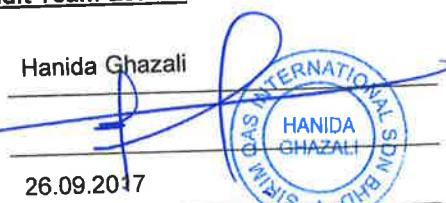
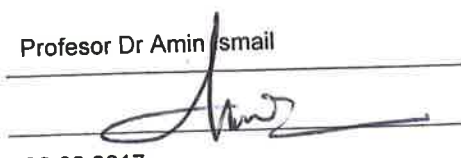


**CONFIDENTIAL**

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                             |                                                                                                                                                                                                                                                                                                                                                                                                                       |                     |                                                                                                                                                                                           |                                                                                                                                                                                                                                                 |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | <b>SIRIM QAS INTERNATIONAL SDN. BHD.</b><br><b>MANAGEMENT SYSTEM CERTIFICATION DEPARTMENT</b><br>Block 4, SIRIM Complex, No. 1, Persiaran Dato' Menteri<br>Section 2, 40700 Shah Alam, Selangor Darul Ehsan | <b>File No. :</b><br>QM / 6 – 262<br>(QU00510001)                                                                                                                                                                                                                                                                                                                                                                     |                     |                                                                                                                                                                                           |                                                                                                                                                                                                                                                 |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <b>QUALITY MANAGEMENT SYSTEM</b><br><b>SURVEILLANCE &amp; UPGRADING AUDIT REPORT</b>                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                       |                     |                                                                                                                                                                                           |                                                                                                                                                                                                                                                 |
| <b>CLIENT :</b> Universiti Putra Malaysia                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                                                                                                                                                             |                                                                                                                                                                                                                                                                                                                                                                                                                       |                     |                                                                                                                                                                                           |                                                                                                                                                                                                                                                 |
| <b>ADDRESS OF MAIN SITE AUDITED :</b><br>(In the case of multisite certification, additional sites are listed in the attachment) :<br><br>Universiti Putra Malaysia<br>43400 Serdang<br>Selangor Darul Ehsan                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                             |                                                                                                                                                                                                                                                                                                                                                                                                                       |                     |                                                                                                                                                                                           |                                                                                                                                                                                                                                                 |
| <b>CERTIFICATION NO :</b> AR 2020                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                                                                                                                             | <b>STANDARD :</b> ISO 9001:2015                                                                                                                                                                                                                                                                                                                                                                                       |                     |                                                                                                                                                                                           |                                                                                                                                                                                                                                                 |
| <b>AUDIT DATE :</b> 11, 12, 13, 14 15, 18, 19, 29, / 37 auditor<br>21, 25 & 26 September 2017    day(s)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                             | <b>LAST AUDIT DATE :</b> 19 sehingga 29 Julai 2016                                                                                                                                                                                                                                                                                                                                                                    |                     |                                                                                                                                                                                           |                                                                                                                                                                                                                                                 |
| <b>SCOPE OF CERTIFICATION :</b><br><br>Perkhidmatan Pengajian Pendidikan di Peringkat Tertiari, Pengurusan dan Pelaksanaan Penyelidikan, Perhubungan Industri dan Masyarakat, Pengurusan Pembangunan Pelajar dan Alumni, dan Perkhidmatan Korporat                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                             |                                                                                                                                                                                                                                                                                                                                                                                                                       |                     |                                                                                                                                                                                           |                                                                                                                                                                                                                                                 |
| <table style="width:100%; border: none;"> <tr> <td style="width:15%;"><b>AUDIT TEAM :</b></td> <td style="width:45%;">           1)    Hanida Ghazali<br/>           2)    Dr Hj Montaj Mustakim<br/>           3)    Parimala Devi Ganesan<br/>           4)    Fauziah Sulaiman<br/>           5)    Faizal Mohammad<br/>           6)    Kho Yeck Lan<br/>           7)    Abdullh Hafis Ghafar         </td> <td style="width:40%; border: none;">           Ketua pasukan audit        9<br/>           Ahli pasukan audit            11<br/>           Ahli pasukan audit            5<br/>           Ahli pasukan audit            3<br/>           Ahli pasukan audit            5<br/>           Ahli pasukan audit            2<br/>           Ahli pasukan audit            2         </td> </tr> </table> |                                                                                                                                                                                                             |                                                                                                                                                                                                                                                                                                                                                                                                                       | <b>AUDIT TEAM :</b> | 1)    Hanida Ghazali<br>2)    Dr Hj Montaj Mustakim<br>3)    Parimala Devi Ganesan<br>4)    Fauziah Sulaiman<br>5)    Faizal Mohammad<br>6)    Kho Yeck Lan<br>7)    Abdullh Hafis Ghafar | Ketua pasukan audit        9<br>Ahli pasukan audit            11<br>Ahli pasukan audit            5<br>Ahli pasukan audit            3<br>Ahli pasukan audit            5<br>Ahli pasukan audit            2<br>Ahli pasukan audit            2 |
| <b>AUDIT TEAM :</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | 1)    Hanida Ghazali<br>2)    Dr Hj Montaj Mustakim<br>3)    Parimala Devi Ganesan<br>4)    Fauziah Sulaiman<br>5)    Faizal Mohammad<br>6)    Kho Yeck Lan<br>7)    Abdullh Hafis Ghafar                   | Ketua pasukan audit        9<br>Ahli pasukan audit            11<br>Ahli pasukan audit            5<br>Ahli pasukan audit            3<br>Ahli pasukan audit            5<br>Ahli pasukan audit            2<br>Ahli pasukan audit            2                                                                                                                                                                       |                     |                                                                                                                                                                                           |                                                                                                                                                                                                                                                 |
| <b>NO. OF EMPLOYEES (Applicable to the scope of certification) :</b> UPM Serdang : 4383, UPM Bintulu : 266                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                                                                             |                                                                                                                                                                                                                                                                                                                                                                                                                       |                     |                                                                                                                                                                                           |                                                                                                                                                                                                                                                 |
| <b><u>Report by Audit Team Leader</u></b><br><br>Name        :    Hanida Ghazali<br>Signature    : <br>Date         :    26.09.2017<br><div style="text-align: center; margin-top: 10px;">  </div>                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                                                                                                                                                                             | <b><u>Acknowledgement by Client's Representative</u></b><br><br>Name        :    Profesor Dr Amin Ismail<br>Signature    : <br>Date         :    26.09.2017<br><div style="text-align: center; margin-top: 20px;"> <b>PROF. DR. AMIN ISMAIL</b><br/>         Wakil Pengurusan<br/>         Universiti Putra Malaysia       </div> |                     |                                                                                                                                                                                           |                                                                                                                                                                                                                                                 |

|                                                                                                                                                                                                                                                                                                        |                                                                                                                                       |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>The Audit Plan and the following attachments form part of this report:</b></p> <p>Nonconformity Report(s) <input type="checkbox"/></p> <p>Opportunities for Improvement <input type="checkbox"/></p> <p>List of additional site(s) <input type="checkbox"/></p> <p>Tick (✓) where applicable</p> | <p><b>Report reviewed and recommendation to upgrade approved by :</b></p> <p>_____</p> <p>(Section Head)</p> <p>_____</p> <p>Date</p> |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------|

