circulate to other, non-named parties, then consent in writing should be obtained from the stated parties above.
2	The content of this report has been produced from samples taken during the visit.
3	If the client does NOT agree with the content of this report, the Client should notify URS within 7 working days of receipt of the report.
4	The audit has been performed in-line with the quotation and the scheme rules and regulations - refer to <a href="http://www.urs-holdings.com">www.urs-holdings.com</a> (Scheme Rules and Regulations)
5	Cancellation of a planned audit visit may incur a cost if not requested in writing and is less than 7 working days before the visit is scheduled - refer to <a href="http://www.urs-holdings.com">www.urs-holdings.com</a>
6	If significant changes are made to the management system, scope, location, number of sites or ownership, please notify URS in writing as soon as possible.
7	Please note that Audit Reports are independently reviewed within URS and in the unlikely event that the internal reviewer does not agree with the Auditor's recommendations and conclusion, URS shall notify you of the outcome.
8	During the independent review of this report, should the auditor be required to explain further his/her audit comments, the content of the audit report and supporting documents may be amended. Should any alteration materially affect the outcome of this report, you will be advised accordingly.

Client Signature (Optional)	Lead Auditor Signature (Optional)
Mr UB/Mr ARF	Ms Sirma Simarmata



## 1.0 Administration of the Audit Activity and Changes

AUDIT TEAM members	Total Hours on Audit	Total Days on Audit (nearest half day)	Shift(s) Audited	Name of Translator if Applicable	Name of Specialist if Applicable
Ms Sirma Simarmata	24	3.0	N/A	N/A	N/A
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CLIENT CONTACT(s) - Primary	Primary Contact(s) Changed
Mr ARF/Ms L	---

CLIENT FINANCIAL Contact(s) - Currently	Financial Contact(s) Changed
Mr ARF/Ms L	---

OTHER ADMINISTRATIVE CHANGES that may be Relevant for the Client Record
N/A



## 2.0 Technical Aspects of the Audit and Changes

This section of the Report seeks to identify significant technical or business changes to the Client, that may effect the certification scope, the manner in which the audit was conducted, or is to be conducted for the future, which may effect the audit duration.

### 2.0.1 The Client's Fundamental Processes:

The auditor is ONLY defining the Client's Fundamental Processes or Departments that the client refers to in their management system (i.e.: functions in the standard such as Management Review, is a Management Process and is recorded else where). The auditor may further clarify a Client's fundamental process name to aid programme activities e.g.: if reference is made to Manufacture in a general engineering company, the auditor may expand its reference by stating Manufacture - cutting, Manufacture - Painting. The auditor is responsible for "building" the fundamental processes for the 3 year certification programme; as well as showing which fundamental processes have been seen in the individual audit plan for this visit.

Name of the Fundamental Process or Department	Name of the Fundamental Process or Department	Name of the Fundamental Process or Department	Name of the Fundamental Process or Department	Fundamental Process or Department CHANGED since last Visit
Curriculum Design	--	--	--	---
Teaching Activities	--	--	--	---
Teaching Evaluation	--	--	--	---
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## 2.0.2 The Client's Business Structure - Locations/Sites and Shifts

Client Certification Structure	Change in Address(es) of Certification Structure	Address CHANGES	Changes in Work Pattern (e.g.: Shifts)	Shift CHANGES
Single	No	No Changes	No	N/A
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## 2.0.3 The Client's Locations/Sites, Scope, Employee Numbers

Site No	Site Address	TOTAL No. of Employees	New TOTAL No. of Employees	Scope	Proposed New Scope
1	POLITEKNIK NEGERI BATAM, Kampus Politeknik Negeri Batam, Jl. Ahmad Yani, Batam Kota, Batam 29461	40	N/A	Management of Higher Education	N/A



## 2.0.4 The Client's Main Regulatory Context to the Certification Scope

Scope Context	Obligations	Obligation Context	Applicability of Obligations	Main Obligation References
Audit Answers follow based on the Client's scope, activities and Scheme	<b>Regulatory Requirements</b>	Is the client aware of their Regulatory obligations for their "Home" market	Yes	Peraturan Menteri Pendidikan dan Kebudayaan Nomor 139 Tahun 2014 Tentang Pedoman Statuta dan Organisasi Perguruan Tinggi
Examples of relevance relate to Medical, Food, Construction, H&S, EMS to name a few (consult the relevant CRSAN)	<b>Regulatory Requirements</b>	Is the client Exporting and if so, are they aware of their Regulatory obligations for the export market destination	No	N/A

