

# Assessment to standard conformity of ISO 9001:2008



## Enclosure to audit report No. 3330/ 2KKH/ F0

requirement	Audit evidence and examples: Statements on Implementation and Evaluation	The requirements are:
<b>Chapter 4 Quality management system</b>		
<p><b>4.1 General requirements</b></p> <p><b>4.2 Documentation requirements</b></p> <p><b>4.2.2 Quality manual</b></p> <p><b>4.2.3 Control of documents</b></p> <p><b>4.2.4 Control of records</b></p>	<p>Company is active on Higher Education which is detailed in QM page 9. No clause of ISO 9001 is excluded for QMS.</p> <p>Processes (QM Annex C / Rev. 3 / 13.05.2017) and their interactions (QM Annex B) are defined in document QM. There are totally 31 process defined on the list. All processes including core processes, support processes and management processes are defined as well. No outsourced process in the company.</p> <p>Suitable quality policy, quality objectives are defined in QM Annex A / Rev: 00 and communicated to the company.</p> <p>Document matrix is in quality manual as manuals, procedures and instructions detailed in QM.</p> <p>Quality Management System manual (QM) includes ISO 9001:2008 and approved by General Manager (Revision Date: 08.06.2017 / rev.04). General elements are defined with implementations and procedure references.</p> <p>Document and Quality Records Control procedure (PR.KYS.001, rev.7, 31.05.2017) regulates the control of documents and records. They have an effective implemented document and record control system.</p> <p>LS.KYS.001 Document Master List is used to trace the distribution of procedures, instructions, plans, flow charts, internal regulation lists and their revision status. There 179 documents in the company system.</p> <p>External and Legal Documents are listed on Form (LS.KYS.003) and controlled. There are total of 7 documents, including labor law number 4857, higher education law number 2280, ISO 9001:2008 standard and ISO 27001:2005</p> <p>Quality Record List LS.KYS.02 is used to define responsibilities, retention time of the records. Some samples are below; PL.INK.001 annual training plan 1+5 years. FR.KPG.008 seminar evaluation form 1+5 years LS.LAB.001 measurement equipment list 1+5 years.</p> <p>Electronic documents control and backup system is identified in relevant procedure as well. The entire system documentation including internal and external correspondence can be accessed and tracked via the EBYS (Electronic document management system)</p>	<p><b>fulfilled</b></p>

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requirement	Audit evidence and examples: Statements on Implementation and Evaluation	The requirements are:
<b>Chapter 5 Managements responsibility</b>		
<b>5.1 Managements commitment</b>  <b>5.2 Customer focus</b>  <b>5.3 Quality policy</b>  <b>5.4 Planning</b>  <b>5.4.1 Quality objectives</b>  <b>5.4.2 Quality management system planning</b>  <b>5.5 Responsibility, authority and communication</b>  <b>5.5.1 Responsibility and authority</b>  <b>5.5.2 Management representative</b>  <b>5.5.3 Internal communication</b>  <b>5.6 Management review</b>  <b>5.6.1 General</b>  <b>5.6.2 Review input</b>  <b>5.6.3 Review output</b>	<p>Management commitment is found satisfactorily as awareness of quality and allocated resources. Management contribution to quality system on all sides is found adequately.</p> <p>Professional and personal development seminars and quality awareness training are regularly provided for academic staff and other employees for customer focus. Customer complaints and satisfaction survey results are monitored by top management and relevant action reports are submitted if necessary.</p> <p>Quality policy dated 11.07.2013 (including continuous improvement &amp; quality awareness &amp; customer focus-compliance to national regulation) is maintained and distributed.</p> <p>Annual quality objectives are defined and distributed by Target Tracking Plan (PL.YGG.01) for each education period. Last issue is 18.06.2016 / Rev.02 and It will be prepared again for the period of September 2017-2018 at the end of June.</p> <p>There are some objectives from 2016-2017 education period below;</p> <ul style="list-style-type: none"> <li>- To have at least 1 distance education graduate program.(Previous result: 5)</li> <li>- Increase the number of databases in the library by 50% each year.(Previous result: %100)</li> <li>- To increase the education services provided within the scope of OKSEM every year by 10% (Previous result: %12)</li> <li>- To increase the graduate student satisfaction rate to 90% (Previous result: %78)</li> </ul> <p>Responsibility and authority is described as job descriptions in department basis instructions with some revisions as mentioned below and organization chart with revision (03.06.2016, Rev.02). Sample job descriptions:</p> <ul style="list-style-type: none"> <li>- GT.INK.075 Communication Expert</li> <li>- GT.INK.153 Management Representative</li> <li>- GT.INK.118 Quality Expert</li> </ul> <p>Management representative is same with previous year Pr. Dr. Mithat Kıyak who has more than 25 years' work experience and university medical school graduation is QMR. Assignment letter for QMR is on 27.04.2016 approved by G.M. Job description was checked in instructions, GT-INK.153, rev. 00</p> <p>Announcement boards, internal notices and e-mail are the ways of internal communication system.</p> <p>Management review meetings were planned at least once in a year.</p>	<p><b>fulfilled</b></p>

