

# Assessment Report

## HO CHI MINH CITY UNIVERSITY OF TECHNOLOGY - VIETNAM NATIONAL UNIVERSITY - HO CHI MINH CITY

Assessment dates	06/05/2020 to 06/05/2020 (Please refer to Appendix for details)
Assessment Location(s)	Ho Chi Minh City, (000), Binh Duong Province, (001)
Report Author	ThanhPhuong LeHuu
Assessment Standard(s)	ISO 9001:2015



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## Executive Summary

The audit team concludes that the organization has established and maintained its management system in line with the requirements of the standard and demonstrated the ability of the system to systematically achieve agreed requirements for products or services within the scope and the organization's policy and objectives.

## Changes in the organization since last assessment

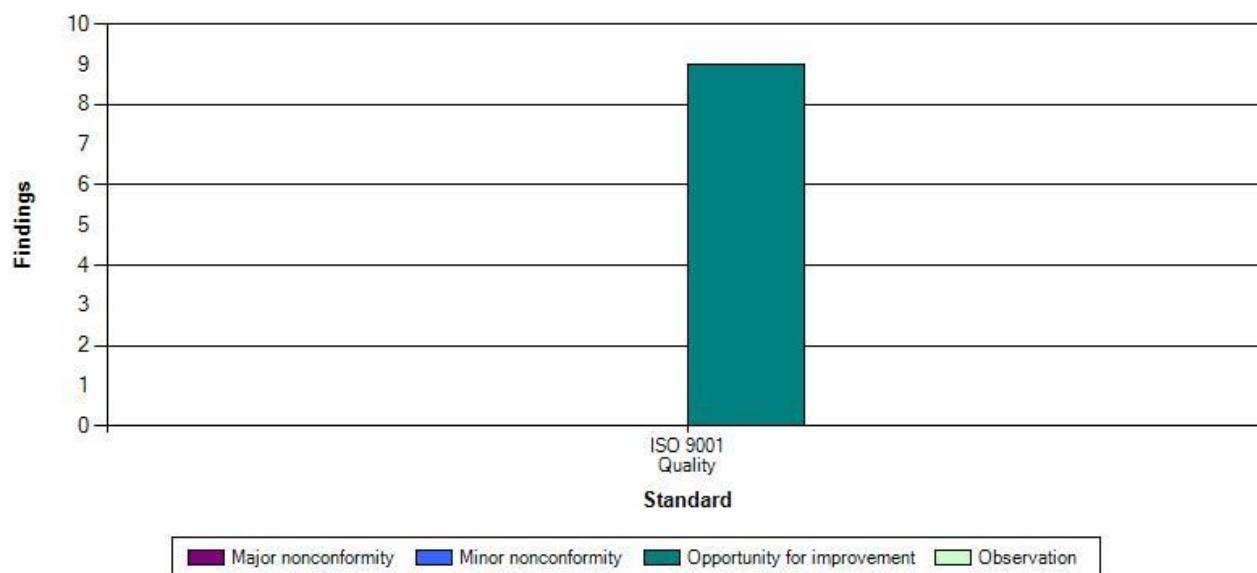
There is no significant change of the organization structure and key personnel involved in the audited management system.

No change in relation to the audited organization's activities, products or services covered by the scope of certification was identified.

There was no change to the reference or normative documents which is related to the scope of certification.

## NCR summary graphs

### Which standard(s) BSI recorded findings against



## Where BSI recorded findings



## Your next steps

### NCR close out process

There were no outstanding nonconformities to review from previous assessments.

No new nonconformities were identified during the assessment. Enhanced detail relating to the overall assessment findings is contained within subsequent sections of the report.

Please refer to Assessment Conclusion and Recommendation section for the required submission and the defined timeline.

## Assessment objective, scope and criteria

The objective of the assessment was to conduct a certification (extension to scope) assessment to evaluate the level of conformity with the Standard(s) requirements, effectiveness of the management system(s) in continually meeting objectives, and the ability of the management system to ensure the organization meets applicable statutory, regulatory, and contractual requirements and as applicable, to identify areas for potential improvement of the management system(s).

The scope of the assessment is the documented management system with relation to the requirements of ISO 9001:2015 and the defined assessment plan provided in terms of locations and areas of the system and organisation to be assessed.