| SURVEILLANCE & UPGRADING AUDIT REPORT |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|---------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1.                                    | <p><b>ANY DEVIATION FROM THE AUDIT PLAN AND THEIR REASONS (IF APPLICABLE)</b></p> <p>Tiada.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| 2.                                    | <p><b>CHANGES TO THE ORGANIZATION'S QUALITY MANAGEMENT SYSTEM INCLUDING CHANGES TO ADDRESS THE NEW REQUIREMENTS OF ISO 9001:2015</b></p> <p><b>Comment on whether the organization has determined the following:</b></p> <p><b>a) Internal and external issues relevant to its purpose and strategic direction</b></p> <p>Universiti Putra Malaysia (UPM) telah mengenalpasti isu dalaman serta isu luaran yang dinyatakan di dalam Manual Kualiti UPM. Antara isu luaran yang dikenalpasti adalah persaingan dengan IPT yang lain, kelembapan ekonomi, sikap orang awam dan perubahan dasar oleh kerajaan.</p> <p>Antara isu dalaman yang dikenalpasti adalah kekurangan staf, kekangan sumber kewangan, sistem teknologi yang tidak terkini serta infrastruktur yang lama.</p> <p><b>b) Interested parties and their needs and expectation relevant to the quality management system</b></p> <p>Antara pihak berkepentingan yang dikenalpasti oleh UPM adalah orang awam, pembekal, agensi kerajaan serta pelajar.</p> <p>Orang awam memerlukan UPM untuk dapat berkongsi maklumat terkini berkaitan dengan bidang kepakaran UPM, serta dapat menggunakan kemudahan yang disediakan oleh UPM. Pembekal memerlukan peluang perniagaan dengan UPM serta memerlukan pembayaran terhadap perkhidmatan yang telah diberikan.</p> <p>Agensi kerajaan memerlukan UPM untuk mematuhi peraturan yang telah ditetapkan seperti pematuhan terhadap akta dan peraturan, antaranya AUKU, Environmental Act 1974 dan MyGAP.</p> <p>Pelajar pula memerlukan agar UPM dapat memberikan perkhidmatan P &amp; P dengan baik, menyediakan kemudahan infrastruktur yang mencukupi serta kondusif serta mendapatkan perkhidmatan sokongan akademik yang mencukupi.</p> <p><b>c) Risks and opportunities arising from (a) and (b)</b></p> <p>UPM telah mewujudkan Borang Pentaksiran Risiko yang mengandungi maklumat antaranya, langkah dalam prosedur, risiko yang dikenalpasti, punca risiko, kawalan sediaada, keterukan &amp; kebarangkalian, tahap risiko serta strategi tindakan. UPM juga telah mewujudkan matriks penilaian risiko sebagai kaedah untuk mengira tahap risiko berdasarkan keterukan dan kebarangkalian.</p> <p>Didapati bahawa, UPM belum mengaitkan lagi isu dalaman serta isu luaran yang telah dikenalpasti dan keperluan pihak yang berkepentingan, ketika mengenalpasti risiko. Kaedah yang digunakan sekarang adalah dengan mengenalpasti risiko dari prosedur yang didokumenkan oleh PTJ sahaja. Ini menyebabkan pengenaltastian risiko adalah tidak menyeluruh berdasarkan kepada fungsi PTJ, isu dalaman serta luaran dan keperluan pihak yang berkepentingan terhadap PTJ tersebut.</p> <p>UPM belum lagi mengenalpasti peluang dengan secara terperinci.</p> <p><b>d) Any other changes to the quality management system since the last audit</b></p> <p>Perubahan sistem pengurusan kualiti kepada keperluan ISO 9001:2015 serta pertambahan PTJ yang dimasukkan ke dalam skop pensijilan iaitu Pusat Pengurusan Wakaf, Zakat &amp; Endowmen, Institut Kajian Perladangan, Pusat Pemajuan Kompetensi Bahasa, Pusat Sains Marin dan Pusat Antarabangsa.</p> |
| 3.                                    | <p><b>MANUAL REFERENCE (including revision number, if applicable) :</b> UPM / PGR / MK, ISU 03, SEMAKAN 02, 20.06.2017</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| 4.                                    | <p><b>SUMMARY OF EFFECTIVENESS OF ACTIONS TAKEN ON NONCONFORMITIES IDENTIFIED DURING THE PREVIOUS AUDIT (details of NCRs and their status are to be listed in Appendix 1):</b></p> <p>Tindakan pembetulan telah diambil.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |

## SURVEILLANCE & UPGRADING AUDIT REPORT

### 5. USE OF CERTIFICATION / ACCREDITATION MARKS & CERTIFICATION DOCUMENT (CERTIFICATE)

☐

Not in use

☐

Used; unacceptable

☐

Used; acceptable

Action required :

### 6. SUMMARY ON FINDINGS

#### 6.1 Management review (including comments on whether the inputs to and outputs of the management review have complied with the additional requirements of ISO 9001:2015)

Mesyuarat kajian semula pengurusan telah dirancang serta dilaksanakan pada 23 Ogos 2017. Mesyuarat ini telah dipengerusikan oleh NC UPM. Antara agenda yang dibincangkan adalah pencapaian objektif kualiti, hasil audit, isu dalaman serta isu luaran serta maklumbalas pelanggan serta pihak yang berkepentingan. Keberkesanan tindakan terhadap risiko serta peluang, belum dibincangkan secara menyeluruh.

#### 6.2 Internal audit

Audit dalam telah dirancang dan dilaksanakan pada 10 - 14 Julai 2017 dan 17 - 21 Julai 2017. Pasukan audit telah merekodkan sebanyak 157 NCR dan sebanyak 151 OFI. Rangkuman audit adalah menyeluruh, namun perekodan untuk audit terhadap risiko tidak dapat dilihat dengan jelas seperti pertanyaan mengenai kawalan sediaada. Terdapat juga pasukan audit yang tidak merekodkan dengan jelas, bukti audit yang ditemui.

#### 6.3 Customer complaints

Pengendalian aduan pelanggan adalah baik. Untuk tempoh pemantauan aduan tahun 2015, sebanyak 170 aduan direkodkan, untuk tahun 2016, sebanyak 351 aduan manakala untuk tahun 2017 (sehingga Ogos), sebanyak 276 aduan yang direkodkan.

UPM menerima sebilangan penghargaan. Pada tahun 2015, UPM menerima sebanyak 25 penghargaan, tahun 2016 sebanyak 15 penghargaan dan tahun 2017 (sehingga Ogos) sebanyak 18 penghargaan yang diterima.

#### 6.4 Improvement

Penambahbaikan dikenalpasti oleh setiap PTJ. Setiap penambahbaikan yang dikenalpasti dibincangkan serta dipantau melalui MKSP UPM.

#### 6.5 Useful comparisons with previous audit results

Tindakan telah diambil terhadap penemuan yang dibangkitkan semasa audit yang lepas.

### 7. NONCONFORMITY REPORT(S)

Total no. of minor NCR(s) : 3 List : PD01, PD02 & DMM01

Total no. of major NCR(s) : 0 List : -

List of minor NCRs which collectively constitute major NCR(s) :

### 8. ANY UNRESOLVED ISSUES, IF APPLICABLE

Tiada.

### 9. ANY SIGNIFICANT ISSUES THAT MAY IMPACT THE AUDIT PROGRAMME

Tiada.

### 10. CONCLUSION ON THE CONFORMITY AND EFFECTIVENESS OF THE SYSTEM

## SURVEILLANCE & UPGRADING AUDIT REPORT

Secara keseluruhan, sistem pengurusan kualiti yang berdasarkan kepada ISO 9001:2015 telah ditambahbaik dari ISO 9001:2008 dan telah didokumenkan. Terdapat pemahaman mengenai pengenalpastian risiko & peluang yang perlu ditambahbaik oleh UPM.

Terdapat beberapa PTJ yang tidak mendapat penggantian staf apabila terdapat staf yang berhenti kerja, meninggal dunia atau sudah berpencen.

Terdapat juga beberapa ketidakpatuhan yang dikenalpasti untuk audit pada kali ini. Tindakan pembetulan perlu dilaksanakan.

### 11. APPROPRIATENESS OF THE SCOPE OF CERTIFICATION

☐

Yes

☐

No (please comment) :

### 12. HAVE THE AUDIT OBJECTIVES BEEN FULFILLED?

☐

Yes

☐

No (please comment) :

### 13. RECOMMENDATION

☐

No NCR recorded. Recommended to continue certification and upgrade to ISO 9001:2015 with / without change\*.

☒

Minor NCR(s) recorded. Recommended to continue certification and upgrade to ISO 9001:2015 with / without change\* conditional upon satisfactory verification of corrective actions taken.

☐

Major NCR(s) recorded. Recommendation to continue certification and upgrade to ISO 9001:2015 with/ without change\* will be made after :

☐

On-site audit of the following area(s) including verification of corrective action :

☐

Off-site verification of corrective action(s). Records of implementation of proposed corrective action to be submitted for verification.

\* Nature of change :  
(if applicable)

Naiktaraf ke ISO 9001:2015 serta pertambahan skop

☐

Suspension of certification, a reaudit of the system shall be carried out before a recommendation is made to lift the suspension and upgrade the certification to ISO 9001:2015.

☐

Withdrawal of certification.

Note :

- Corrective Action Plans for all nonconformities (minor/ major) raised shall be submitted to the Audit Team Leader within one month and evidence of implementation within 3 months of the date of this report. Failure to comply shall result in either suspension or withdrawal of the certification.
- If there is any unresolved issue at the end of the audit, it shall be brought to the attention of the management of SIRIM QAS Intl for resolution. The client will be notified in writing of the decision within two weeks of the date of this report.
- In case the evidence of correction/ corrective actions submitted is not adequate, SIRIM QAS Intl reserves the right to conduct an on-site audit to verify the effectiveness of correction/ corrective actions taken.

