



Audit Report

POLITEKNIK NEGERI BATAM

Address of Main Location:

Jalan Ahmad Yani
Batam Centre
Kecamatan Batam Kota
Batam 29461
Indonesia

Standard Audited
Date of Audit

ISO 9001:2015
September 04 – 06, 2023

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 www.urs-holdings.com (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 www.urs-holdings.com
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. Ahmad Riyad Firdaus	Lucy Amellia



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
Lucy Amellia	20.0	2.5	N/A	N/A	N/A
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CLIENT CONTACT(s) - Primary	Primary Contact(s) Changed
Mr. Ahmad Riyad Firdaus	---

CLIENT FINANCIAL Contact(s) - Currently	Financial Contact(s) Changed
Mr. Ahmad Riyad Firdaus	---

OTHER ADMINISTRATIVE CHANGES that may be Relevant for the Client Record
Address changed to : Jalan Ahmad Yani Kec. Batam Kota, Batam



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
Academic Bereau (SBAK – Academic and Student Affairs Sub Division, PB23 – Alumni Management, Library)	--	--	--	---
Research and Social Responsibility (P2M)	--	--	--	---
GA and Resources Bereau (BMN Administrative Management, UPT – Procurement, Facilities & Utilities Section (UPT – PP), Human Resources Section – SBKK, UPT – SI	--	--	--	---



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
(Information System)				
Program Study (Curriculum Design, Teaching, Evaluation, etc .)	--	--	--	---
SBUM - General Sub Division of Public Relations and Promotion, PB29 – Secretarial General Administration Management, Student Affairs and Partnership – SBPK	--	--	--	---



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	Yes	Address changed to : Jalan Ahmad Yani Kec. Batam Kota, Batam	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	403	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	Regulatory Requirements	Is the client aware of their Regulatory obligations for their "Home" market	Yes	<ul style="list-style-type: none"> - Permendikbud Nomor 26/2010 – Tentang Pendirian Organisasi dan Tata Kerja Politeknik Negeri Batam - Permen Ristekdikti Nomor 41/2016 – Tentang Statuta Politeknik Negeri Batam - PP RI Nomor 04/2014 – Tentang Penyelenggaraan Pendidikan Tinggi dan Pengelolaan Perguruan Tinggi etc.
Examples of relevance relate to Medical, Food, Construction, H&S, EMS to name a few (consult the relevant CRSAN)	Regulatory Requirements	Is the client Exporting and if so, are they aware of their Regulatory obligations for the export market destination	No	---

Scope Context	Obligations	Obligation Context	Applicability of Obligations	Main Obligation References
Audit Answers follow based on the Client's scope, activities and Scheme	Contractual Requirements	Is the client aware of their Contractual requirements for their "Home" market	Yes	<ul style="list-style-type: none"> PB 08 - Pelaksanaan Pembelajaran No.FO.21.1.1 Format Pengelolaan Adm Akademik –



Scope Context	Obligations	Obligation Context	Applicability of Obligations	Main Obligation References
				Pedoman Pembelajaran Mahasiswa No.FO.21.1.2 Format Pengelolaan Adm Akademik – Kalender Akademik Syllabus RPS etc.
Examples of relevance relate to Medical, Food, Construction, H&S, EMS to name a few (consult the relevant CRSAN)	Contractual Requirements	Is the client Exporting and if so, are they aware of their Contractual obligations for the export market destination	No	---

Scope Context	Obligations	Obligation Context	Applicability of Obligations	Main Obligation References
Audit Answers follow based on the Client's scope, activities and Scheme	Best Practice e.g.: International or National standards	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
Examples of relevance relate to Medical, Food, Construction, H&S, EMS to name a few (consult the relevant CRSAN)	Best Practice e.g.: International or National standards	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	---



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

Audit Surveillance 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, Evaluation, etc.), include Unit Kerja i.e: P2M, SBAK, SBPK, 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 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, Evaluation, etc.), include Unit Kerja i.e: P2M, SBAK, SBPK, 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 (Minor) were found during the audit. However, 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 continued registration status of 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



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	Corrective actions for non-conformities and requests for correction/prevention have been documented according to procedures. Seen the recording of the corrective action at the SBAK & UPA SI unit (date: 10/06/2023) with the status closed. However, the registration number needs to be updated in accordance with the provisions form (Ref. BO.34.3.1-V6).	OFI
2	At P2M (Penelitian & Pengabdian Masyarakat) Issue and Risk Assessment has been determined in all departments. However, the risk analysis should be supplemented with root causes (Ref. BO.2.1.1-V0. Date : 19/02/2021).	PNC
3	At UPT – Information Systems The procedure for requesting repairs has been implemented in online system (i.e. helpdesk.polibatam.ac.id). Seen a request for computer repair from user on 09/08/2023 with the status closed (Ref. Ticket #006834). However, complete information is needed on the root cause and corrective action.	OFI
4	At Bidang Alumni The Alumni Engagement Management process is accordance with the specified procedures. All activities or events are documented in Format Laporan Kegiatan (Ref. FO.32.3.1-V1). Seen Laporan Kegiatan Y2023 (e.g. Soft skills training for prospective graduates) is complemented by an evaluation of the situation during the event. Additional evaluations are needed in the form of material understanding, tutor/event presenters and facilities during activities.	OFI



Number	Description of Comment	Comment Type
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