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   **8-10 August 2022**

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. Uuf Brajawidagda, ST., MT., PH.D/Mr. Ahmad Riyad Firdaus, S.SI., M.T., PH.D	Ms Sirma Simarmata

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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	1	N/A	N/A
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CLIENT CONTACT(s) - Primary	Primary Contact(s) Changed
Mr Ahmad Riyad Firdaus/Ms. Lidya Mariska	---

CLIENT FINANCIAL Contact(s) - Currently	Financial Contact(s) Changed
Mr Ahmad Riyad Firdaus/Ms. Lidya Mariska	---

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 – Sub Bagian Akadmik dan Kemahasiswaan, PB23 – Alumni Management, Library)	--	--	--	---
Research and Social Responsibiltiy (P2M)	--	--	--	---
GA and Resources Bereau (BMN Administrative Management , UPT – Procurement , Bagian Sarana & Utilitas (UPT – PP), Bagian Sumber Daya Manusia – SBKK , UPT – SI (Sistem Informasi)	--	--	--	---
Program Study (Curriculum	--	--	--	---

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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
Design, Teaching, Evalution, etc .)				
SBUM - General Sub Division of Public Relations and Promotion, PB29 – Secretarial General Administration Management, Student Affairs and Partnership – SBPK	--	--	--	---

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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	29	Management of Higher Education	N/A

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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	Peraturan Menteri Pendidikan Nasional RI No 26 Tahun 2010 tentang Pendirian, Organisasi dan tata Kerja Politeknik Negeri Batam Peraturan Menteri Riset, Teknologi , dan Pendiikan Tinggi RI No 41 Tahun 2016 tentang Statuta Politeknik Negeri Batam Peraturan Pemerintah RI No 4 tahun 2014 tantang Penyelenggaraan Pendidikan Tinggi dan Pengelolaan Perguruan Tinggi
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	PB 04 - Penetapan Statuta Dan Pengembangan SOTK PB 08 -

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Scope Context	Obligations	Obligation Context	Applicability of Obligations	Main Obligation References
				Pelaksanaan Pembelajaran 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 Sylabus RPS
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 SPMI
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	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/AN/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

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4.0 Audit Team Summary, Recommendations and Conclusion

4.0.1 Audit Team Summary

Audit Survaillance 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 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 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

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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
Grant Certification or Continued Certification	☒
Grant Certification or Continued Certification - Subject to the Client forwarding the information requested above	☐
Suspension and Special Visit Required	☐
Immediate withdrawal of Certification	☐

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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
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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	The organization has established quality objectives at relevant functions, levels and processes required for a quality management system. Quality targets have been measured and evaluated regularly. Seen's achievement of quality targets in libraries for 2021 and Y2022 is far from being targeted, it needs to be reviewed. i.e: - Jumlah majalah ilmiah popular tersedia minimal 2 judul jurnal edisi lengkap per tahun per PS. - Jurnal ilmiah internasional tersedia minimal 2 judul jurnal edisi lengkap per tahun per PS setiap tahun. Achievements : Y2021: 2 Modules| Y2022 : 1 Module - Perpustakaan merencanakan dan mengevaluasi jumlah bahan pustaka berupa buku teks atau ebook setiap tahun agar tersedia minimal 216 judul per PS Seen Geomatics Program: Book Title : 35 Need to review and updated	PNC
2	-Seen Target Mutu 2022 - UPT-PP Butir 31.a : "Seluruh unit menjalankan capaian kinerja dan target mutunya dengan mengacu kepada standar SPMI dalam upaya mencapai Akreditasi institusi predikat Unggul pada tahun 2023.	Persentase Ketercapaian: 0%	Hasil evaluasi: respon terhadapt helpd desk belum terecord karena semua data hilang akibat server terserang virus". Seen there have been incidents of data loss that could potentially result in system inefficiencies and customer and user complaints. #PNC -UPT-PP has set a response and repair time for each entry ticket for repair requests, but it is better to add a repair classification for small, medium, and heavy repair work, to prevent complaints from users. #OFI	PNC