### FOLLOW UP ON NCR(s)

It is confirmed that all corrective actions taken have been satisfactorily verified. Recommended to continue certification and upgrade to ISO 9001:2015.

Audit Team Leader :

(Name)

(Signature)

(Date)

# **SURVEILLANCE & UPGRADING AUDIT REPORT**

## **SUMMARY BY FUNCTION/ PROCESS/ PROJECT SITE**

**File No. :QM / 6 – 262 (QU00510001)**

| ISO 9001:2015                  |                                                                | Requirement audited | FUNCTION/ PROCESS/ PROJECT SITE |                      |                   |                                |               |                                          |                                  |                                   |                                         |       | NCR   |  |
|--------------------------------|----------------------------------------------------------------|---------------------|---------------------------------|----------------------|-------------------|--------------------------------|---------------|------------------------------------------|----------------------------------|-----------------------------------|-----------------------------------------|-------|-------|--|
|                                |                                                                |                     | Pengurusan & Kualiti            | Fakulti Kejuruteraan | Fakulti Pertanian | Fakulti Pengajian Alam Sekitar | Fakulti Sains | Fakulti Bahasa Moden Dan Komunikasi (LI) | Pusat Pemajuan Kompetensi Bahasa | Fakulti Sains Pertanian & Makanan | Pusat Pengurusan Wakaf, Zakat & Endowme | Major | Minor |  |
| 4. Context of the organization |                                                                |                     |                                 |                      |                   |                                |               |                                          |                                  |                                   |                                         |       |       |  |
| 4.1                            | Understanding the organization and its context                 | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                | /                                 | /                                       |       |       |  |
| 4.2                            | Understanding the needs and expectations of interested parties | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                | /                                 | /                                       |       |       |  |
| 4.3                            | Determining the scope of the quality management system         | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                | /                                 | /                                       |       |       |  |
| 4.4                            | Quality management system and its processes                    | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                | /                                 | /                                       |       |       |  |
| 5. Leadership                  |                                                                |                     |                                 |                      |                   |                                |               |                                          |                                  |                                   |                                         |       |       |  |
| 5.1                            | Leadership and commitment                                      | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                | /                                 | /                                       |       |       |  |
| 5.1.1                          | General                                                        | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                | /                                 | /                                       |       |       |  |
| 5.1.2                          | Customer focus                                                 | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                | /                                 | /                                       |       |       |  |
| 5.2                            | Policy                                                         | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                | /                                 | /                                       |       |       |  |
| 5.2.1                          | Establishing the quality policy                                | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                | /                                 | /                                       |       |       |  |
| 5.2.2                          | Communicating the quality policy                               | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                | /                                 | /                                       |       |       |  |
| 5.3                            | Organizational roles, responsibilities and authorities         | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                | /                                 | /                                       |       |       |  |
| 6. Planning                    |                                                                |                     |                                 |                      |                   |                                |               |                                          |                                  |                                   |                                         |       |       |  |
| 6.1                            | Actions to address risks and opportunities                     | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                | /                                 | /                                       |       |       |  |
| 6.2                            | Quality objectives and planning to achieve them                | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                | /                                 | /                                       |       |       |  |
| 6.3                            | Planning of changes                                            | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                | /                                 | /                                       |       |       |  |
| 7. Support                     |                                                                |                     |                                 |                      |                   |                                |               |                                          |                                  |                                   |                                         |       |       |  |
| 7.1                            | Resources                                                      | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                | /                                 | /                                       |       |       |  |
| 7.1.1                          | General                                                        | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                | /                                 | /                                       |       |       |  |
| 7.1.2                          | People                                                         | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                | /                                 | /                                       |       |       |  |
| 7.1.3                          | Infrastructure                                                 | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                | /                                 | /                                       |       |       |  |
| 7.1.4                          | Environment for the operation of processes                     | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                | /                                 | /                                       |       |       |  |
| 7.1.5                          | Monitoring and measuring resources                             | /                   | /                               | /                    | 0/1 (G)           | /                              | 0/1 (G)       | /                                        | /                                | /                                 | /                                       |       |       |  |
| 7.1.5.1                        | General                                                        | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                | /                                 | /                                       |       |       |  |
| 7.1.5.2                        | Measurement traceability                                       | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                | /                                 | /                                       |       |       |  |
| 7.1.6                          | Organizational knowledge                                       | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                | /                                 | /                                       |       |       |  |
| 7.2                            | Competence                                                     | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                | /                                 | /                                       |       |       |  |
|                                | Major                                                          | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                | /                                 | /                                       |       |       |  |
|                                | Minor                                                          | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                | /                                 | /                                       |       |       |  |

**Note :**

- Indicate in the "Requirement audited" column with a (√) the requirements that were audited and (-) for requirements that were not audited.
- In the case where requirements were audited and nonconformities detected, replace the (√) with the number of nonconformities (no. of major/ no. of minor)
- Indicate with (NA) if the requirement is not applicable.

# **SURVEILLANCE & UPGRADING AUDIT REPORT**

## **SUMMARY BY FUNCTION/ PROCESS/ PROJECT SITE**

| ISO 9001:2015 |                                                                 | Requirement audited | FUNCTION/ PROCESS/ PROJECT SITE |                      |                   |                                |               |                                          |                                     |                                   |                                         | NCR   |       |
|---------------|-----------------------------------------------------------------|---------------------|---------------------------------|----------------------|-------------------|--------------------------------|---------------|------------------------------------------|-------------------------------------|-----------------------------------|-----------------------------------------|-------|-------|
|               |                                                                 |                     | Pengurusan & Kualiti            | Fakulti Kejuruteraan | Fakulti Pertanian | Fakulti Pengajian Alam Sekitar | Fakulti Sains | Fakulti Bahasa Moden Dan Komunikasi (LI) | Pusat Peningkatan Kompetensi Bahasa | Fakulti Sains Pertanian & Makanan | Pusat Pengurusan Wakaf, Zakat & Endowme | Major | Minor |
| 7.3           | Awareness                                                       | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                   | /                                 | /                                       |       |       |
| 7.4           | Communication                                                   | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                   | /                                 | /                                       |       |       |
| 7.5           | Documented information                                          | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                   | /                                 | /                                       |       |       |
| 7.5.1         | General                                                         | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                   | /                                 | /                                       |       |       |
| 7.5.2         | Creating and updating                                           | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                   | /                                 | /                                       |       |       |
| 7.5.3         | Control of documented information                               | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                   | /                                 | /                                       |       |       |
| 8. Operation  |                                                                 |                     |                                 |                      |                   |                                |               |                                          |                                     |                                   |                                         |       |       |
| 8.1           | Operational planning and control                                | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                   | /                                 | /                                       |       |       |
| 8.2           | Requirements for products and services                          | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                   | /                                 | /                                       |       |       |
| 8.2.1         | Customer communication                                          | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                   | /                                 | /                                       |       |       |
| 8.2.2         | Determining the requirements for products and services          | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                   | /                                 | /                                       |       |       |
| 8.2.3         | Review of the requirements for products and services            | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                   | /                                 | /                                       |       |       |
| 8.2.4         | Changes to requirements for products and services               | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                   | /                                 | /                                       |       |       |
| 8.3           | Design and development of products and services                 | /                   | /                               | /                    | /                 | /                              | /             |                                          |                                     |                                   |                                         |       |       |
| 8.3.1         | General                                                         | /                   | /                               | /                    | /                 | /                              | /             |                                          |                                     |                                   |                                         |       |       |
| 8.3.2         | Design and development planning                                 | /                   | /                               | /                    | /                 | /                              | /             |                                          |                                     |                                   |                                         |       |       |
| 8.3.3         | Design and development inputs                                   | /                   | /                               | /                    | /                 | /                              | /             |                                          |                                     |                                   |                                         |       |       |
| 8.3.4         | Design and development controls                                 | /                   | /                               | /                    | /                 | /                              | /             |                                          |                                     |                                   |                                         |       |       |
| 8.3.5         | Design and development outputs                                  | /                   | /                               | /                    | /                 | /                              | /             |                                          |                                     |                                   |                                         |       |       |
| 8.3.6         | Design and development changes                                  | /                   | /                               | /                    | /                 | /                              | /             |                                          |                                     |                                   |                                         |       |       |
| 8.4           | Control of externally provided processes, products and services | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                   | /                                 | /                                       |       |       |
| 8.4.1         | General                                                         | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                   | /                                 | /                                       |       |       |
| 8.4.2         | Type and extent of control                                      | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                   | /                                 | /                                       |       |       |
| 8.4.3         | Information for external providers                              | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                   | /                                 | /                                       |       |       |
| 8.5           | Production and service provision                                | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                   | /                                 | /                                       |       |       |
| 8.5.1         | Control of production and service provision                     | /                   | /                               | 0/1(G)               | 0/1               | /                              | /             | /                                        | 0/1(G)                              | /                                 | /                                       |       |       |
| 8.5.2         | Identification and traceability                                 | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                   | /                                 | /                                       |       |       |
| 8.5.3         | Property belonging to customers or external providers           | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                   | /                                 | /                                       |       |       |
| 8.5.4         | Preservation                                                    | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                   | /                                 | /                                       |       |       |
|               | Major                                                           | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                   | /                                 | /                                       |       |       |
|               | Minor                                                           | /                   | /                               | /                    | /                 | /                              | /             | /                                        | /                                   | /                                 | /                                       |       |       |