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ISO 9001:2015



## Assessment Participants

Name	Position	Opening Meeting	Closing Meeting	Interviewed(processes)
Managers & Employees	Theo attendance list	X	X	X

## Assessment conclusion

BSI assessment team

Name	Position
VanViet Ho	Team Member
ChinhTri Mai	Team Member
ThanhPhuong LeHuu	Team Leader
HongSy Truong	Team Member

### Assessment conclusion and recommendation

The audit objectives have been achieved and the certificate scope remains appropriate. The audit team concludes based on the results of this audit that the organization does fulfil the standards and audit criteria identified within the audit report and it is deemed that the management system continues to achieve its intended outcomes.

RECOMMENDED - The audited organization can be recommended for certification / recertification / continued certification to the above listed standards, and has been found in general compliance with the audit criteria as stated in the above-mentioned audit plan.

### Use of certification documents, mark / logo or report

The use of the BSI certification documents and mark / logo is effectively controlled.

## Findings from this assessment

## Các quá trình quản lý chung:

<b>Finding Reference</b>	1910741-202005-I1	<b>Certificate Reference</b>	FS 622436
<b>Certificate Standard</b>	ISO 9001:2015	<b>Clause</b>	
<b>Category</b>	Opportunity for Improvement		
<b>Area/Process:</b>	Các quá trình quản lý chung		
<b>Details</b>	<b>Phòng Công tác Chính trị - Sinh viên:</b> Các qui định của pháp luật về an toàn thực phẩm cần cập nhật kịp thời. Hiện tại có một số văn bản đã hết hiệu lực tại thời điểm đánh giá nhưng vẫn được viện dẫn vào các qui trình/ biểu mẫu áp dụng. Cần xem xét tính pháp lý của Trạm y tế của trường.		

<b>Finding Reference</b>	1910741-202005-I2	<b>Certificate Reference</b>	FS 622436
<b>Certificate Standard</b>	ISO 9001:2015	<b>Clause</b>	
<b>Category</b>	Opportunity for Improvement		
<b>Area/Process:</b>	Các quá trình quản lý chung		
<b>Details</b>	<b>Thư Viện:</b> Kiểm tra phương tiện PCCC cần thực hiện đầy đủ theo yêu cầu của TCVN 3890:2009, VD Bình chữa cháy. Trung tâm báo cháy của hệ thống báo cháy tự động đang nằm trong thư viện cần xem xét lại tính sẵn sàng khi xảy ra tình huống khẩn cấp (đặc biệt nếu xảy ra tại thời điểm thư viện không hoạt động hoặc không có người trực).		

<b>Finding Reference</b>	1910741-202005-I3	<b>Certificate Reference</b>	FS 622436
<b>Certificate Standard</b>	ISO 9001:2015	<b>Clause</b>	
<b>Category</b>	Opportunity for Improvement		
<b>Area/Process:</b>	Các quá trình quản lý chung		
<b>Details</b>	<b>Phòng Đào tạo sau Đại học:</b> Quy trình Đánh giá luận án tiến sỹ cấp trường, BK-QT-ED-016-03, ban hành lần 01, ngày 19.08.2019 nên được mô tả cụ thể hơn các tài liệu viện dẫn thực hiện từng bước có liên quan, người chịu trách nhiệm chính, thời gian thực hiện từng bước		

<b>Finding Reference</b>	1910741-202005-I4	<b>Certificate Reference</b>	FS 622436
<b>Certificate Standard</b>	ISO 9001:2015	<b>Clause</b>	
<b>Category</b>	Opportunity for Improvement		
<b>Area/Process:</b>	Các quá trình quản lý chung		
<b>Details</b>	<b>Phòng Quan hệ Đối ngoại:</b> Có thể xem xét làm rõ hơn nội dung kiểm soát việc thực hiện dự án sau khi được ký kết & đánh giá hiệu quả thực hiện dự án trong quy trình Ký kết thỏa thuận hợp tác, BK-QT-GN-027-10, ban hành 23.03.2020.		

<b>Finding Reference</b>	1910741-202005-I5	<b>Certificate Reference</b>	FS 622436
<b>Certificate Standard</b>	ISO 9001:2015	<b>Clause</b>	
<b>Category</b>	Opportunity for Improvement		
<b>Area/Process:</b>	Các quá trình quản lý chung		
<b>Details</b>	<b>Phòng Kế hoạch-Tài chính:</b> Các rủi ro của phòng Kế hoạch-Tài chính đang được nhận diện trên nội dung các mục tiêu, cần cập nhật đầy đủ hơn như yêu cầu tiêu chuẩn, ngoài ra, cần cập nhật các cơ hội của hệ thống quản lý. Hiện tại, chỉ cập nhật các rủi ro liên quan các mục tiêu Phòng Kế hoạch-Tài chính, Khoa Kỹ thuật Địa chất & Dầu khí, Khoa Kỹ thuật XD cần cập nhật các cơ hội, kết quả đánh giá cơ hội & hành động giải quyết cơ hội.		