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Number	Description of Comment	Comment Type
3	The organization has established quality objectives at relevant functions, levels and processes required for the quality management system, however there is not enough evidence that the records of monitoring and evaluation results have been properly controlled. Seen table of several units is still not completely filled. eg: 2022 Quality Target - SBPK, Quality Target - Alumni, Quality Target 2022 - Procurement, Quality Target 2022 – PKPK, etc	PNC
4	In the management of alumni in the PKPK Unit, there is a procedure No.PR.23.3-V0 Prosedur Pengelolaan Kesempatan Kerja - aims to manage job vacancies information. Seen One of the activities: Recruitment of PT Panasonic	24-29 March 2022	PIC: PKPK. It is recommended that there is a Job Handover Report to the Customer (PT Panasonic) after the recruitment process is completed.	OFI
5	Seen Registrasi dan Mitigasi Isu dan Risiko (No.BO.2.1.1-V0)– SBPK (for Cooperation and Public Relations) has been determined and evaluated, but the Registration and Mitigation of Issues and Risks has not included Risk for Public Relations activities in accordance with the Quality Target 2022 – SBPK. Eg: Pengelolaan Promosi dan Publikasi, Pengelolaan Acara atau Protokoler, Penerimaan Tamu, Pengembangan Media Informasi, dll.	PNC
6	In the General Section. For Data Management Incoming letters – BO.29.2.1 Borang Penerimaan Surat/Informasi – Shelf life of 2 years – while in the SINDE application – it is not deleted (No shelf life) – the procedure should be reviewed and updated.	PNC
7	In monitoring the implementation of PBM, one of which is attendance monitoring, Lecturer Recap, Student Recap using the e-Learner application, Web SID, Web SIM, however the student verification process for Learning in the E-Learning System in attendance monitoring needs to be reviewed to prevent absentee vacancies after the semester ends. Eg: Rekap Mahasiswa |PS –Machine	Lecturer: Mr. Cahyo Budi Nugroho, ST, M.Sc	Course code: MS013	Material: Welding Safety	Semester : Genap Y2021/2022	PNC
8	Completeness of laboratory equipment needs to be improved for all practical activities. Eg: Lab Teknik Instrumentasi, not all calibrators are equipped. i.e: Calibrators for Polmeters, Ohmmeters, Pressures, Sensors, etc.	PNC
9	-In the implementation of OHS Management, to increase awareness of all employees on Emergency Preparation and response procedures, it is advisable to make a simulation program on a scheduled basis for each unit. -The SMK3 team has been established to support the implementation of the OSH program, but it would be even better if the formation of the OHS Team (eg: P2K3) also received approval from the Manpower Office. -Implementation of health checks have been carried out weekly to ensure health workers and prevent occupational health hazards, but it should be followed up to use medical personnel (doctors) who have received a Hyperkes certificate from the Manpower Office who specifically handles health checks for company/organizational employees.	OFI

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Number	Description of Comment	Comment Type
10	-The organization has determined and provided the people needed for effective implementation quality management system and for the operation and control of the process, but the number provided is still insufficient, especially for lecturers and technical staff, there is a shortage of around 119 employees, there is a potential problem that the quality of the output of the product (students) cannot be maximized and the potential for disruption of the PBM process. - The organization has determine the required competencies of the people performing the work under their control and ensure competence based on education, training, or experience. For training, each unit must provide training proposals every year, however it is necessary to be more consistent for all units to provide a list of proposed training, and preferably to determine the order of urgency/priority to assist the HR department in reviewing and monitoring its implementation. Eg: PS-Mechanical Engineering, UPT-PP.	PNC

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7.0 Partnering with URS Provides your Business

Access across the Globe to over 45 URS Country offices covering Africa, the Americas, Asia, Australasia and Europe.
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.
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