### **Note :**

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- In the case where requirements were audited and nonconformities detected, replace the (√) with the number of nonconformities (no. of major/ no. of minor)
- Indicate with (NA) if the requirement is not applicable.

| SURVEILLANCE & UPGRADING AUDIT REPORT      |                                                  |                     |                                 |                      |                   |                                |               |                                                                           |                                   |                                         |       |       |   |
|--------------------------------------------|--------------------------------------------------|---------------------|---------------------------------|----------------------|-------------------|--------------------------------|---------------|---------------------------------------------------------------------------|-----------------------------------|-----------------------------------------|-------|-------|---|
| SUMMARY BY FUNCTION/ PROCESS/ PROJECT SITE |                                                  |                     |                                 |                      |                   |                                |               |                                                                           |                                   |                                         |       |       |   |
| ISO 9001:2015                              |                                                  | Requirement audited | FUNCTION/ PROCESS/ PROJECT SITE |                      |                   |                                |               |                                                                           |                                   |                                         |       | NCR   |   |
|                                            |                                                  |                     | Pengurusan & Kualiti            | Fakulti Kejuruteraan | Fakulti Pertanian | Fakulti Pengajian Alam Sekitar | Fakulti Sains | Fakulti Bahasa Moden Dan Komunikasi (LI) Pusat Pemajuan Kompetensi Bahasa | Fakulti Sains Pertanian & Makanan | Pusat Pengurusan Wakaf, Zakat & Endowme | Major | Minor |   |
| 8.5.5                                      | Post-delivery activities                         | /                   | /                               | /                    | /                 | /                              | /             | /                                                                         | /                                 | /                                       | /     |       |   |
| 8.5.6                                      | Control of changes                               | /                   | /                               | /                    | /                 | /                              | /             | /                                                                         | /                                 | /                                       | /     |       |   |
| 8.6                                        | Release of products and services                 | /                   | /                               | /                    | /                 | /                              | /             | /                                                                         | /                                 | /                                       | /     |       |   |
| 8.7                                        | Control of nonconforming outputs                 | /                   | /                               | /                    | /                 | /                              | /             | /                                                                         | /                                 | /                                       | /     |       |   |
| 9. Performance evaluation                  |                                                  |                     |                                 |                      |                   |                                |               |                                                                           |                                   |                                         |       |       |   |
| 9.1                                        | Monitoring, measurement, analysis and evaluation | /                   | /                               | /                    | /                 | /                              | /             | /                                                                         | /                                 | /                                       | /     |       |   |
| 9.1.1                                      | General                                          | /                   | /                               | /                    | /                 | /                              | /             | /                                                                         | /                                 | /                                       | /     |       |   |
| 9.1.2                                      | Customer satisfaction                            | /                   | /                               | /                    | /                 | /                              | /             | /                                                                         | /                                 | /                                       | /     |       |   |
| 9.1.3                                      | Analysis and evaluation                          | /                   | /                               | /                    | /                 | /                              | /             | /                                                                         | /                                 | /                                       | /     |       |   |
| 9.2                                        | Internal audit                                   | /                   | /                               | /                    | /                 | /                              | /             | /                                                                         | /                                 | /                                       | /     |       |   |
| 9.3                                        | Management review                                | /                   | /                               | /                    | /                 | /                              | /             | /                                                                         | /                                 | /                                       | /     |       |   |
| 9.3.1                                      | General                                          | /                   | /                               | /                    | /                 | /                              | /             | /                                                                         | /                                 | /                                       | /     |       |   |
| 9.3.2                                      | Management review inputs                         | /                   | /                               | /                    | /                 | /                              | /             | /                                                                         | /                                 | /                                       | /     |       |   |
| 9.3.3                                      | Management review outputs                        | /                   | /                               | /                    | /                 | /                              | /             | /                                                                         | /                                 | /                                       | /     |       |   |
| 10. Improvement                            |                                                  |                     |                                 |                      |                   |                                |               |                                                                           |                                   |                                         |       |       |   |
| 10.1                                       | General                                          | /                   | /                               | /                    | /                 | /                              | /             | /                                                                         | /                                 | /                                       | /     |       |   |
| 10.2                                       | Nonconformity and corrective action              | /                   | /                               | /                    | /                 | /                              | /             | /                                                                         | /                                 | /                                       | /     |       |   |
| 10.3                                       | Continual improvement                            | /                   | /                               | /                    | /                 | /                              | /             | /                                                                         | /                                 | /                                       | /     |       |   |
| Other Certification Requirements           |                                                  |                     |                                 |                      |                   |                                |               |                                                                           |                                   |                                         |       |       |   |
| 1.                                         | Use of marks/ certificate                        | /                   | /                               | /                    | /                 | /                              | /             | /                                                                         | /                                 | /                                       | /     |       |   |
|                                            | Major                                            |                     | /                               | 1 (G)                | 1 & 1 (G)         | /                              | 1 (G)         | /                                                                         | 1 (G)                             | /                                       | /     | 0     | 3 |
|                                            | Minor                                            |                     | /                               | /                    | /                 | /                              | /             | /                                                                         | /                                 | /                                       | /     |       |   |

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# SURVEILLANCE & UPGRADING AUDIT REPORT

## SUMMARY BY FUNCTION/ PROCESS/ PROJECT SITE

File No. :QM / 6 – 262 (QU00510001)

| ISO 9001:2015                  |                                                                | Requirement audited | FUNCTION/ PROCESS/ PROJECT SITE |                   |                    |                                                        |                                        |                                      |                             |                            |                      |       | NCR   |  |
|--------------------------------|----------------------------------------------------------------|---------------------|---------------------------------|-------------------|--------------------|--------------------------------------------------------|----------------------------------------|--------------------------------------|-----------------------------|----------------------------|----------------------|-------|-------|--|
|                                |                                                                |                     | Pusat Sumber Pendidikan Kanser  | Pusat Sains Marin | Pusat Antarabangsa | Pusat Pembangunan Keusahawanan & Kebolehasaran Graduan | Pusat Transformasi Komuniti Universiti | Pusat Hubungan Dan Jaringan Industri | Pusat Kebudayaan & Kesenian | Pusat Kesihatan Universiti | Bahagian Keselamatan | Major | Minor |  |
| 4. Context of the organization |                                                                |                     |                                 |                   |                    |                                                        |                                        |                                      |                             |                            |                      |       |       |  |
| 4.1                            | Understanding the organization and its context                 | /                   | /                               | /                 | /                  | /                                                      | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 4.2                            | Understanding the needs and expectations of interested parties | /                   | /                               | /                 | /                  | /                                                      | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 4.3                            | Determining the scope of the quality management system         | /                   | /                               | /                 | /                  | /                                                      | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 4.4                            | Quality management system and its processes                    | /                   | /                               | /                 | /                  | /                                                      | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 5. Leadership                  |                                                                |                     |                                 |                   |                    |                                                        |                                        |                                      |                             |                            |                      |       |       |  |
| 5.1                            | Leadership and commitment                                      | /                   | /                               | /                 | /                  | /                                                      | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 5.1.1                          | General                                                        | /                   | /                               | /                 | /                  | /                                                      | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 5.1.2                          | Customer focus                                                 | /                   | /                               | /                 | /                  | /                                                      | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 5.2                            | Policy                                                         | /                   | /                               | /                 | /                  | /                                                      | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 5.2.1                          | Establishing the quality policy                                | /                   | /                               | /                 | /                  | /                                                      | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 5.2.2                          | Communicating the quality policy                               | /                   | /                               | /                 | /                  | /                                                      | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 5.3                            | Organizational roles, responsibilities and authorities         | /                   | /                               | /                 | /                  | /                                                      | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 6. Planning                    |                                                                |                     |                                 |                   |                    |                                                        |                                        |                                      |                             |                            |                      |       |       |  |
| 6.1                            | Actions to address risks and opportunities                     | /                   | /                               | /                 | /                  | /                                                      | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 6.2                            | Quality objectives and planning to achieve them                | /                   | /                               | /                 | /                  | /                                                      | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 6.3                            | Planning of changes                                            | /                   | /                               | /                 | /                  | /                                                      | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 7. Support                     |                                                                |                     |                                 |                   |                    |                                                        |                                        |                                      |                             |                            |                      |       |       |  |
| 7.1                            | Resources                                                      | /                   | /                               | /                 | /                  | /                                                      | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 7.1.1                          | General                                                        | /                   | /                               | /                 | /                  | /                                                      | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 7.1.2                          | People                                                         | /                   | /                               | /                 | /                  | /                                                      | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 7.1.3                          | Infrastructure                                                 | /                   | /                               | /                 | /                  | /                                                      | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 7.1.4                          | Environment for the operation of processes                     | /                   | /                               | /                 | /                  | /                                                      | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 7.1.5                          | Monitoring and measuring resources                             | /                   | /                               | /                 | /                  | /                                                      | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 7.1.5.1                        | General                                                        | /                   | /                               | /                 | /                  | /                                                      | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 7.1.5.2                        | Measurement traceability                                       | /                   | /                               | /                 | /                  | /                                                      | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 7.1.6                          | Organizational knowledge                                       | /                   | /                               | /                 | /                  | /                                                      | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 7.2                            | Competence                                                     |                     |                                 |                   |                    |                                                        |                                        |                                      |                             |                            |                      |       |       |  |
|                                | Major                                                          |                     |                                 |                   |                    |                                                        |                                        |                                      |                             |                            |                      |       |       |  |
|                                | Minor                                                          |                     |                                 |                   |                    |                                                        |                                        |                                      |                             |                            |                      |       |       |  |