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requirement	Audit evidence and examples: Statements on Implementation and Evaluation	The requirements are:
	<p>Inputs (internal audit results, customer feedbacks, product conformity, improvement suggestions etc.) are met standard and documented in management review meeting agenda.</p> <p>Outputs (resources needed, product and system improvement decisions) were met the requirements.</p> <p>Last management review record was 08.06.2017 and documented on Meeting Minutes Document FR.OKN.001</p> <p>The 4 attendances are below            Prof.Dr.Mithat Kıyak            Ekrem Baltacı            Emre Demirok            Banu Bayrak</p> <p>There are some sample decisions below from the meeting;</p> <ul style="list-style-type: none"> <li>• Training of internal auditor to Neslihan Çınar, unit manager of HR and organizational development.</li> <li>• Improvement of ventilation conditions in the carpenter's workshop and building faculty laboratory..etc.</li> </ul>	

requirement	Audit evidence and examples: Statements on Implementation and Evaluation	The requirements are:
<b>Chapter 6 Resource management</b>		
<p><b>6.1 Provision of resources</b></p> <p><b>6.2 Human resources</b></p> <p><b>6.2.1 General</b></p> <p><b>6.2.2 Competence, training and awareness</b></p> <p><b>6.3 Infrastructure</b></p> <p><b>6.4 Work environment</b></p>	<ul style="list-style-type: none"> <li>• 6.1. clause did not audited during this audit.</li> <li>• 6.2. clause did not audited during this audit.</li> </ul> <p>Maintenance process is documented in QM and used effectively to manage the process.</p> <p>Annual Maintenance Plan PL.YAP.001 / Rev.00 is used to identify the machines and their periodical maintenance activities.</p> <p>There are boilers, combi boilers, air conditioners, elevators, generators, fresh air power plant, dehumidifier and chiller in the plan. All maintenance, except air conditioning maintenance, is performed by the device / equipment manufacturer service and their reports are kept by construction work department.</p> <p>Some samples from periodical maintenance;</p> <p># Chiller / Machine Nr:CHL02 / Dated 06.06.2017 / By: Cooltech</p> <p># Boiler / Machine Nr:KZN05 / Dated 20.03.2017 / By: Isiser</p> <p># Elevator / Machine Nr:338 / Dated 07.06.2017 / By: Etaş Asansör</p> <p>Breakdown notifications are made to the building works department via the EBYS system. If the machine manufacturer doesn't need to come to the service, the technical team is intervening.</p> <p>Repairing Activity Sample;</p> <p># Barkod on EBYS system: 52582 / Mechanical Breakdown / Date: 12.06.2017 / by Abbas Eren, Technician.</p> <p>Laboratory Equipment Annual Maintenance Plan PL.LAB.001 is used to plan the periodical maintenances from infrastructure. The realization of periodical maintenances and repairs are performed by authorized technical services. The realized maintenance and repairs are recorded to Maintenance / Repair Control Form.</p> <p>Maintenance records are checked for Mechanical Lathe Machine in the Mechanical Laboratory.</p> <p>Equipment Name: Elevator Position: Engineering Faculty Periodic Inspection: Lift ID Nr: 311566061/01 Date: 02.06.2016 Inspection Organization: Universal Certification</p>	<p><b>fulfilled</b></p>