Scope Context	Obligations	Obligation Context	Applicability of Obligations	Main Obligation References
Audit Answers follow based on the Client's scope, activities and Scheme	<b>Contractual Requirements</b>	Is the client aware of their Contractual requirements for their "Home" market	Yes	No.FO.21.1.1-V2 Format Pengelolaan Adm Akademik – Pedoman Pembelajaran Mahasiswa  No.FO.21.1.2-V3 Format Pengelolaan Adm Akademik – Kalender Akademik  Syllabus RPS
Examples of relevance relate to Medical, Food, Construction, H&S, EMS to name a few (consult the relevant CRSAN)	<b>Contractual Requirements</b>	Is the client Exporting and if so, are they aware of their Contractual obligations for the export market destination	No	N/A



Scope Context	Obligations	Obligation Context	Applicability of Obligations	Main Obligation References
Audit Answers follow based on the Client's scope, activities and Scheme	<b>Best Practice</b> <b>e.g.:</b> <b>International or National standards</b>	Is the client aware of the best practice and/or standards for their product or service obligations for their "Home" market	Yes	ISO 9001:2015 SPMI
Examples of relevance relate to Medical, Food, Construction, H&S, EMS to name a few (consult the relevant CRSAN)	<b>Best Practice</b> <b>e.g.:</b> <b>International or National standards</b>	Is the client Exporting and if so, are they aware of the best practice and/or standards for their product or service obligations for their "Export" market destination	No	N/A



### 3.0 Significant Changes

Significant changes that have been identified by the auditor during planning activities, or during the audit itself, or notified by the client to the auditor, are changes that require additional time to audit. As such, the auditor should perform a Special Visit to verify compliance of the changes.

Area of Significant Change	Applicability	Brief Description of Change	Estimated Duration of Special Visit
NEW Location (to be added to Certification)	No	No Changes	N/A
A major increase in Employee numbers (greater than 45% from last visit)	No	No Changes	N/A
Major change in the volume of Sales and/or Customers (e.g.: over 40% increase since last visit)	No	No Changes	N/A
Major Change in applied technology/equipment/processes (e.g.: hand solder to automatic placement of components)	No	No Changes	N/A
Major change in Regulation and/or customer requirements	No	No Changes	N/A
Major change in scope (e.g.: Adding Design, Installation, extended products or services offered)	No	No Changes	N/A



## 4.0 Audit Team Summary, Recommendations and Conclusion

### 4.0.1 Audit Team Summary

Remote Audit Recertification has been carried out, in accordance with the scope of " Management of Higher Education ". The area audited includes Academic Bereau, Program Study (Curriculum Design, Teaching, Evalution, etc.), include Unit Kerja i.e: P2M, SBAK, SBPK, SBUM, UPT, etc

This audit visit aimed to verify the continuing QMS effectiveness by taking samples from all activities within scope, as per pre-submitted audit programme.

All staff (Auditee), demonstrate knowledge related to the Quality Management System. Retrieval of evidence and interviews conducted remotely using the media application Zoom and Whatsaps, for ensure the effectiveness of the Quality Management System.

#### CONTEXT

The organization has identified internal & external issues related to their activities & products as per the requirements of ISO 9001:2015 and documented them and also related to the identification of related parties and their Expectations.

#### RISK APPROACH

The organization had identified the main risk of their activities and document them in the Risk Registers. Several SOP (procedures) and work instruction have been issued to control those risks, e.g. : Academic Bereau, Program Study (Curriculum Design, Teaching, Evalution, etc.), include Unit Kerja i.e: P2M, SBAK, SBPK, SBUM, UPT, etc

#### LEADERSHIP APPROACH

Management shows their commitment not only by defining Quality Policy and Objectives and providing necessary resources; but also by involvement in day to day basis supervision and coordination of activities incl. in customers & clients relationships; management supervision and other activities. The Management also actively involved in Quality Objectives achievement review and routinely leading the Management Review Meetings.

Roles, Responsibilities and authorities are well defined and communicated via Organizational structures, Job Descriptions, Assignment / Appointment Letters, Procedures and Work Instructions.

