



# Audit Report

POLITEKNIK NEGERI BATAM

Address of Main Location

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

Standard Audited **ISO 9001:2015**  
Date of Audit **19-21 October 2020**

## 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. U B	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	20	2.5	N/A	N/A	N/A
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CLIENT CONTACT(s) - Primary	Primary Contact(s) Changed
Mr. U B	N/A

CLIENT FINANCIAL Contact(s) - Currently	Financial Contact(s) Changed
Mr. U B	N/A

OTHER ADMINISTRATIVE CHANGES that may be Relevant for the Client Record
No changes.



## 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	--	--	--	---
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 and 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	No Changes

## 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.:	No	No Changes	N/A



Area of Significant Change	Applicability	Brief Description of Change	Estimated Duration of Special Visit
Adding Design, Installation, extended products or services offered)			



## 4.0 Audit Team Summary, Recommendations and Conclusion

### 4.0.1 Audit Team Summary

Remote 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.), Research and Social Responsibilitiy , GA and Resources Bereau, Partnership Bereau, MR, etc.

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.

- Issues and expectations of related parties have been determined, however need to improved in term maintaining and understanding the External and internal context (eg: by considering from Legal, Market, Culture, economic environments, etc), updating, and documented..

- For leadership, it appears that management commitment related to the provision of resources is still very good. Quality Policy has been established and comunicated, also that the responsibilities and authorities for relevant roles are assigned, communicated and understood within the organization.

- Operational control includes curriculum design and implementation of teaching and learning process is controlled and monitored.

- 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.

- The handling of complaints has been handled well to proves that preventive measures and improvements have been effective.

No NC (Major) and differences (NC Minor) were found during the audit. Several comments were made during the audit for organizational improvement.

We recommend to continue certification ISO 9001: 2015 certification status with 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"/>



Conclusion	Indicate Next Action
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	The organization has been determine internal and external issues, however need to improved in term maintaining and understanding the External and internal context (eg: by considering from Legal, Market, Culture, economic environments, etc), updating, and documented.	PNC
2	The organization has been determine interested parties, however need to improved in term maintaining list of interested parties that are relevant to the Quality management system, requirements and monitoring and review metode.	PNC
3	Seen Program Penelitian dan Pengabdian Masyarakat has been well planned and implemented by the P2M Dept., all programs are still in process due to the Covid19 outbreak, completion and evaluation of the program will be verified at the next audit. Eg: Pemberian Mini House (Destilator) Air laut kepada masyarakat Pantai Setokok, Batam, Guna membantu dalam penyediaan stok air bersih (Air Tawar), dan mendukung Parawisata; PENDAMPINGAN PENYUSUNAN LAPORAN KEUANGAN BERBASIS SAK EMKM BAGI UMKM DI KOTA BATAM DI TENGAH PANDEMI COVID-19	PNC
4	The organization has determined risks and opportunities, risks have been identified, assessed and determined actions to address these risks and opportunities, however it needs to be improved in risk identification by considering input from issues and operational processes. Eg: SBAK - Handling operational processes for Student Affairs, Alumni, Academies - seen in Risk Management is still only for Student Affairs.	PNC
5	The PBM program has been well planned, implemented, monitored and evaluated by the Prodi Dept. Seen management risk, there are potential problems in the provision of Lab advice and teaching resources. Seen Top Mangament Policy: collaboration between departments in resource use through PBL. Effectiveness of implementation will be verified in the next audit. Eg: Program/Jurusan Machinery & Electrical: Lab use overload /Number of Lab equipment;excessive lecturer workload.	PNC
6	Publications 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.	OFI
7	Supplier evaluation have been conducted by Pengadaan Dept, however the evaluation parameters and value grading have not been determined, for example: Quality of Goods, Delivery Time, Final Payment, etc. eg: CV Step Technic Children of the nation; PT. Mitra	PNC



Number	Description of Comment	Comment Type
	Kreasi Event- Result: Good performance, good response in service .. dated of Evaluation ??? parameters of evaluation ?? Grading?	
8	In UPT-PP - Facilities & Utilities, Seen SIO (License) Operator for Lift and Genset has expired, confirmed in the arrangement and there are 4 generators with a capacity above 200 kVA there is no operating permit. should be immediately monitored and followed up. Eg: Lift Operator : Mr. Pasrani Gunawan Hutabarat with license No, Ser.219/TK3-LF/XII/2014 valid until 15/12/2019; Genset Operator : Mr. Eko Sudarsono with license No, 14.815-OPMK3/PTP/XIII/2019 valid until 19/12/2019	PNC
9	Maintenance activities have been carried out well, the target is 1 day from the damage reporting. eg: - Ticket # 2573, report date 10/15/2020 at 09.42 Item: Air conditioner in the Hangar 3rd Floor CBT Lab room Problem: Leaking Technician: Endang S Report seen completed, Repair date 18/10/2020 at 08.35 --- Done. The repair report should add the actual date the repair was completed.	OFI
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ISO 9001:2015



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