<b>Finding Reference</b>	1910741-202005-I6	<b>Certificate Reference</b>	FS 622436
<b>Certificate Standard</b>	ISO 9001:2015	<b>Clause</b>	
<b>Category</b>	Opportunity for Improvement		
<b>Area/Process:</b>	Các quá trình quản lý chung		
<b>Details</b>	<b>Khoa Kỹ thuật Địa chất &amp; Dầu khí:</b> Có thể xem xét thể hiện cụ thể hơn các tiêu chí đo lường kết quả thực hiện quá trình tổ chức thực tập & kiến tập.		

<b>Finding Reference</b>	1910741-202005-I7	<b>Certificate Reference</b>	FS 622436
<b>Certificate Standard</b>	ISO 9001:2015	<b>Clause</b>	
<b>Category</b>	Opportunity for Improvement		
<b>Area/Process:</b>	Các quá trình quản lý chung		
<b>Details</b>	<p><b>Khoa Kỹ thuật Xây dựng:</b>          Khoa Kỹ thuật Xây dựng có thể xem xét báo cáo thống kê &amp; phân tích sự cố thiết bị có ảnh hưởng đến chất lượng dịch vụ.          Kỹ thuật Xây dựng: Cần có bằng chứng xác nhận hoàn thành các hành động khắc phục cho các điểm không phù hợp trong đợt kiểm tra ngày 14.01.2020 (Biên bản kiểm tra các công tác ra đề thi và đáp án môn thi HK1/2019-2020 Khoa KTXD, vd: 03 môn thi chưa có đáp án).          Khoa Kỹ thuật Xây dựng: Đề thi Kết cấu bê tông cốt thép 2, lớp CI3175-A01, ngày thi 06/01/2020 đã được kiểm tra, ký xác nhận của GV ra đề, GV kiểm tra đề và Chủ nhiệm bộ môn. Tuy nhiên, bằng chứng kiểm tra xác nhận thì cần cụ thể hơn ngày hoàn thành (xem trên đề thi, không có ngày ký xác nhận kiểm tra).</p>		

<b>Finding Reference</b>	1910741-202005-I8	<b>Certificate Reference</b>	FS 622436
<b>Certificate Standard</b>	ISO 9001:2015	<b>Clause</b>	
<b>Category</b>	Opportunity for Improvement		
<b>Area/Process:</b>	Các quá trình quản lý chung		
<b>Details</b>	<p><b>Khoa Kỹ thuật Giao thông; Khoa Điện – Điện tử ; Khoa Khoa học Ứng dụng:</b>          Cần xem xét lập kế hoạch hồ sơ bảo trì bảo dưỡng thiết bị đầy đủ.</p>		

<b>Finding Reference</b>	1910741-202005-I9	<b>Certificate Reference</b>	FS 622436
<b>Certificate Standard</b>	ISO 9001:2015	<b>Clause</b>	
<b>Category</b>	Opportunity for Improvement		
<b>Area/Process:</b>	Các quá trình quản lý chung		
<b>Details</b>	<p><b>Khoa Môi trường và Tài nguyên:</b>          Cần bổ sung phần cơ hội nào đạt được trong bảng nhận diện rủi ro và cơ hội của khoa theo yêu cầu tiêu chuẩn.          Các vấn đề sau đợt đánh giá nội bộ cần được nêu cụ thể và đầy đủ hơn.          Bảng mô tả công việc của khoa môi trường cần bổ sung đầy đủ hơn về phân trách nhiệm và quyền hạn.</p>		

## Next visit objectives, scope and criteria

The objective of the assessment is to conduct a re-assessment of the existing certification to ensure the elements of the proposed scope of registration and the requirements of the management standard are effectively addressed by the organisation's management system.

The scope of the assessment is the documented management system with relation to the requirements of ISO 9001:2015 and the defined assessment plan provided in terms of locations and areas of the system and organisation to be assessed.

### ISO 9001:2015

Please note that BSI reserves the right to apply a charge equivalent to the full daily rate for cancellation of the visit by the organisation within 30 days of an agreed visit date.