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# SURVEILLANCE & UPGRADING AUDIT REPORT

## SUMMARY BY FUNCTION/ PROCESS/ PROJECT SITE

| ISO 9001:2015 |                                                                 | Requirement audited | FUNCTION/ PROCESS/ PROJECT SITE |                   |                    |                                                         |                                        |                                      |                             |                            |                      |       | NCR   |  |
|---------------|-----------------------------------------------------------------|---------------------|---------------------------------|-------------------|--------------------|---------------------------------------------------------|----------------------------------------|--------------------------------------|-----------------------------|----------------------------|----------------------|-------|-------|--|
|               |                                                                 |                     | Pusat Sumber pendidikan Kanser  | Pusat Sains Marin | Pusat Antarabangsa | Pusat Pembangunan Keusahawanan & Kebolehpasaran Graduan | Pusat Transformasi Komuniti Universiti | Pusat Hubungan Dan Jaringan Industri | Pusat Kebudayaan & Kesenian | Pusat Kesihatan Universiti | Bahagian Keselamatan | Major | Minor |  |
| 7.3           | Awareness                                                       | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 7.4           | Communication                                                   | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 7.5           | Documented information                                          | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 7.5.1         | General                                                         | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 7.5.2         | Creating and updating                                           | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 7.5.3         | Control of documented information                               | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 8. Operation  |                                                                 |                     |                                 |                   |                    |                                                         |                                        |                                      |                             |                            |                      |       |       |  |
| 8.1           | Operational planning and control                                | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 8.2           | Requirements for products and services                          | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 8.2.1         | Customer communication                                          | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 8.2.2         | Determining the requirements for products and services          | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 8.2.3         | Review of the requirements for products and services            | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 8.2.4         | Changes to requirements for products and services               | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 8.3           | Design and development of products and services                 | /                   |                                 |                   |                    |                                                         |                                        |                                      |                             |                            |                      |       |       |  |
| 8.3.1         | General                                                         | /                   |                                 |                   |                    |                                                         |                                        |                                      |                             |                            |                      |       |       |  |
| 8.3.2         | Design and development planning                                 | /                   |                                 |                   |                    |                                                         |                                        |                                      |                             |                            |                      |       |       |  |
| 8.3.3         | Design and development inputs                                   | /                   |                                 |                   |                    |                                                         |                                        |                                      |                             |                            |                      |       |       |  |
| 8.3.4         | Design and development controls                                 | /                   |                                 |                   |                    |                                                         |                                        |                                      |                             |                            |                      |       |       |  |
| 8.3.5         | Design and development outputs                                  | /                   |                                 |                   |                    |                                                         |                                        |                                      |                             |                            |                      |       |       |  |
| 8.3.6         | Design and development changes                                  | /                   |                                 |                   |                    |                                                         |                                        |                                      |                             |                            |                      |       |       |  |
| 8.4           | Control of externally provided processes, products and services | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 8.4.1         | General                                                         | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 8.4.2         | Type and extent of control                                      | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 8.4.3         | Information for external providers                              | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 8.5           | Production and service provision                                | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 8.5.1         | Control of production and service provision                     | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 8.5.2         | Identification and traceability                                 | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 8.5.3         | Property belonging to customers or external providers           | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 8.5.4         | Preservation                                                    | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
|               | Major                                                           |                     |                                 |                   |                    |                                                         |                                        |                                      |                             |                            |                      |       |       |  |
|               | Minor                                                           |                     |                                 |                   |                    |                                                         |                                        |                                      |                             |                            |                      |       |       |  |

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# SURVEILLANCE & UPGRADING AUDIT REPORT

## SUMMARY BY FUNCTION/ PROCESS/ PROJECT SITE

| ISO 9001:2015                    |                                                  | Requirement audited | FUNCTION/ PROCESS/ PROJECT SITE |                   |                    |                                                         |                                        |                                      |                             |                            |                      |       | NCR   |  |
|----------------------------------|--------------------------------------------------|---------------------|---------------------------------|-------------------|--------------------|---------------------------------------------------------|----------------------------------------|--------------------------------------|-----------------------------|----------------------------|----------------------|-------|-------|--|
|                                  |                                                  |                     | Pusat Sumber pendidikan Kanser  | Pusat Sains Marin | Pusat Antarabangsa | Pusat Pembangunan Keusahawanan & Kebolehpasaran Graduan | Pusat Transformasi Komuniti Universiti | Pusat Hubungan Dan Jaringan Industri | Pusat Kebudayaan & Kesenian | Pusat Kesihatan Universiti | Bahagian Keselamatan | Major | Minor |  |
| 8.5.5                            | Post-delivery activities                         | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 8.5.6                            | Control of changes                               | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 8.6                              | Release of products and services                 | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 8.7                              | Control of nonconforming outputs                 | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 9. Performance evaluation        |                                                  |                     |                                 |                   |                    |                                                         |                                        |                                      |                             |                            |                      |       |       |  |
| 9.1                              | Monitoring, measurement, analysis and evaluation | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 9.1.1                            | General                                          | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 9.1.2                            | Customer satisfaction                            | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 9.1.3                            | Analysis and evaluation                          | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 9.2                              | Internal audit                                   | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 9.3                              | Management review                                | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 9.3.1                            | General                                          | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 9.3.2                            | Management review inputs                         | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 9.3.3                            | Management review outputs                        | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 10. Improvement                  |                                                  |                     |                                 |                   |                    |                                                         |                                        |                                      |                             |                            |                      |       |       |  |
| 10.1                             | General                                          | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 10.2                             | Nonconformity and corrective action              | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| 10.3                             | Continual improvement                            | /                   | /                               | /                 | /                  | /                                                       | /                                      | /                                    | /                           | /                          | /                    |       |       |  |
| Other Certification Requirements |                                                  |                     |                                 |                   |                    |                                                         |                                        |                                      |                             |                            |                      |       |       |  |
| 1.                               | Use of marks/ certificate                        | /                   |                                 |                   |                    |                                                         |                                        |                                      |                             |                            |                      |       |       |  |
|                                  | Major                                            |                     |                                 |                   |                    |                                                         |                                        |                                      |                             |                            |                      |       |       |  |
|                                  | Minor                                            |                     |                                 |                   |                    |                                                         |                                        |                                      |                             |                            |                      |       |       |  |

Note :

- d) Indicate in the "Requirement audited" column with a (✓) the requirements that were audited and (-) for requirements that were not audited.
- e) In the case where requirements were audited and nonconformities detected, replace the (✓) with the number of nonconformities (No of major/ no. of minor)
- f) Indicate with (NA) if the requirement is not applicable.

