



# *Audit Report*

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Surveillance audit for  
Politeknik STMI Jakarta

**Jl. Letjend Suprpto No. 26, Cempaka Putih, DKI Jakarta, 10510,  
Indonesia**

**Certificate No.: QEC26427**

**Audit Date: 30/1/2020 - 31/1/2020**

**Work Item I.D.: WI-897127**

**Issue Date:**

## BACKGROUND INFORMATION

SAI Global conducted an audit of Politeknik STMI Jakarta on 30/1/2020 - 31/1/2020.

The purpose of this audit report is to summarise the degree of compliance with relevant criteria, as defined on this page, based on the evidence obtained during the audit of your organisation. This audit report considers your organisation's policies, objectives, and continual improvement processes. Comments may include how suitable the objectives selected by your organisation appear to be in regard to maintaining customer satisfaction levels and providing other benefits with respect to policy and other external and internal needs. We may also comment regarding the measurable progress you have made in reaching these targets for improvement.

SAI Global audits are carried out within the requirements of SAI Global procedures that also reflect the requirements and guidance provided in the international standards relating to audit practice such as ISO/IEC 17021, ISO 19011 and other normative criteria. Auditing is based on a sampling process of the available information. SAI Global Auditors are assigned to audits according to industry, standard or technical competencies appropriate to the organisation being audited. Details of such experience and competency are maintained in our records.

In addition to the information contained in this audit report, SAI Global maintains files for each client. These files contain details of organisation size and personnel as well as evidence collected during preliminary and subsequent audit activities (Documentation Review and Scope) relevant to the application for initial and continuing certification of your organisation.

Please take care to advise us of any change that may affect the application/certification or may assist us to keep your contact information up to date, as required by SAI Global Terms and Conditions.

This report has been prepared by SAI Global Pty Limited (SAI Global) in respect of a Client's application for assessment by SAI Global. The purpose of the report is to comment upon evidence of the Client's compliance with the standards or other criteria specified. The content of this report applies only to matters, which were evident to SAI Global at the time of the audit within the audit scope. SAI Global does not warrant or otherwise comment upon the suitability of the contents of the report or the certificate for any particular purpose or use. SAI Global accepts no liability whatsoever for consequences to, or actions taken by, third parties as a result of or in reliance upon information contained in this report or certificate.

Please note that this report is subject to independent review and approval. Should changes to the outcomes of this report be necessary as a result of the review, a revised report will be issued and will supersede this report.

<b>Standard(s):</b>	9001:2015   Certification
<b>Code(s):</b>	85
<b>Scope of Certification:</b>	Design & development of curriculum and the provision of education services D4 programs majoring in Automotive Industrial Engineering, Information System in Automotive Industry, Polymeric - Chemical Engineering, and Bussines Administration in Automotive Industry
<b>Number of Staff:</b>	1100 (FTE)
<b>Shifts:</b>	Shifts
<b>Total audit duration:</b>	24 hrs
<b>Audit Team Members(s):</b>	Dipo Pramudito - Auditor, Dipo Pramudito - Auditor, Vinka Cantikara - Lead Auditor, Vinka Cantikara - Lead Auditor
<b>Audit Team Leader</b>	Vinka Cantikara
<b>Other Participants:</b>	Other Participants

## Definitions and action required with respect to audit findings

### Major non-conformance:

Based on objective evidence, the absence of, or a significant failure to implement and/or maintain conformance to requirements of the applicable standard. Such issues may raise significant doubt as to the capability of the management system to achieve its intended outputs (i.e. the absence of or failure to implement a complete Management System clause of the standard); or a situation which would on the basis of available objective evidence, raise significant doubt as to the capability of the Management System to achieve the stated policy and objectives of the customer.

NOTE: The “applicable Standard” is the Standard which SAI Global are issuing certification against, and may be a Product Standard, a management system Standard, a food safety Standard or another set of documented criteria.

Action required: This category of findings requires SAI Global to issue a formal NCR; to receive and approve client’s proposed correction and corrective action plans; and formally verify the effective implementation of planned activities. Correction and corrective action plan should be submitted to SAI Global prior to commencement of follow-up activities as required. Follow-up action by SAI Global must ‘close out’ the NCR or reduce it to a lesser category within 90 days or as specified in NCR form.