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requirement	Audit evidence and examples: Statements on Implementation and Evaluation	The requirements are:
	<p>The work environment is very well organized. They have a Campus located outside Istanbul City Center. The buildings and classrooms are new and in good conditions. Air Conditioning System, Lightening and technological facilities are very well.</p> <p>They have only household wastes which are collected by the municipality.</p>	

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requirement	Audit evidence and examples: Statements on Implementation and Evaluation	The requirements are:
<b>Chapter 7 Product realization</b>		
<p><b>7.1 Planning of product realization</b></p> <p><b>7.2 Customer related-processes</b></p> <p><b>7.2.1 Determination of requirements related to the product</b></p> <p><b>7.2.2 Review of requirements related to the product</b></p> <p><b>7.2.3 Customer communication</b></p>	<p>The planning of service realization is performed according to Higher Education Law (2547), Regulation for the Foundation of Higher Education Institutions and 15.12.1999 Okan University founding 4488 Law.</p> <p>Their academically programs are approved by the YOK (The Council of Higher Education). The academically schedules are prepared by the university and approved by University Senate.</p> <p>The Lesson Programs are determined and issued by the Faculty Management Boards. Checked for Business Administration Department for 2017-2018 seasons. Total ECTS: 240</p> <p style="color: red;">OFI: Optimisation software could be implemented for scheduling the Lessons.</p> <p>Clause 7.2 was audited during the first surveillance audit.</p>	<b>Fulfilled</b>
<p><b>7.3 Design and development</b></p> <p><b>7.3.1 Design and development planning</b></p> <p><b>7.3.2 Design and development inputs</b></p> <p><b>7.3.3 Design and development outputs</b></p> <p><b>7.3.4 Design and development review</b></p>	<p>Clause 7.3 was audited during the first surveillance audit.</p>	

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requirement	Audit evidence and examples: Statements on Implementation and Evaluation	The requirements are:
<p><b>7.3.5 Design and development verification</b></p> <p><b>7.2.6 Design and development validation</b></p> <p><b>7.3.7 Control of design and development changes</b></p>		
<p><b>7.4 Purchasing</b></p> <p><b>7.4.1 Purchasing process</b></p> <p><b>7.4.2 Purchasing Information</b></p> <p><b>7.4.3 Verification of purchased product</b></p>	<p>Clause 7.4 was audited during the first surveillance audit.</p>	
<p><b>7.5.1 Control of production and service provision</b></p>	<p>The service realization is performed according to Education and Training Procedure PR.EOG.001.</p> <p>The academically programs which are approved by the YOK (The Council of Higher Education) and the academically schedules which are prepared by the university and approved by University Senate are the main guides for service realization.</p> <p>Academically boards prepare the annual schedules according to the YOK regulation no 2547.</p> <p><b>Career Center</b></p> <p>Teoman Duman is Career Center Manager.</p> <p>Career and Life program Application Regulation KYP.001 (04.01.2017)</p> <p>The center is focused on support the students to get internship and jobs.</p> <p>Checked the notification for Hilton Garden Inn Ümraniye</p>	<p><b>Fulfilled</b></p>