## Next Visit Plan

Date	Auditor	Time	Area/Process	Clause
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## Appendix: Your certification structure & ongoing assessment programme

### Scope of Certification

#### FS 622436 (ISO 9001:2015)

The provision of College, undergraduate and post-graduate training in the fields of Industrial Maintenance, Mechanical Engineering, Environment & Natural Resources, Geology & Petroleum Engineering and Transportation Engineering English Training Supported activities for training including human resource management and quality assurance Student services & career supports; Purchasing and managing material and equipment; managing the outdoor area, the power network, the water supply and discharge network, and the vehicle fleet; rehabilitating houses. Seek, implement, broaden and expand the domestic and internationally external projects and collaborations; Management of Science and Research (Research activity, Technology transfer, IP right, Journal of Science & Technology Development office); Development and management of investment projects from different domestic capital resources.

### Assessed location(s)

The audit has been performed at Central Office, Permanent Locations.

#### Binh Duong Province, / FS 622436 (ISO 9001:2015)

<b>Location reference</b>	0047539331-001
<b>Address</b>	HO CHI MINH CITY UNIVERSITY OF TECHNOLOGY -VIETNAM NATIONAL UNIVERSITY -HO CHI MINH CITY Campus 2: Dong Hoa Ward, DiAn District, Binh Duong Province, Vietnam
<b>Visit type</b>	Continuing assessment (surveillance)
<b>Assessment reference</b>	8979627
<b>Assessment dates</b>	06/05/2020
<b>Deviation from Audit Plan</b>	No
<b>Total number of Employees</b>	
<b>Effective number of Employees</b>	
<b>Scope of activities at the site</b>	The provision of College, undergraduate and post-graduate training in the fields of Industrial Maintenance, Mechanical Engineering, Environment & Natural Resources, Geology & Petroleum Engineering and Transportation Engineering English Training Supported activities for training including human resource management and quality assurance Student services & career supports; Purchasing and managing material and equipment; managing the outdoor area, the power network,



	the water supply and discharge network, and the vehicle fleet; rehabilitating houses. Seek, implement, broaden and expand the domestic and internationally external projects and collaborations; Management of Science and Research (Research activity, Technology transfer, IP right, Journal of Science & Technology Development office); Development and management of investment projects from different domestic capital resources.
<b>Assessment duration</b>	1 day(s)

**Ho Chi Minh City, / FS 622436 (ISO 9001:2015)**

<b>Location reference</b>	0047539331-000
<b>Address</b>	HO CHI MINH CITY UNIVERSITY OF TECHNOLOGY - VIETNAM NATIONAL UNIVERSITY - HO CHI MINH CITY Head office and Campus 1: 268 Ly Thuong Kiet Street, Ward 14, District 10, Ho Chi Minh City, Vietnam
<b>Visit type</b>	Continuing assessment (surveillance)
<b>Assessment reference</b>	3170553
<b>Assessment dates</b>	06/05/2020
<b>Deviation from Audit Plan</b>	No
<b>Total number of Employees</b>	
<b>Effective number of Employees</b>	
<b>Scope of activities at the site</b>	The provision of College, undergraduate and post-graduate training in the fields of Industrial Maintenance, Mechanical Engineering, Environment & Natural Resources, Geology & Petroleum Engineering and Transportation Engineering English Training Supported activities for training including human resource management and quality assurance Student services & career supports; Purchasing and managing material and equipment; managing the outdoor area, the power network, the water supply and discharge network, and the vehicle fleet; rehabilitating houses. Seek, implement, broaden and expand the domestic and internationally external projects and collaborations; Management of Science and Research (Research activity, Technology transfer, IP right, Journal of Science & Technology Development office); Development and management of investment projects from different domestic capital resources.
<b>Assessment duration</b>	0.5 day(s)

**Ho Chi Minh City, / FS 622436 (ISO 9001:2015)**

<b>Location reference</b>	0047539331-000
<b>Address</b>	HO CHI MINH CITY UNIVERSITY OF

	TECHNOLOGY - VIETNAM NATIONAL UNIVERSITY - HO CHI MINH CITY Head office and Campus 1: 268 Ly Thuong Kiet Street, Ward 14, District 10, Ho Chi Minh City, Vietnam
<b>Visit type</b>	Extension to Scope
<b>Assessment reference</b>	3170554
<b>Assessment dates</b>	06/05/2020
<b>Deviation from Audit Plan</b>	No
<b>Total number of Employees</b>	
<b>Effective number of Employees</b>	
<b>Scope of activities at the site</b>	The provision of College, undergraduate and post-graduate training in the fields of Industrial Maintenance, Mechanical Engineering, Environment & Natural Resources, Geology & Petroleum Engineering and Transportation Engineering English Training Supported activities for training including human resource management and quality assurance Student services & career supports; Purchasing and managing material and equipment; managing the outdoor area, the power network, the water supply and discharge network, and the vehicle fleet; rehabilitating houses. Seek, implement, broaden and expand the domestic and internationally external projects and collaborations; Management of Science and Research (Research activity, Technology transfer, IP right, Journal of Science & Technology Development office); Development and management of investment projects from different domestic capital resources.
<b>Assessment duration</b>	2 day(s)