If significant risk issues (e.g. safety, environmental, food safety, product legality/quality, etc.) are detected during an audit these shall be reported immediately to the Client and more immediate or instant correction shall be requested. If this is not agreed and cannot be resolved to the satisfaction of SAI Global, immediate suspension shall be recommended.

In the case of an already certified client, failure to close out NCR within the time limits means that suspension proceedings may be instituted by SAI Global.

Follow-up activities incur additional charges.

#### **Minor non-conformance:**

Represents either a management system weakness or minor issue that could lead to a major non-conformance if not addressed. Each minor NC should be considered for potential improvement and to further investigate any system weaknesses for possible inclusion in the corrective action program.

Action required: This category of findings requires SAI Global to issue a formal NCR; to receive and approve client’s proposed correction and corrective action plans; and formally verify the effective implementation of planned activities at the next scheduled audit or within specified time frames.

#### **Opportunity for Improvement:**

A documented statement, which may identify areas for improvement however shall not make specific recommendation(s).

Action required: Client may develop and implement solutions in order to add value to operations and management systems. SAI Global is not required to follow-up on this category of audit finding.

## **EXECUTIVE OVERVIEW**

The objective of this audit was to determine continuing compliance of your organisation's management system with the audit criteria; and its effectiveness in achieving continual improvement and system objectives.

This audit was a stand-alone audit of the system(s) listed in the "Background Information" section of this report.

The audit has determined that your management system has the ability to ensure the organisation meets its identified applicable statutory, regulatory and contractual requirements relevant to the scope of certification.

The audit has determined that your management system is effective in ensuring that the organisation can reasonably expect to achieve its defined objectives.

The objectives of this audit have been fulfilled.

## **Recommendation**

The recommendation from this audit is that your certification continues.

Audit recommendations are always subject to ratification by the SAI Global certification authority.

This report was prepared by: Vinka C

Management Systems Auditor

### **Changes to the audit plan and the reasons for the change**

The change has showed in audit plan.

### **Significant issues impacting on the Audit Programme**

Audit program has been reviewed and describes for the next three years.

### **Appropriateness of the certification scope**

There change of scope of certification become: Design & development of curriculum and the provision of education services D4 programs majoring in Automotive Industrial Engineering, Information System in Automotive Industry, Polymeric Chemical Engineering, and Business Administration in Automotive Industry

### **Introduction and site description**

There was one site for this audit as stated in the cover and the processes were also stated in the scope of certification.

### **Review of any changes including documentation**

Organisation structure has sighted, i.e. Director, Deputy Director 1 (Academic Administration division), Deputy Director 2 (General administration & finance), Deputy Director 3 (Studentship & cooperation); SPI (Internal Control Unit). SPM (Quality Assurance Unit), Program study (4 Program study), UPPM (Research and Services Unit), Supporting Unit (Library, Bahasa laboratory, and Laboratories).

Documentation revision has been done since 1<sup>st</sup> November 2017 i.e. Manual Mutu ISO 9001:2015 (MM-S-01).

### **Action taken on previous audit findings**

All minor non-conformances have been followed up and are now considered adequately addressed or sufficient evidence of progress and action was identified to enable final verification during the next audit.

### **Use of the certification documents and marks**

The use of the Standards Mark and claims of certification appear to be in accordance with the guidelines available via the SAI Global website.

### **Context of the organisation and quality management system**

The organisation has determined the external and internal issues that may affect its ability to achieve intended results of the quality management system. Information about external and internal issues is regularly reviewed.

Examples viewed to validate findings include:

External issue:

1. Statutory/regulatory related accreditation by BAN-PT
2. Standard meet related education, research and dedication as required KEMENRISKEK DIKTI (absorption of graduates to industrial).
3. Curriculum have to link and match with industry (automotive).

Internal issued:

1. Infrastructure need improved, i.e. laboratory equipment for accreditation
2. Quality management system need improved
3. BAN-PT and SPMI need high implemented
4. LSP – P1 certification, human resources need improved

The organisation has clearly identified interested parties relevant to the Quality Management System. The requirements of these parties have also been defined.