#### SYSTEM CONTROLS

Operational control including at Teaching process, customer complaint, unachieved objective/ target. Improvement system also had been adequately implemented, all processes and procedures are carried out properly. Internal audits and management review meetings have been carried out accordingly to ensure quality objectives and quality policies are carried out properly in the organization.

No NC (Major) and differences (NC Minor) were found during the audit. Several comments were issued for the company to improve the quality management system effectiveness. Please find them in audit comments pages. As the result of this audit, we recommend the issuance of an ISO 9001:2015 Certificate to Politeknik Negeri Batam.





## 4.0.2 Recommendation and Conclusion from the Normal Scheduled Visit

Recommendation	Indicate Where Applicable
No action required	<input type="checkbox"/>
Consider the Comment(s) Raised for the Next Visit	<input checked="" type="checkbox"/>
Send in a Corrective Action Plan and EVIDENCE to close the Concern(s) - Ds (evidence should be sent within 60 working days)	<input type="checkbox"/>
As a Major NC(s) has been raised this visit, a Special Visit will be required to verify closure of the NC(s) - the visit must be performed within 90 days	--
The date of the special visit has been booked for	---

Conclusion	Indicate Next Action
Grant Certification or Continued Certification	<input checked="" type="checkbox"/>
Grant Certification or Continued Certification - Subject to the Client forwarding the information requested above	<input type="checkbox"/>
Suspension and Special Visit Required	<input type="checkbox"/>
Immediate withdrawal of Certification	<input type="checkbox"/>



### 4.0.3 Audit Team Recommendation from Acknowledged Significant Changes

The recommendation below is based upon the information stated in the Table under section 3.0 of this report (Significant Changes). The URS Office will review the recommendation below and confirm, or otherwise the requirement.

Special Recommendation	Duration of Special Visit (to the nearest 0.5 day)	Proposed Date
A special visit to verify compliance of the management system with respect to the significant changes noted is required; which may amend the formally issued Certificate of Registration. The special visit should be conducted no later than 90 days from this visit date.	N/A	N/A

Non-Compliance (NC)= major break-down in a process that may directly effect the final product or service being delivered, regulatory failure; or danger to life, or lack of compliance to a clause of the standard. Discrepancy (D) = a partial break-down in a process that does not directly cause a failure to the Product or Service being delivered, partial regulatory failure; possible minor injury, or partial non-compliance to a clause or sub-clause of the standard.

[illegible]



## 6.0 Comments Raised

OFI = Opportunity for Improvement - An area noted in a process that the auditor is aware that potential improvement can be made within the said process.  
PNC = Potential Non-Compliance - An area where the auditor has not fully audited the process (e.g.: a new change has been introduced to a process) but is aware that the process is not fully compliant.

Number	Description of Comment	Comment Type
1	<p>Seen target Mutu 2021- No.BO.34.1.2-V1 Borang PM – Target Mutu. Quality Plan has been established properly i.e: Mengukur Ketercapaian Standar Mutu   Target Waktu   PIC  Unit Terkait   Sem 1 (persentase ketercapaian )   Hasil Evaluasi   Sem 2 (Persentase ketercapaian )   Hasil evaluasi. Howevers seen lack of evidence that the achievement of targets and evaluations have been monitored as planned, seen some quality targets have not been filled. Eg: Unit kerja JURUSAN TEKNIK ELEKTRO, Jurusan MB</p>	PNC
2	<p>Seen Activities Pelaksanaan Penelitian dan Pengabdian Kepada Masyarakat, there are 2 Schemes (Terapan &amp; Kerjasama), For Research there are 49 Titles and 24 Pengabdian approved, all starting in April 2021, The completion target is November 2021. Therefore Final Report, Evaluation and Follow-up on Research Results and Community Service will be verified in the next audit. eg: No 79: Judul : Efektivitas Dan Persepsi: Implementasi Project-Based Learning Pada Mata Kuliah Cost Accounting Di Era Pandemi Covid-19   Ketua : Ibu Nanik Lestari, SE, M.S.Ak (MB)</p> <p>Penelitian Kerjasama :Judul: Analisis kelayakan bahan ajar Bahasa Inggris Bisnis di Perusahaan Jasa: Studi Kasus PT. NDT Instruments Indonesia Batam   Head Condra Antoni,SS, M.A</p> <p>Program Pengabdian: Kode SKIL : PHP-Pengabdian Hasil penelitian Ketua : Wenang Anurogo, S.Si., M.Sc.</p>	PNC
3	<p>Clause 7.1.3 Infrastructure state that: The organization shall determine, provide and maintain the infrastructure necessary for the operation of its processes and to achieve conformity of products and services</p>	PNC