## Certification assessment program

**Certificate Number - FS 622436**

**Location reference - 0047539331-000**

		Audit1	Audit2	Audit3	Audit4
Business area/Location	Date (mm/yy):	3/2018	3/2019	3/2020	1/2021
	Duration (days):	5	3.5	3.5	4.5
Management processes		X	X	X	
Context of the organization, risk and opportunities		X	X	X	
Customer related process		X	X		
Purchasing		X		X	
Operation and quality control		X	X	X	
Human resource		X	X	X	
Facility and maintenance		X		X	
Documented information control		X	X		
Control of nonconforming outputs		X	X	X	
Recertification		X			X

## Expected outcomes for accredited certification.

### What accredited certification to ISO 9001 means

ISO 9001:2015 specifies requirements for a quality management system when an organization: needs to demonstrate its ability to consistently provide products and services that meet customer and applicable statutory and regulatory requirements; and aims to enhance customer satisfaction through the effective application of the system, including processes for improvement of the system and the assurance of conformity to customer and applicable statutory and regulatory requirements.

### What accredited certification to ISO 9001 does not mean

- 1) It is important to recognize that ISO 9001 defines the requirements for an organization's quality management system, not for its products and services. Accredited certification to ISO 9001 should provide confidence in the organization's ability to "consistently provide product that meets customer and applicable statutory and regulatory requirements". It does not necessarily ensure that the organization will always achieve 100% product conformity, though this should of course be a permanent goal.
- 2) ISO 9001 accredited certification does not imply that the organization is providing a superior Product or service, or that the product or service itself is certified as meeting the requirements of an ISO (or any other) standard or specification.

## Definitions of findings:

Non-conformity:

Non-fulfilment of a requirement.

Major nonconformity:

Nonconformity that affects the capability of the management system to achieve the intended results. Nonconformities could be classified as major in the following circumstances:

- If there is a significant doubt that effective process control is in place, or that products or services will meet specified requirements;
- A number of minor nonconformities associated with the same requirement or issue could demonstrate a systemic failure and thus constitute a major nonconformity.

Minor nonconformity:

Nonconformity that does not affect the capability of the management system to achieve the intended results.

Opportunity for improvement:

It is a statement of fact made by an assessor during an assessment, and substantiated by objective evidence, referring to a weakness or potential deficiency in a management system which if not improved may lead to nonconformity in the future. We may provide generic information about industrial best practices but no specific solution shall be provided as a part of an opportunity for improvement.

Observation:

It is ONLY applicable for those schemes which prohibit the certification body to issue an opportunity for improvement.

It is a statement of fact made by the assessor referring to a weakness or potential deficiency in a management system which, if not improved, may lead to a nonconformity in the future.

## How to contact BSI

Should you wish to speak with BSI in relation to your certification, please contact your local BSI office – contact details available from the BSI website:

<https://www.bsigroup.com/en-VN/contact-us/>

## Notes

*This report and related documents are prepared for and only for BSI's client and for no other purpose. As such, BSI does not accept or assume any responsibility (legal or otherwise) or accept any liability for or in connection with any other purpose for which the Report may be used, or to any other person to whom the Report is shown or in to whose hands it may come, and no other persons shall be entitled to rely on the Report. If you wish to distribute copies of this report external to your organisation, then all pages must be included.*

*BSI, its staff and agents shall keep confidential all information relating to your organisation and shall not disclose any such information to any third party, except that in the public domain or required by law or relevant accreditation bodies. BSI staff, agents and accreditation bodies have signed individual confidentiality undertakings and will only receive confidential information on a 'need to know' basis.*

*This audit was conducted on-site through document reviews, interviews and observation of activities. The audit method used was based on sampling the organization's activities and it was aimed to evaluate the fulfilment of the audited requirements of the relevant management system standard or other normative document and confirm the conformity and effectiveness of the management system and its continued relevance and applicability for the scope of certification.*

*As this audit was based on a sample of the organization's activities, the findings reported do not imply to include all issues within the system.*

## **Regulatory compliance**

*BSI requires to be informed of all relevant regulatory non-compliance or incidents that require notification to any regulatory authority. Acceptance of this report by the client signifies that all such issues have been disclosed as part of the assessment process and agreement that any such non-compliance or incidents occurring after this visit will be notified to BSI as soon as practical after the event.*