

# 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**  
**13-15 August 2024**

## 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 Ahmad Riyad Firdaus	Elsi Julianta Ginting

## 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
Elsi Julianta Ginting	20 hours	2.5 MD	No	N/A	N/A
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CLIENT CONTACT(s) - Primary	Primary Contact(s) Changed
Mr Ahmad Riyad Firdaus	N/A

CLIENT FINANCIAL Contact(s) - Currently	Financial Contact(s) Changed
Ms Lidya	N/A

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
Academic Bereau (SBAK – Academic and Student Affairs Sub Division, PB23 – Alumni Management, Library)	--	--	--	---
Research and Social Responsibilitiy (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	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	40	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	<ul style="list-style-type: none"> <li>- Permendikbud Nomor 26/2010 – Tentang Pendirian Organisasi dan Tata Kerja Politeknik Negeri Batam</li> <li>- Permen Ristekdikti Nomor 41/2016 – Tentang Statuta Politeknik Negeri Batam</li> <li>- PP RI Nomor 04/2014 – Tentang Penyelenggaraan Pendidikan Tinggi dan Pengelolaan Perguruan Tinggi</li> <li>etc.</li> </ul>
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	<ul style="list-style-type: none"> <li>- Permendikbudristek 53 Tahun 2023 Tentang Penjaminan Mutu Pendidikan Tinggi</li> <li>-Permendikbud No</li> </ul>

Scope Context	Obligations	Obligation Context	Applicability of Obligations	Main Obligation References
				3 Tahun 2020 Tentang Standar Nasional Pendidikan Tinggi
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 e.g.: 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
Examples of relevance relate to Medical, Food, Construction, H&S, EMS to name a few (consult the relevant CRSAN)	<b>Best Practice e.g.: 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	---	--
A major increase in Employee numbers (greater than 45% from last visit)	No	---	--
Major change in the volume of Sales and/or Customers (e.g.: over 40% increase since last visit)	No	---	--
Major Change in applied technology/equipment/processes (e.g.: hand solder to automatic placement of components)	No	---	--
Major change in Regulation and/or customer requirements	No	---	--
Major change in scope (e.g.: Adding Design, Installation, extended products or services offered)	No	---	--

## 4.0 Audit Team Summary, Recommendations and Conclusion

### 4.0.1 Audit Team Summary

Recertification Audit 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: P3M, PKPK, UPA-PP, OSDM, 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: P3M, PKPK, UPA-PP, OSDM, 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 that held quarterly. However consider to review the Quality Objectives in all area.

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) but 1 discrepancy (Minor) were found during the audit. Several comments were issued for the company to improve the quality management system effectiveness. As the result of this audit, we recommend continued registration status of ISO 9001:2015 certificate to Politeknik Negeri Batam after sending the Corrective Action Plan and Evidence.

## 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 checked="" 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 type="checkbox"/>
Grant Certification or Continued Certification - Subject to the Client forwarding the information requested above	<input checked="" 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



## 5.0 Concerns Raised

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.

Number	Wording of Requirement	Wording of NC or D (include Client Document Reference)	Evidence for NC or D	Clause Ref.	Classification	Justification of D
1	The organization shall establish quality objectives at relevant functions, levels and processes needed for the quality management system. The quality objectives shall: a) be consistent with the quality policy; b) be measurable; c) take into account applicable requirements; d) be relevant to conformity of products and services and to enhancement of customer satisfaction; e) be monitored; f) be communicated; g) be updated as	The organization has established quality objectives (QO) in all functions, however some areas have not evaluated the quality objectives for Y2023, e.g.: Dept Akademik, Sarpras. Seen some QO need to clearly identify the target, e.g. target percentage in Dept Akademik, Kemahasiswaan, and Sarpras. It is necessary to clearly identify the QO measurement indicator, i.e. PKPK QO: tersedia wadah informasi mengenai kesempatan kerja. Seen differences in	See wording of D	6.2	D	See wording of D





## 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	Seen monitoring of repair requests in UPA-TIK has been controlled in helpdesc. sampled problem regarding LAN installation dated April 3, 2024; completed on June 11, 2024. Target 1 month, result exceeds 2 months. However, it can be lead to any potential problems if there has been no evaluation (problem/corrective action/suggestion) regarded the unachieved target.	PNC
2	PKPK Dept has prepared students to become alumni by providing alumni briefings, activity sampled "Risk Management Process Implementation", dated October 16, 2023, 80 participants, speaker from Jasa Raharja. Seen the evaluation of the situation during the event regarding time and facility. However, it will be more beneficial to evaluate the material understanding and tutor.	PNC
3	Seen target in the Public Relations Department regarding 1 post 1 day has been implemented. However, as an improvement in the department, to create a target time for updating news on the website or other information media	OFI
4	Sarpras Dept has managed organizational procurement in helpdesc. Sampled ticket #013609 from Laboran Elektro requesting the provision of 13 first aid kits, dated August 13, 2024. Seen first aid kits have been ordered; However, it can be lead to any potential problems if there are no procurement requests form	PNC
5	UPA PP has controlled repair requests through helpdesc, Seen target time (response max 15 minutes) has been met; However, it can be lead to any potential problems if the status is still open due to lack of monitoring. E.g. ticket #013464 dated 07/8/24, 12.43 LT Problem: AC mati sejak pagi di ruang 12.1 di lt 12 gedung Monas Status 15/8: open #09/8/24, 11.12 LT Problem: pembersihan ventilasi AC ruangan 307	PNC



Number	Description of Comment	Comment Type
	<p>Status 15/8: open                      Interview: completed, but not yet closed by the technician.</p> <p>Sample ticket #013582, exceeding the response time of 15 minutes. It can be lead to any potential problems if not monitored and there is no root cause analysis and corrective action, i.e ticket #013582                      Dated: 12/8/24, 13.35 LT; Response: 12/8/24, 16.05 LT. More than 15 minutes</p>	
6	<p>OSDM Dept                      Request for new employee provision has been documented in Borang Permintaan Karyawan Baru.                      Seen request for Pranata Laboratorium Pendidikan from Teknik Informatika, dated September 2023, recruitment has been processed. However, it will be more beneficial if the new employee request form is completed with a target board (due month or due date)</p>	PNC
7	<p>Request for procurement of goods and services in Dept BMN dan Pengadaan has been documented in Borang Permintaan Pengadaan No. BO.24.2.1-V4. Seen required to completed with nama barang, spesifikasi, volume, harga satuan, etc. However, it will be more beneficial if the request form is completed with a target for goods to be available (due month or due date)</p>	PNC
8	<p>Seen supplier evaluation has been managed in Dept BMN dan Pengadaan, regulated to conduct an evaluation after purchase. However, it will be more beneficial if the evaluation to CV Global Solution was conducted after purchase, dated Mei 2024.</p>	OFI
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