



Audit Report

POLITEKNIK NEGERI BATAM

Address of Main Location:

Jalan Ahmad Yani
Batam Centre
Kecamatan Batam Kota
Batam 29461
Indonesia

Standard Audited **ISO 9001:2015**
Date of Audit **11-13 August 2026**

Accreditation of Scheme UKAS

**URS Certification Body -
Appointed Legal Entity**

United Registrar
of Systems Ltd -
ACCREDIA OR
UKAS

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.



Number	Disclaimer and Notes
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	N/A	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 Bureau (SBAK – Academic and Student Affairs Sub Division, PB23 – Alumni Management, Library)	--	--	--	---
Research and Social Responsibility (P2M)	--	--	--	---
GA and Resources Bureau (BMN Administrative Management, UPT – Procurement,	--	--	--	---



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
Facilities & Utilities Section (UPT – PP), Human Resources Section – SBKK, UPT – SI (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

Identify the Sites Audited this Visit
E.g.: Sites 1, 3 and 4
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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	Permendikbudristek 39 Tahun 2025 tentang Penjaminan Mutu Pendidikan Tinggi - 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	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	Contractual Requirements	Is the client aware of their Contractual requirements for their "Home" market	Yes	Permendikbudristek 39 2025 tentang Penjaminan Mutu Pendidikan Tinggi
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	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	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	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

Surveillance 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, PKK, UPA-TIK, 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, PKK, UPA-TIK, 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 every semester.

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) or 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 to continue certification status of ISO 9001:2015 to Politeknik Negeri Batam.

4.0.2 Auditor Comments on Corrective Actions and use of the Logo

Comment on the Effectiveness of the Corrective Action(s) to address the immediate and future problem(s) associated with previous Audit Findings

Basically Politeknik Negeri Batam operates an QMS (Quality Management System) effectively, they aware of the effect that its results have both on company performance and the greater environment itself. Seen any performance evaluation and as evidence that continual improvement is taking place.

All previous findings had closed out, when the problem was identified, the PDCA cycle/ corrective action was evident.

This surveillance audit did not find any major & minor findings. However, there are some comments for improvement.

Comment on the Client's use of the Logo to the Regulations

The URS/UKAS logo is used on letterhead and brochures. Checked according to regulations. All verified and accepted.

4.0.3 Recommendation and Conclusion from the Normal Scheduled Visit

Recommendation	Indicate Where Applicable
No action required	☐
Consider the Comment(s) Raised for the Next Visit	☒
Send in a Corrective Action Plan and EVIDENCE to close the Concern(s) - Ds (evidence should be sent within 60 working days)	☐
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
If Initial or Recertification, the recommendation is to Grant Certification	☐
If Surveillance, it is recommended that Certification Continues	☒



Conclusion	Indicate Next Action
The Recommendation is to Grant Certification or Continued Certification - Subject to the Client forwarding the information requested above	☐
Suspension and Special Visit Required	☐
Immediate withdrawal of Certification	☐



4.0.4 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
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Number	Wording of Requirement	Wording of NC or D (include Client Document Reference)	Evidence for NC or D	Clause Ref.	Classification	Justification of D
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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 the organization has established Quality Objectives (QO) in all functions, however, it can lead to any potential problems if monitoring of quality objectives has not been carried out, i.e. Library, P3M, UPA TIK, UPA PKK, Academic (PMB), UPT PP [Clause 6.2]	PNC
2	Seen several units have evaluated the Quality Objectives (QO); however, it would be more beneficial if data regarding the evaluation results were available, i.e. calculation result of QO in Public Relations Dept, Secretariat Bureau [Clause 6.2]	PNC
3	Seen data has been properly managed and maintained on the server by UPA TIK. However, it can lead to potential problems if documents that have exceeded their established retention period are not periodically reviewed and removed from the server [Clause 7.5.3]	PNC
4	Seen environmental conditions of the server room have been monitored by UPA TIK. However, it would be more beneficial if humidity monitoring were included in procedure to ensure that humidity conditions are consistently recorded and evaluated. [Clause 7.1.3]	PNC



Number	Description of Comment	Comment Type
5	Seen risk management has been established by the Public Relations Department; however, it would be more beneficial if the identified risks and controls were developed in greater detail based on the established Public Relations Department framework and activities. [Clause 6.1]	OFI
6	Seen the student affairs department has implemented the PPKBM 2025 activities; however, it can lead to potential problems if the evaluation of the activity has not been carried out to verify the achievement and effectiveness of the planned activities. [Clause 9.1]	PNC
7	Seen the PPKBM 2025 activity has been conducted by Student Affairs Department; however, it would be more beneficial if feedback from participants were collected and evaluated as input for improving the implementation of activities [Clause 9.1.2]	OFI
8	Seen Academic Advising (perwalian) activities have been scheduled; however, it can lead to potential problems if the implementation of academic advising is not carried out according to the established schedule, e.g. D4 Managerial Accounting Study Program. [Clause 8.1]	PNC
9	Seen outgoing correspondence has been recorded in the correspondence log book by Kesekretariatan; however, it can lead to potential problems if the outgoing letter number does not correspond with the number recorded in the log book, e.g. letter No. 2080/PL29/KM.01.14/2026 dated 07/08/2026. [Clause 7.5.3]	PNC
10	Seen incoming letter no 010/PD-MES/KB/I/2026 from Masyarakat Ekonomi Syariah has been assigned; however, it can lead to potential problems if the follow-up actions resulting from the disposition are not documented [Clause 7.5.3] Seen the helpdesk service has been implemented by UPT-PP; however, it can lead to potential problems if the status of completed service requests is not promptly updated in the helpdesk system, which may result in inaccurate monitoring of service completion time, i.e. Ticket #028055 dated 04/05/2026 was recorded as closed on 13/08/2026 Seen the Unit Kepegawaian has established training activities; however, it can lead to potential problems if the effectiveness of training is not evaluated in accordance with the established target, e.g. IHT Pengadaan Barang dan Jasa conducted on 28-29 January 2026. [Clause 7.2]	PNC

2026/18477/SU1
ISO 9001:2015





7.0 Partnering with URS Provides your Business

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Access to over 50 Certification schemes across all sectors including Aerospace, Automotive, Chemical, Construction, Electrical and electronic, Food and I.T.

Access to international schemes e.g.: Quality, Environmental, Health and Safety, Data Security, specialist schemes e.g.: IATF 16949, AS, National schemes e.g.: SSIP.

Access to other related services, such as Inspection, Product Approval or Training.

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