# SURVEILLANCE & UPGRADING AUDIT REPORT

## SUMMARY BY FUNCTION/ PROCESS/ PROJECT SITE

File No. :QM / 6 – 262 (QU00510001)

| ISO 9001:2015                  |                                                                | Requirement audited | FUNCTION/ PROCESS/ PROJECT SITE |                   |                                                |                |                                           |                                             |                               |   |   |   | NCR   |       |
|--------------------------------|----------------------------------------------------------------|---------------------|---------------------------------|-------------------|------------------------------------------------|----------------|-------------------------------------------|---------------------------------------------|-------------------------------|---|---|---|-------|-------|
|                                |                                                                |                     | Institut Kajian<br>Perladangan  | Institut Biosains | Institut Perhutanan<br>Tropikan & Produk Hutan | Kolej Kediaman | Pejabat Strategi<br>Korporat & Komunikasi | Pusat Pembangunan &<br>Pengurusan Aset (KB) | Taman Pertanian<br>Universiti |   |   |   | Major | Minor |
| 4. Context of the organization |                                                                |                     |                                 |                   |                                                |                |                                           |                                             |                               |   |   |   |       |       |
| 4.1                            | Understanding the organization and its context                 | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 4.2                            | Understanding the needs and expectations of interested parties | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 4.3                            | Determining the scope of the quality management system         | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 4.4                            | Quality management system and its processes                    | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 5. Leadership                  |                                                                |                     |                                 |                   |                                                |                |                                           |                                             |                               |   |   |   |       |       |
| 5.1                            | Leadership and commitment                                      | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 5.1.1                          | General                                                        | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 5.1.2                          | Customer focus                                                 | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 5.2                            | Policy                                                         | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 5.2.1                          | Establishing the quality policy                                | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 5.2.2                          | Communicating the quality policy                               | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 5.3                            | Organizational roles, responsibilities and authorities         | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 6. Planning                    |                                                                |                     |                                 |                   |                                                |                |                                           |                                             |                               |   |   |   |       |       |
| 6.1                            | Actions to address risks and opportunities                     | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 6.2                            | Quality objectives and planning to achieve them                | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 6.3                            | Planning of changes                                            | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 7. Support                     |                                                                |                     |                                 |                   |                                                |                |                                           |                                             |                               |   |   |   |       |       |
| 7.1                            | Resources                                                      | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 7.1.1                          | General                                                        | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 7.1.2                          | People                                                         | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 7.1.3                          | Infrastructure                                                 | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 7.1.4                          | Environment for the operation of processes                     | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 7.1.5                          | Monitoring and measuring resources                             | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 7.1.5.1                        | General                                                        | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 7.1.5.2                        | Measurement traceability                                       | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 7.1.6                          | Organizational knowledge                                       | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 7.2                            | Competence                                                     | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
|                                | Major                                                          | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             | / | / | / |       |       |
|                                | Minor                                                          | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             | / | / | / |       |       |

Note :

- g) Indicate in the "Requirement audited" column with a (✓) the requirements that were audited and (-) for requirements that were not audited.
- h) In the case where requirements were audited and nonconformities detected, replace the (✓) with the number of nonconformities (no. of major/ no. of minor)
- i) Indicate with (NA) if the requirement is not applicable.

# SURVEILLANCE & UPGRADING AUDIT REPORT

## SUMMARY BY FUNCTION/ PROCESS/ PROJECT SITE

| ISO 9001:2015       |                                                                 | Requirement audited | FUNCTION/ PROCESS/ PROJECT SITE |                   |                                                |                |                                           |                                             |                               |   |   |   | NCR   |       |
|---------------------|-----------------------------------------------------------------|---------------------|---------------------------------|-------------------|------------------------------------------------|----------------|-------------------------------------------|---------------------------------------------|-------------------------------|---|---|---|-------|-------|
|                     |                                                                 |                     | Institut Kajian<br>Perladangan  | Institut Biosains | Institut Perhutanan<br>Tropikan & Produk Hutan | Kolej Kediaman | Pejabat Strategi<br>Korporat & Komunikasi | Pusat Pembangunan &<br>Pengurusan Aset (KB) | Taman Pertanian<br>Universiti |   |   |   | Major | Minor |
| 7.3                 | Awareness                                                       | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 7.4                 | Communication                                                   | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 7.5                 | Documented information                                          | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 7.5.1               | General                                                         | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 7.5.2               | Creating and updating                                           | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 7.5.3               | Control of documented information                               | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| <b>8. Operation</b> |                                                                 |                     |                                 |                   |                                                |                |                                           |                                             |                               |   |   |   |       |       |
| 8.1                 | Operational planning and control                                | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 8.2                 | Requirements for products and services                          | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 8.2.1               | Customer communication                                          | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 8.2.2               | Determining the requirements for products and services          | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 8.2.3               | Review of the requirements for products and services            | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 8.2.4               | Changes to requirements for products and services               | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 8.3                 | Design and development of products and services                 | /                   |                                 |                   |                                                |                |                                           |                                             |                               |   |   |   |       |       |
| 8.3.1               | General                                                         | /                   |                                 |                   |                                                |                |                                           |                                             |                               |   |   |   |       |       |
| 8.3.2               | Design and development planning                                 | /                   |                                 |                   |                                                |                |                                           |                                             |                               |   |   |   |       |       |
| 8.3.3               | Design and development inputs                                   | /                   |                                 |                   |                                                |                |                                           |                                             |                               |   |   |   |       |       |
| 8.3.4               | Design and development controls                                 | /                   |                                 |                   |                                                |                |                                           |                                             |                               |   |   |   |       |       |
| 8.3.5               | Design and development outputs                                  | /                   |                                 |                   |                                                |                |                                           |                                             |                               |   |   |   |       |       |
| 8.3.6               | Design and development changes                                  | /                   |                                 |                   |                                                |                |                                           |                                             |                               |   |   |   |       |       |
| 8.4                 | Control of externally provided processes, products and services | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 8.4.1               | General                                                         | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 8.4.2               | Type and extent of control                                      | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 8.4.3               | Information for external providers                              | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 8.5                 | Production and service provision                                | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 8.5.1               | Control of production and service provision                     | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 8.5.2               | Identification and traceability                                 | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 8.5.3               | Property belonging to customers or external providers           | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
| 8.5.4               | Preservation                                                    | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |   |   |   |       |       |
|                     | Major                                                           |                     | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             | / | / | / |       |       |
|                     | Minor                                                           |                     | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             | / | / | / |       |       |

Note :

- g) Indicate in the "Requirement audited" column with a (√) the requirements that were audited and (-) for requirements that were not audited.
- h) In the case where requirements were audited and nonconformities detected, replace the (√) with the number of nonconformities (no. of major/ no. of minor)
- i) Indicate with (NA) if the requirement is not applicable.

| SURVEILLANCE & UPGRADING AUDIT REPORT      |                                                  |                     |                                 |                   |                                                |                |                                           |                                             |                               |  |  |  |       |       |
|--------------------------------------------|--------------------------------------------------|---------------------|---------------------------------|-------------------|------------------------------------------------|----------------|-------------------------------------------|---------------------------------------------|-------------------------------|--|--|--|-------|-------|
| SUMMARY BY FUNCTION/ PROCESS/ PROJECT SITE |                                                  |                     |                                 |                   |                                                |                |                                           |                                             |                               |  |  |  |       |       |
| ISO 9001:2015                              |                                                  | Requirement audited | FUNCTION/ PROCESS/ PROJECT SITE |                   |                                                |                |                                           |                                             |                               |  |  |  | NCR   |       |
|                                            |                                                  |                     | Institut Kajian<br>Perladangan  | Institut Biosains | Institut Perhutanan<br>Tropikan & Produk Hutan | Kolej Kediaman | Pejabat Strategi<br>Korporat & Komunikasi | Pusat Pembangunan &<br>Pengurusan Aset (KB) | Taman Pertanian<br>Universiti |  |  |  | Major | Minor |
| 8.5.5                                      | Post-delivery activities                         | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |  |  |  |       |       |
| 8.5.6                                      | Control of changes                               | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |  |  |  |       |       |
| 8.6                                        | Release of products and services                 | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |  |  |  |       |       |
| 8.7                                        | Control of nonconforming outputs                 | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |  |  |  |       |       |
| 9. Performance evaluation                  |                                                  |                     |                                 |                   |                                                |                |                                           |                                             |                               |  |  |  |       |       |
| 9.1                                        | Monitoring, measurement, analysis and evaluation | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |  |  |  |       |       |
| 9.1.1                                      | General                                          | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |  |  |  |       |       |
| 9.1.2                                      | Customer satisfaction                            | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |  |  |  |       |       |
| 9.1.3                                      | Analysis and evaluation                          | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |  |  |  |       |       |
| 9.2                                        | Internal audit                                   | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |  |  |  |       |       |
| 9.3                                        | Management review                                | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |  |  |  |       |       |
| 9.3.1                                      | General                                          | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |  |  |  |       |       |
| 9.3.2                                      | Management review inputs                         | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |  |  |  |       |       |
| 9.3.3                                      | Management review outputs                        | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |  |  |  |       |       |
| 10. Improvement                            |                                                  |                     |                                 |                   |                                                |                |                                           |                                             |                               |  |  |  |       |       |
| 10.1                                       | General                                          | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |  |  |  |       |       |
| 10.2                                       | Nonconformity and corrective action              | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |  |  |  |       |       |
| 10.3                                       | Continual improvement                            | /                   | /                               | /                 | /                                              | /              | /                                         | /                                           | /                             |  |  |  |       |       |
| Other Certification Requirements           |                                                  |                     |                                 |                   |                                                |                |                                           |                                             |                               |  |  |  |       |       |
| 1.                                         | Use of marks/ certificate                        | /                   |                                 |                   |                                                |                |                                           |                                             |                               |  |  |  |       |       |
|                                            | Major                                            |                     |                                 |                   |                                                |                |                                           |                                             |                               |  |  |  |       |       |
|                                            | Minor                                            |                     |                                 |                   |                                                |                |                                           |                                             |                               |  |  |  | 0     | 3     |