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requirement	Audit evidence and examples: Statements on Implementation and Evaluation	The requirements are:
	<p>jobs.</p> <p><b>Student deaconship;</b></p> <p>Student deaconship Procedure PR.OGD.001 rev .03. Activity follow up form RP.OGD.001 and Activity report RP.OGD.001 used, checked for following samples:</p> <p style="padding-left: 40px;">Date: 13.03.2017 Subject: World Kidney Day Activity Participants: 100</p> <p>Activity Evaluation Report RP.OGD.001 is checked from Management and Research Clup Seminar on 20.03.2017</p> <p><b>Student Affairs</b></p> <p>There are two main activities: personal affairs (new enrollment, transitions) and academic affairs (course selection, curriculum and note takings). The center is focused on support the students to get internship and jobs.</p> <p>The last disciplinary committee meeting dated 07.04.2017 has been seen. (47 board / 7 participants). The 485 Board of Directors meeting dated 22.11.2016 was seen as an example.</p>	
<p><b>7.5.2 Validation of processes</b></p>	<p>The performance evaluations of the docents are performed with Performance Evaluation Form.</p> <p>Checked for the following sample;</p> <p style="padding-left: 40px;">Name of Docent: Assistant Professor Enes Duyan Evaluation Point: 65/100 Evaluation Period: 2015-2016 Exam date:13.11.2015 Work Start Date:01.12.2015 Examined by : Faculty of health sciences</p>	<p><b>Fulfilled</b></p>
<p><b>7.5.3 Identification and traceability</b></p>	<p>Each student has an ID Nr which are used to identification and traceability of them. In each forms and records are this numbers used.</p>	<p><b>Fulfilled</b></p>
<p><b>7.5.4 Customer property</b></p>	<p>The information about the students are handled as customer property.</p>	<p><b>Fulfilled</b></p>
<p><b>7.5.5 Preservation of product</b></p>	<p>After the education is successfully completed by the student, they a diploma which is prepared according to Diploma Preparation Flow Scheme AS.OGR.009. The student and lecturer files are prepared and kept according to personnel matters procedure PR.OGR.001. These files are kept in a safe room and also in servers which are</p>	<p><b>Fulfilled</b></p>



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requirement	Audit evidence and examples: Statements on Implementation and Evaluation	The requirements are:
	located outside Istanbul because of the natural disaster risk.	
<b>7.6 Control of monitoring and measuring equipment</b>	<p>Laboratory Equipment Maintenance and Calibration Procedure PR.LAB.002 is documented.</p> <p>Measurement Equipment List LS.LAB.001 is used to trace the calibration status of the measurement and monitoring equipment.</p> <p>Equipment: Towing Test Device Serial Nr: 500-11120/MAK-LAB-08 Calibration Date: 01.03.2017 Calibrated by: SMS Kalibrasyon Ltd.</p> <p>Equipment: Ekstansometre Serial Nr: 231.OKA.01 Calibration Date: 12.04.2017 Calibrated by: SMS Kalibrasyon Ltd.</p>	<b>Fulfilled</b>
<b>Chapter 8 Measurement, analysis and improvement</b>		
<b>8.1 General</b>	Implementation of measurement, collection and validation of data is effective. Measurement of performance of the organization's processes includes; capability of processes, satisfaction of customer and other interested parties.	<b>fulfilled</b>
<b>8.2 Monitoring and measurement</b>  <b>8.2.1 customer satisfaction</b>  <b>8.2.2 Internal audits</b>  <b>8.2.3 Monitoring and measurement of processes</b>  <b>8.2.4 Monitoring and measurement of products</b>	<p>The measurement of the customer satisfaction is done by applying surveys according to the Measurement and Evaluation Procedure (PR.OLD.001 / 31.05.2016 / Rev.01). Customer Satisfaction Survey Form F.08.06 is used. Customer satisfaction questionnaire is applied to graduate students. The survey consists of 3 sections and 33 questions. Total has been applied to 955 students. Likert type scale was used. It is average.</p> <p>Lecturer assessment questionnaire is applied to current students. A total of 66.360 questionnaires were administered using 10 question and 5 point likert scale. The average is 78.7% (I agree + I fully agree).</p> <p>Internal customer satisfaction survey was applied to 580 employees. The average is 89.19%.</p> <p>Internal Audits Procedure (PR.ICD.001 / 17.09.2013 / rev.1) is documented and implemented. Internal audit plan PL.ICD.001 covers all departments and processes of the company. Internal audit questionnaire L-08.01 is prepared.</p>	<b>fulfilled</b>