The following examples of these parties and requirements were viewed: Mahasiswa → konsen dg kurikulum [dari akadmeik ke vokasi sejak 2 tahun terakhir] Industry , asosiasi, → kurikulum yang diajarkan menggambarkan kompetensi link and match, juga soft-skill

1. Students/college: obtain the skills and expertise (proficiency)
2. Government: existing rules, support programs, competent graduates (as vocational)
3. Industry: the fulfilment of work both on skill and attitude
4. Association: Curriculum have to link and match with industry

Employees: comfortable and prosperous working environment

The company has determined the scope and the boundaries for their Quality Management System (QMS) in Manual Mutu MM-S-01, date 1 November 2017. All clauses in standard ISO 9001 : 2015 are applicable to the company as mentioned in Manual Mutu.

## **Leadership and commitment**

Top management have shown their leadership and commitment to QMS by attending Management Review, Evaluating QMS in several meetings, etc

### *Customer focus*

Top management of the company have shown commitment and leadership to customer focus by setting the quality objectives regarding the customer satisfaction

### *Policy*

The company has established Quality Policy seen on LM-S-03 dated on 1 February 2016. The quality policy does not include commitment to satisfy regulatory requirements. The company also does not communicate or provide the quality policy within organization or relevant interested parties, observed no posting of quality policy or other actions of these communications.

## **Planning**

### *Risks and opportunities*

The company has determined the risk & opportunities and addressed the actions to be taken in form FM-8-01 Tabel Manajemen Resiko Tahun 2019 Created July-August 2019. Example of identified risk such as Accreditation Risk and Competency Certificate Risk.

The company has evaluated yearly of their actions and risk & opportunities based on SOP Manajemen Resiko PM-S-08. Seen the evidence of updated Tabel Manajemen Resiko Tahun 2019.

### *Business/Quality objectives*

The company has established the quality objectives for the QMS, seen on notulen rapat FM-3-03 for year 2019. Their quality objectives such as :

- a. Serapan Lulusan di Sektor Industri Otomotif (%), target 50%, achievement 14.5%
- b. Masa tunggu kerja 6 bulan (%), target 100% (6 bulan), achievement 100% (<6 bulan)
- c. Sertifikat Kompetensi (%), target 75%, Achievement 88%
- d. Akreditasi B (%), target 100%, achievement 100%
- e. Masa Studi 4 tahun (%), target 80%, achievement 76%

- f. Indeks kepuasan pelanggan : target 3.50
  - a. Dunia industri : achievement 3.34
  - b. Mahasiswa : achievement 3.09

#### *Documented information*

The company has determined their procedure related documented information in procedure SOP Pengendalian Mutu. The procedure has defined how to identify, describe, format used (including the language), review and approval rules, distribution rules, storage and preservation rules, control of changes, retention and determination. Review documented information :

a. SOP Pengendalian Dokumen Mutu PM-S-01, SOP Manajemen Resiko PM-S-08, SOP Audit Internal PM-S-04, master document but no status of master document as required in SOP PM-S-01

b. Form Tabel Manajemen Resiko Institusi 2019 has not been given the identification number yet as refer to SOP Manajemen Resiko (PM-S-08)

c. Non-conformance in writing the published date as required in SOP PM-S-01, such as SOP Manajemen Resiko Rev 1 that published in 2019, but the publish date written on 23 Jan 2017

Normative reference has sighted, such as: UU No. 20/2003 regarding "Sistem Pendidikan Nasional" ; UU No. 12/2012 regarding "Pendidikan Tinggi" ; Permenristek No.01/M.IND/PER/1/2015 regarding "Organisasi & Tata Kerja Politeknik STMI Jakarta" ; etc.