Note :

- g) Indicate in the "Requirement audited" column with a (✓) the requirements that were audited and (-) for requirements that were not audited.
- h) In the case where requirements were audited and nonconformities detected, replace the (✓) with the number of nonconformities (No of major/ no. of minor)
- i) Indicate with (NA) if the requirement is not applicable.

**APPENDIX 1: VERIFICATION OF PREVIOUSLY RAISED NONCONFORMITY REPORTS:**

File No. :QM / 6 – 262 (QU00510001)

| No. | NCR Reference No. | Evidence sighted for the implementation of the corrective action | Effectiveness of corrective action (Y/N) | Remarks |
|-----|-------------------|------------------------------------------------------------------|------------------------------------------|---------|
| 1   | EFI-1             | Minit mesyuarat                                                  | Y                                        | -       |
| 2   | DMM-1             | Minit mesyuarat                                                  | Y                                        | -       |
|     |                   |                                                                  |                                          |         |
|     |                   |                                                                  |                                          |         |
|     |                   |                                                                  |                                          |         |

**Note:**

If the corrective action has not been effectively implemented, a new NCR shall be reissued and indicate in the "Remarks" column.

Auditor Name: Hanida Ghazali

Date: 26.09.2017

## SIRIM QAS INTERNATIONAL SDN. BHD.

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                                                        |                                                                                              |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|
| No. Fail: QM/6 - 262<br>Jenis Audit : <div style="display: inline-block; vertical-align: top; margin-left: 10px;"> <input type="checkbox"/> Audit Pensiliran<br/>Peringkat 2<br/> <input checked="" type="checkbox"/> Audit Pemantauan<br/> <input type="checkbox"/> Audit Pensijilan<br/>Semula         </div>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | <b>LAPORAN KETAKAKURAN<br/>(NONCONFORMITY REPORT)</b><br><br><b>Klasifikasi : Kecil / Besar</b><br><br><b>Standard : ISO 9001:2015</b> | No. : PD - 1<br><br>Mukasurat 1 drpd 1<br><br>Tarikh Audit: 11 – 15/09/2015                  |
| Organisasi : UNIVERSITI PUTRA MALAYSIA                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                        |                                                                                              |
| <b>Bahagian 1 - Butiran Ketakakuran</b><br><br>Keperluan : 7.1.5 Monitoring and Measuring Resources<br><br>7.1.5.1 General<br>The organization shall determine and provide the resources needed to ensure valid and reliable results when monitoring or measuring is used to verify the conformity of products and services to requirements. (b)<br><br>Rujukan Dokumen UPM/SOK/PYG/P002<br><br>7.1.5.2 Measurement Traceability<br>When measurement traceability is a requirement, or is considered by the organization to be an essential part of providing confidence in the validity of measurement results, (a), (b), (c)<br><br>Rujuk Dokumen SOK/LAB/GP01/PKM Panduan Keselamatan Penggunaan Kebuk Wasap<br><br>Penemuan :<br><br>1. Organisasi tidak menjalankan penyelenggaraan berkala dengan berkesan samaada patuh dengan keperluan standard dan keperluan organisasi.<br><br>2. Organisasi tidak menjalankan kalibrasi kebuk wasap yang digunapakai untuk proses penyelidikan/pengajaran<br><br>Bukti Penemuan :<br><br>1. <b>Fakulti Pertanian – Ladang 10</b><br>Tiada road tax dan insuran bagi Kenderaan (No PlateTraktor – BGM 2689, BGM 5470, WJE 5215, BJQ 2475) yang digunapakai untuk pengajaran & penyelidikan. Rekod senarai semak kenderaan & jentera SOK/PYG/SS01 hanya direkodkan sehingga bulan April 2017<br><br>2. <b>Fakulti Sains</b><br>Makmal Kimia Polimer 2 – Kebuk Wasap - kalibrasi terakhir 4/8/2010<br><br>Makmal Persediaan Pusat – Kebuk Wasap - Kalibrasi terakhir 17/9/2016 |                                                                                                                                        |                                                                                              |
| Juruaudit : _____ Wakil Organisasi : _____<br>(PARIMALA DEVI GANESAN) ( )                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                        |                                                                                              |
| <b>Bahagian 2 - Keputusan hasil penyiasatan dan pengenalpastian punca</b><br><br>Wakil Organisasi : _____<br>( )                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                        |                                                                                              |
| <b>Bahagian 3 - Pembetulan, sekiranya berkenaan dan Pelan Tindakan Pembetulan termasuk tarikh pelaksanaan</b><br><br>Wakil Organisasi : _____ Diterima oleh : _____<br>( ) ( )                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                        |                                                                                              |
| <b>Bahagian 4 - Verifikasi terhadap tindakan pembetulan (untuk diisi oleh Juruaudit)</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                        |                                                                                              |
| Disemak oleh : _____<br>( )                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                                                                                        | Penutupan NCR : <input type="checkbox"/> Ya <input type="checkbox"/> Tidak<br>Tarikh : _____ |

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|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                   |                                                                                                                                        |                               |  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------|-------------------------------|--|
| No. Fail: QM/6 - 262                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                   | <b>LAPORAN KETAKAKURAN<br/>(NONCONFORMITY REPORT)</b><br><br><b>Klasifikasi : Kecil / Besar</b><br><br><b>Standard : ISO 9001:2015</b> | No. : PD - 2                  |  |
| Jenis Audit :                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | <input type="checkbox"/> Audit Pensiliran Peringkat 2<br><input checked="" type="checkbox"/> Audit Pemantauan<br><input type="checkbox"/> Audit Pensijilan Semula |                                                                                                                                        | Mukasurat 1 drpd 1            |  |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                   |                                                                                                                                        | Tarikh Audit: 11 – 15/09/2015 |  |
| Organisasi : UNIVERSITI PUTRA MALAYSIA                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                   |                                                                                                                                        |                               |  |
| <b>Bahagian 1 - Butiran Ketakakuran</b><br><br>Keperluan : <b>8.5.1 Control of Production and Service Provision</b><br>The organization shall implement production and service provision under controlled conditions. Controlled conditions shall include, as applicable:<br>c) the implementation of monitoring and measurement activities at appropriate stages to verify that criteria for control of processes or outputs, and acceptance criteria for products and services, have been met.<br><br>Rujuk Dokumen Prosedur UPM/PU/PS/P008<br><br>Penemuan :<br><br>Organisasi gagal memastikan penyediaan kertas soalan peperiksaan akhir adalah berdasarkan Prosedur UPM/PU/PS/P008 dimana Kertas soalan yang telah dimoderasi tidak disahkan oleh moderator (sekiranya ada pindaan) dan juga Ketua Jabatan.<br><br>Bukti Penemuan :<br><b>Fakulti Pertanian - Jabatan Sains Tanaman</b><br>Kesemua kertas soalan peperiksaan akhir sem 2 2016/2017<br>Contoh: Code Subjek - AGR 3501, AGR 3002, HRT 4601<br><i>rujuk Senarai semak penyediaan kertas soalan peperiksaan akhir PU/PS/SS01/PEP</i> |                                                                                                                                                                   |                                                                                                                                        |                               |  |
| Juruaudit : _____ Wakil Organisasi : _____<br>(PARIMALA DEVI GANESAN) ( )                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                                                                                                                                   |                                                                                                                                        |                               |  |
| <b>Bahagian 2 - Keputusan hasil penyiasatan dan pengenalpastian punca</b><br><br>Wakil Organisasi : _____<br>( )                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                   |                                                                                                                                        |                               |  |
| <b>Bahagian 3 - Pembetulan, sekiranya berkenaan dan Pelan Tindakan Pembetulan termasuk tarikh pelaksanaan</b><br><br>Wakil Organisasi : _____ Diterima oleh : _____<br>( ) ( )                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                                                                                   |                                                                                                                                        |                               |  |
| <b>Bahagian 4 - Verifikasi terhadap tindakan pembetulan (untuk diisi oleh Juruaudit)</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                   |                                                                                                                                        |                               |  |
| Disemak oleh : _____<br>( )                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                                   | Penutupan NCR : <input type="checkbox"/> Ya <input type="checkbox"/> Tidak<br>Tarikh : _____                                           |                               |  |