Number	Description of Comment	Comment Type
	<p>NOTE Infrastructure can include:</p> <ul style="list-style-type: none"> <li>a) buildings and associated utilities;</li> <li>b) equipment, including hardware and software;</li> <li>c) transportation resources;</li> <li>d) information and communication technology</li> </ul> <p>- Seen Target Mutu UPT-SI : Ach : 12.5   Number of Std 8, Fulfilled 1   not yet fulfilled there are 7. One of the Root Causes is that the infrastructure (server) is inadequate, causing data migration to be constrained.</p>	
4	<p>- Publications/iklan in the Public Relations Section have been well monitored and controlled, however it will be more beneficial if there was an annual evaluation of all publications for the Evaluation of Effectiveness and Efficiency.</p> <p>-No.PR.27.2-V5 Prosedur Koordinator Perencanaan Humas Kerjasama – Prosedur Pengelolaan Acara Atau Protokoler have been conducted properly, however sampling of feedback on events that are held needs to be done to evaluate the performance of the organizers.</p>	OFI
5	<p>UPT – Pengadaan, No.BO.24.3.2-V1 Borang UPT Pengadaan – Pemeriksaan, Uji Fungsi dan Serah Terima Barang. Seen that the Items and parameters of the Test Results carried out are not clear to be declared Good or Rejected.</p> <p>eg: 11 Feb 2021 Supplier : PT Aztech Karya Mandiri SPK No. 13/SPK-PCMAC/PL29/II/2021 date 4 Feb 2021 Item: MGN631D/A-Macbook air-Space Grey   Spec : MI Chip With 8-CPU and 7-GPU/256   SSD/8GB/IOS/13"   11 Unit   Hasil Uji?? (Baik/Ditolak??) Function Test Items and Parameters ??</p>	PNC
6	<p>Seen the teaching and learning process, the verification procedure for the exam questions has not been fully carried out for all subjects, especially for lecturers as well as instructors. There are potential problems with the quality of the exam questions and discrepancies with the Syllabus and RPS.</p> <p>eg:Program MB   Mr Doni Putra – Analisa Laporan Keuangan   Semester Ganjil, Semester V   Y2020/2021</p>	PNC
7	<p>Clause 7.1.2 People State: The organization shall determine and provide the persons necessary for the effective implementation of its quality management system and for the operation and control of its processes.</p>	PNC



Number	Description of Comment	Comment Type
	- UPT-PP, Seen 50% target achievement, the result of the observation that there is a shortage of personnel, need to calculate the workload to evaluate the addition of personnel.	
8	SBAK Sub Bagian Akadmik dan Kemahasiswaan   No.FO.5.2.1-V0 Format PMB – Evaluasi PMB. Seen Evaluation of PMB planned to be implemented next month waiting for inauguration, will be verified at the next audit.	PNC
9	<p>Clause 7.5.2 Creating and updating</p> <p>When creating and updating documented information, the organization shall ensure appropriate:</p> <p>a) identification and description (e.g. a title, date, author, or reference number);</p> <p>b) format (e.g. language, software version, graphics) and media (e.g. paper, electronic);</p> <p>c) review and approval for suitability and adequacy</p> <p>- Seen Control of Document needs to be reviewed, updated and approved for suitability and adequacy, eg: No.PR.22.2-V6 Prosedur Kemahasiswaan – Asuransi Mahasiswa   No.BO.22.2.1-V1 Borang Kemahasiswaan – Daftar Peserta Asuransi Mahasiswa --&gt; seen inappropriate and has been revised.</p>	PNC
10	Seen procedures for handling Alumni have been well defined, including tracing alumni and conducting a survey of Companies/Industry for Performance Assessment Alumni Politeknik Negeri Batam. i.e : No.BO.23.2.1-V3 Borang Pengelolaan Alumni – Kuisisioner Penilaian Kinerja Alumni Politeknik Negeri Batam. The program is carried out once a year, the last conducted was Y2019, while Y2020 has not been done yet.	PNC



## 7.0 Partnering with URS Provides your Business

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