#### **Business processes**

This audit included a review of the processes needed for the Quality Management System. Operation and control of the audited processes is described below:

#### **TEHNIK KIMIA POLIMER and SISTEM INFORMASI OTOMOTIF**

Semester education plan has been prepared. Curriculum, syllabus, Rencana Pembelajaran Semester and subject distribution have been prepared and able to be shown during the audit. It was noted that for 2019 curriculum was following 2018 curriculum. However, curriculum designed based on KepMenPerind nomor 1151/2018

Particularly at architecture engineering, sample taken was subject "PRaktik Gambar Teknik" and ERP 2 which were laboratory practicum like subject. For performing regarding subject, guidance such as practicum module have been prepared. Evidences of teaching activities such as official report (Berita acara), attendance register, mid and final semester test official reports have been prepared and able to be shown during the audit. Minimum passing grade for every subject have been determined. It was noted that several parameters have been determined as passing grade consideration. Regarding parameters were attendance, task, mid semester test and end semester test. Samples have been taken as verification of passing grade determination implementation. Consistency.

During the audit, evidences sight were:

- SOP-PKB-05 Penyusunan Rencana Pembelajaran Semester.
- Dokumen Kurikulum Program Studi TKP Politeknik STMI Jakarta, approved by Director
- Silabus dan Rencana Pembelajarana Semester Kurikukum 2018 Program Studi Teknik Kimia Polimer and Sistem Informasi Otomotif include
  - Struktur Kurikulum Dual System Prodi Teknik Kimia Polimer Tahun 2018
  - Silabus Mata Kuliah
  - Rencana Pembelajaran Semester Prodi TKP Politeknik STMI Jakarta
- Modul Praktik Gambar Teknik and ERP

- Daftar Hadir Dan Realisasi SAP Semester Gasal 2019/2020
- Ujian Tengah Semester Ganjil Tahun Akademik 2019/2020
- Ujian Akhir Semester Ganjil Tahun Akademik 2019/2020
- Sample for mid and end semester examination was for student registration number 1519001.
- Final test score have been recorded and sight via STMI E-learning.

### **Sub Bag Administrasi Akademik**

Quality objective has been determined and documented. Record of quality objective achievement was established and seen. The risk and opportunities have not been determined and documented. The activity is covering for student planning every semester. Also for process is academic administration. Other activity is certificate administration after graduation. All certificates have been taken by student. Procedure has been sighted. Data for leaves request of student was kept in program administration. Student leave letter was produced by this section/ bureau. The application letter must be completed by student. The dean approval letter was established after received application letter.

### **Integrate Laboratory**

There were several laboratories at Politeknik STMI. Main process at laboratory was to assure practicum facility at laboratory for some practicum subject. Most of lab device and facility has been registered at inventory registration record. From samples taken regarding devices have been recorded. For assuring device preparedness, routine preventive maintenance and monitoring shall be scheduled and performed periodically.

Evidences sight include

#### ***Lab instrumentasi polimer***

- Daftar Barang Ruangan
- Jadwal Penggunaan Ruang lab
- log book laboratorium
- Tata tertib laboratorium
- Formulir peminjaman alat
- Broken laboratory equipment record "Form Peminjaman Alat"

#### ***Lab Proses industri Manufaktur***

- Sample mesin milling conventional Nantong
- Opname BNN Tahun 2019
- Jadwal Penggunaan Ruang Lab PIM Manufaktur Semester Genap Tahun Akademik 2018/2019 Politeknik STMI Jakarta
- Praktikum perancangan proses manufaktur Industri Otomotif 1
- Daftar kebutuhan peralatan dan bahan praktikum perancangan proses manufaktur industri Otomotif 1
- Perawatan mesin CNC Milling Hurco

Quality objective has been determined.

### **Library**

Generally, activity at library was maintaining book circulation. It was noted that book registration was still on process. However incoming books have been recorded on log book. Regarding now incoming book will be registered, inventoried, and stored at book shaft. Book transactions and membership registration have been recorded. Returned book have been identified as well.



Evidences sight include

- Sample membership for Mr Indra Yusuf number 2593
- Other sample was membership for Ikram Syahrudin 29th Januari 2020.
- Book borrowed was "Dasar algoritma dan struktur dat dengan bahasa Java" DDC number 001.64. Remaining stock was 0
- Other sample was "Statistik teori dan aplikasi-edisi ketujuh jilid 1" DDC number 519.5 remaining stock was 2
- Berita Acara Stok Opname Koleksi Buku Perpustakaan Politeknik STMI Jakarta dated 30<sup>th</sup> August 2019

## **Organisational performance evaluation**

### *Customer satisfaction*

The company has monitored their customer perception by conducting customer survey every year. The method for customer survey are :