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requirement	Audit evidence and examples: Statements on Implementation and Evaluation	The requirements are:
	<p>Impartial auditors are selected. CAPA's are performed according to the audit reports PL.ICD.001.</p> <p>All departments and processes are audited as required. Last internal audit was performed on 15.05.2017-06.06.2017. Examples;                      #Assesment and Evaluation Process / 31.05.2017 Auditor Mrs. Serap Avcı / 0 NC                      #Workshop Process / 22.05.2017 / Auditor Mr. Can Özyurtlu / 1 NC                      #HR Process / 16.05.2017 / Auditor Mrs. Banu Bayrak / 0 NC                      23 departments have been audited and 40 NC were found, 13 NC of them are still open in the LS.KYS.006 Corrective Preventive Action Follow Up List.</p> <p>There are some examples below;                      #Closed NC: Library / 16.05.2017 / Auditor: Mrs. Dilek Türkkan / There are no labeling and category labels in the books on the shelf / Closing Date: 31.05.2017                      #Closed NC: Writing Affairs / 16.05.2017 / Auditor: Mrs. Banu Bayrak / The PR.YIS.001 procedure needs to be revised according to the electronic information management system (EBYS) of the application section / Closing Date: 31.05.2017                      #Still Open NC: Workshop / 22.05.2017 / Auditor: Mr. Can Özyurtlu / The absence of job safety plates at the carpenter's workshop. / Target Date: 31.07.2017</p> <p>Core, sub and supporting processes are defined in Continual Improvement and Process Performance Monitoring Plan. Performance criteria's are defined and measured for all core processes. Performance results are analyzed by statistical tools and evaluated by management during management review meetings.</p> <p>After the education is successfully completed by the student, they a diploma which is prepared according to Diploma Preparation Flow Scheme AS.OGR.009. The student and lecturer files are prepared and kept according to personnel matters procedure PR.OGR.001. Measurement and Evaluation Procedure PR.OLD.001 is documented to manage the process. These include the performances of students and lecturer. The performances from students are issued in the transcripts.                      An example;                      Student name: Barış Kılıçkara                      Commitment date: 08.09.2015                      Department: Engineer and Art Faculty                      Term of education: Geomatics Engineering                      Estimated completion: 2020                      Nationality: T.C.                      Types of education: General Education                      Students were evaluated by the exam their departments                      These results explain in FR.OGR.014, results of this student was satisfactorily.</p>	

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requirement	Audit evidence and examples: Statements on Implementation and Evaluation	The requirements are:
<b>8.3</b> <b>Control of nonconforming products</b>	<p>PR.KYS.002 Management of Nonconformities Procedure (02.01.2012 / rev.0) is describing the control of nonconforming product, separation from the confirming products. Physical locations for NC products were checked in the production area and warehouse area. They record to measurement control form (FR.KYS.002) if any deviation occurs in the receiving and separate the NC product. If NC product in the incoming control they prepare nonconformity report and stick a red label on material identification card.</p> <p>No non-conformity has been implemented last period.</p>	<b>fulfilled</b>
<b>8.4</b> <b>Analysis of data</b>	<p>Measurement and Evaluation Procedure (PR.OLD.001 / 31.05.2016 / Rev.01).</p> <p>Company applies effective data analysis and reporting system. All performance criteria's, process parameters are regularly analyzed and traced for changes. Data analysis are conducted on:</p> <ul style="list-style-type: none"> <li>- Student satisfaction</li> <li>- Supplier evaluation</li> <li>- Process performances</li> <li>- Lecturer performance</li> </ul>	<b>fulfilled</b>
<b>8.5.</b> <b>Improvement</b>  <b>8.5.1</b> <b>Continual improvement</b>  <b>8.5.2</b> <b>Corrective action</b>  <b>8.5.3</b> <b>Preventive action</b>	<p>Management reviews, objectives, internal audits, corrective and preventive actions demonstrates the continual improvement.</p> <p>"Corrective and Preventive Actions Procedure" (PR.KYS.003 / rev.3 / 31.05.2017) is available for regulation of corrective actions. Actions implemented after internal &amp; external audit non-conformances etc. are recorded to "Corrective and Preventive Actions Demand Form"(FR.KYS.001). Due date, relevant departments, actions and results are seen in this form.</p> <p>Corrective and preventive actions are followed by LS.KYS.006 Corrective Preventive Action Follow Up List. Totally 47 (40 from internal audits + 7 from customer complaints) corrective actions and 0 preventive actions on the list. An example;</p> <p>Problem: The problem of card reading system attached to classroom doors. Non-attendance record.                      Opening Date: 13.03.2017 by Ahmet Şevki Durmaz                      Closing Date: 14.03.2017 by Student Affairs                      Action: The software has been fixed.</p>	<b>fulfilled</b>

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Date

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expert

23.6.2017

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Date

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Lead-Auditor / Auditor