- a. Questionnaire in website of Politeknik STMI Jakarta, sent to graduates/college student/industry world/parents
- b. Direct visit to customer

Reviewed the record for last customer survey year 2019 in Doc WMM2019 Laporan Hasil Survei Pelanggan, showed that the satisfaction (target value 3.50):

- a. College student : 3.09
- b. Industrial word : 3.34

### *Internal audits*

The company has conducted internal audit every year based on procedure SOP Audit Internal Mutu PM-S-04 date 1 Nov 2017. Reviewed the record for :

1. Internal audit program / schedule for year 2019 in Rencana Audit Internal Mutu FM-4-03.
2. Criteria and audit scope in FM-4-03, the scope is ISO 9001 : 2015, for all units e.g Unit P2M, Prodi TIO, Prodi SIIO, etc
3. Auditors were appointed in Nota Dinas No 2266/BPSDMI/STMI/X/2019 Date 29 Oct 2019. Auditor impartiality and competency, sampling for auditor (Last training on 21-22 April 2016 by SAI Global) :
  - a. Mr. Marison, lecturer of ABO, audit Prodi TKP
  - b. Mrs Fitria, site prodi of TKP, audit Library
  - c. Mr Sonny, SPI, audit Laboratory.
4. Internal audit report for year 2019 on Laporan Auditor Internal, has been informed to relevant management by Management Review
5. The corrections and corrective actions of the nonconformances found during internal audit have not been followed up properly. Sampling for finding at Library / Perpustakaan, no corrections and corrective actions defined yet on FM-4-06.

### *Analysis and evaluation*

The company has analyzed and evaluated degree of customer satisfaction, performances and effectiveness of QMS, the performances of external providers in Management Review

### *Management review*

Management review had been conducted every year on 13-15 November 2019 for year 2019 The participants of Management Review from Top Management are Director (Mustofa), Ridzky K, Dedy Trisanto, P.Immanuel Bangun as Pembantu Direktur.

Agendas that have been reviewed / discussed, seen on report FM-3-03 notulen report such as actions regarding previous MR, internal and external issues, customer satisfaction, internal audit, etc. But the discussion for effectiveness of risk & opportunities (Tabel Manajemen Resiko Institusi 2019) had not evaluated in

### **Improvement**

#### *Non-conformity, complaints and corrective action*

The company has reviewed and ensured that the corrective action for any NC or customer complaint have been taken.

#### *Continual improvement*

The company has continually improved the suitability, adequacy, and effectiveness of QMS based on review of some improvements arising from Management Review, External Audit, and Internal Audit

A proposed plan for the next audit is included on the last page of this report.

Thank you for the cooperation and hospitality extended.

This report was prepared by: Vinka C

### NEXT AUDIT PLAN

During our next audit the issues identified as requiring attention will be reviewed to ensure they have been adequately addressed, as well as the following set out in the plan below:

This plan is a draft and can be modified to suit the availability of relevant people.

Audit type :		TA		
Date	Auditor	Audit meetings plus functions/ processes/ areas/ shifts audited	# Shift	Approx. time
TBA	TBA	Opening Meeting		TBA
		Previous audit findings		
		Use of certification Mark/Logo/Shield		
		Changes to the MS and organisation		
		Compliance obligations (Regulations and standards)		
		Library		
		Pusat Data		
		Education/Teaching process and Student evaluation : <ul style="list-style-type: none"> <li>• Automotive Industrial Engineering (Teknik Industri Otomotive)</li> <li>• Polymeric - Chemical Engineering (Teknik Kimia Polimer)</li> <li>• Information System in Automotive Industry (Sistem Informasi Otomotive)</li> <li>• Business Administration in Automotive Industry (Administrasi Bisnis Otomotive)</li> </ul>		
		Unit Penelitian dan Pengabdian Masyarakat		
		Sub Bag Adm Akademik, Kemahasiswaan, Kerjasama		
		Sub Bag Umum dan Keuangan <ul style="list-style-type: none"> <li>• HRD,</li> <li>• Maintenance,</li> </ul> Procurement		
		Unit Laboratorium		
		Report Preparation/ Closing Meeting		