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| No. Fail: QU00510001[QM/6-262]                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                            | <b>LAPORAN KETAKAKURAN<br/>( NONCONFORMITY REPORT )</b>                 |                       | No. : DMM 1                                                      |  |         |              |        |          |                 |                     |         |                       |                 |                     |          |                       |         |                            |          |                       |         |                       |          |                       |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|-------------------------------------------------------------------------|-----------------------|------------------------------------------------------------------|--|---------|--------------|--------|----------|-----------------|---------------------|---------|-----------------------|-----------------|---------------------|----------|-----------------------|---------|----------------------------|----------|-----------------------|---------|-----------------------|----------|-----------------------|
| Jenis Audit : <input type="checkbox"/> Audit Pensiilan Peringkat 2<br><input checked="" type="checkbox"/> Audit Pemantauan<br><input type="checkbox"/> Audit Pensijilan Semula                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                            | <b>Klasifikasi : Kecil/Besar</b><br><br><b>Standard : ISO 9001:2015</b> |                       | Mukasurat    1   drpd   2<br><br>Tarikh audit: 15 September 2017 |  |         |              |        |          |                 |                     |         |                       |                 |                     |          |                       |         |                            |          |                       |         |                       |          |                       |
| Organisasi : Universiti Putra Malaysia                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                            |                                                                         |                       |                                                                  |  |         |              |        |          |                 |                     |         |                       |                 |                     |          |                       |         |                            |          |                       |         |                       |          |                       |
| <b>Bahagian 1 - Butiran Ketakakuran</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                            |                                                                         |                       |                                                                  |  |         |              |        |          |                 |                     |         |                       |                 |                     |          |                       |         |                            |          |                       |         |                       |          |                       |
| Keperluan :                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                            |                                                                         |                       |                                                                  |  |         |              |        |          |                 |                     |         |                       |                 |                     |          |                       |         |                            |          |                       |         |                       |          |                       |
| Klausa 8.5.1 (c) – Organisasi hendaklah melaksanakan aktiviti pemantauan dan pengukuran pada tahap yang sesuai untuk menentusahkan bahawa kriteria kawalan proses atau output dan kriteria penerimaan produk dan perkhidmatan telah dipenuhi.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                            |                                                                         |                       |                                                                  |  |         |              |        |          |                 |                     |         |                       |                 |                     |          |                       |         |                            |          |                       |         |                       |          |                       |
| Penemuan :                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                            |                                                                         |                       |                                                                  |  |         |              |        |          |                 |                     |         |                       |                 |                     |          |                       |         |                            |          |                       |         |                       |          |                       |
| Pemantauan proses pelaksanaan pengajaran seperti yang ditetapkan dalam klausa 6.7, UPM/PU/PS/P007 tidak dapat disahkan semasa audit.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                            |                                                                         |                       |                                                                  |  |         |              |        |          |                 |                     |         |                       |                 |                     |          |                       |         |                            |          |                       |         |                       |          |                       |
| Bukti Penemuan :                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                            |                                                                         |                       |                                                                  |  |         |              |        |          |                 |                     |         |                       |                 |                     |          |                       |         |                            |          |                       |         |                       |          |                       |
| <table border="1" style="width: 100%; border-collapse: collapse; text-align: left;"> <thead> <tr> <th style="width: 5%;">Fakulti</th> <th style="width: 20%;">ID Pensyarah</th> <th style="width: 20%;">Kursus</th> <th style="width: 20%;">Semester</th> </tr> </thead> <tbody> <tr> <td>1. Kejuruteraan</td> <td>Dr Armallah Mustafa</td> <td>EEE3104</td> <td>Sem.2 /Sesi 2016/2017</td> </tr> <tr> <td>2. Kejuruteraan</td> <td>Dr Chia Chen Chiang</td> <td>EAS 3425</td> <td>Sem.2 /Sesi 2016/2017</td> </tr> <tr> <td>3. CALC</td> <td>Bazilan Bahaldin/PSCALC 57</td> <td>BBI 2423</td> <td>Sem.2 /Sesi 2016/2017</td> </tr> <tr> <td>4. CALC</td> <td>Pn Ooi Bee Lee/A02215</td> <td>BBC 2402</td> <td>Sem.2 /Sesi 2016/2017</td> </tr> </tbody> </table> |                            |                                                                         |                       |                                                                  |  | Fakulti | ID Pensyarah | Kursus | Semester | 1. Kejuruteraan | Dr Armallah Mustafa | EEE3104 | Sem.2 /Sesi 2016/2017 | 2. Kejuruteraan | Dr Chia Chen Chiang | EAS 3425 | Sem.2 /Sesi 2016/2017 | 3. CALC | Bazilan Bahaldin/PSCALC 57 | BBI 2423 | Sem.2 /Sesi 2016/2017 | 4. CALC | Pn Ooi Bee Lee/A02215 | BBC 2402 | Sem.2 /Sesi 2016/2017 |
| Fakulti                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | ID Pensyarah               | Kursus                                                                  | Semester              |                                                                  |  |         |              |        |          |                 |                     |         |                       |                 |                     |          |                       |         |                            |          |                       |         |                       |          |                       |
| 1. Kejuruteraan                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Dr Armallah Mustafa        | EEE3104                                                                 | Sem.2 /Sesi 2016/2017 |                                                                  |  |         |              |        |          |                 |                     |         |                       |                 |                     |          |                       |         |                            |          |                       |         |                       |          |                       |
| 2. Kejuruteraan                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Dr Chia Chen Chiang        | EAS 3425                                                                | Sem.2 /Sesi 2016/2017 |                                                                  |  |         |              |        |          |                 |                     |         |                       |                 |                     |          |                       |         |                            |          |                       |         |                       |          |                       |
| 3. CALC                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | Bazilan Bahaldin/PSCALC 57 | BBI 2423                                                                | Sem.2 /Sesi 2016/2017 |                                                                  |  |         |              |        |          |                 |                     |         |                       |                 |                     |          |                       |         |                            |          |                       |         |                       |          |                       |
| 4. CALC                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | Pn Ooi Bee Lee/A02215      | BBC 2402                                                                | Sem.2 /Sesi 2016/2017 |                                                                  |  |         |              |        |          |                 |                     |         |                       |                 |                     |          |                       |         |                            |          |                       |         |                       |          |                       |
| <div style="display: flex; justify-content: space-between;"> <span>Juruaudit: </span> <span>Wakil Organisasi : _____</span> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <span>( Dr Montaj Mustakim )</span> <span>( _____ )</span> </div>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                            |                                                                         |                       |                                                                  |  |         |              |        |          |                 |                     |         |                       |                 |                     |          |                       |         |                            |          |                       |         |                       |          |                       |
| <b>Bahagian 2 - Keputusan hasil penyiasatan dan pengenalpastian punca</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                            |                                                                         |                       |                                                                  |  |         |              |        |          |                 |                     |         |                       |                 |                     |          |                       |         |                            |          |                       |         |                       |          |                       |
| Wakil Organisasi : _____                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                            |                                                                         |                       |                                                                  |  |         |              |        |          |                 |                     |         |                       |                 |                     |          |                       |         |                            |          |                       |         |                       |          |                       |
| <b>Bahagian 3 – Pembetulan, sekiranya berkenaan dan Pelan Tindakan Pembetulan termasuk tarikh pelaksanaan</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                            |                                                                         |                       |                                                                  |  |         |              |        |          |                 |                     |         |                       |                 |                     |          |                       |         |                            |          |                       |         |                       |          |                       |
| Wakil Organisasi : _____ Diterima oleh : _____                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                            |                                                                         |                       |                                                                  |  |         |              |        |          |                 |                     |         |                       |                 |                     |          |                       |         |                            |          |                       |         |                       |          |                       |
| <b>Bahagian 4 – Verifikasi terhadap tindakan pembetulan(untuk diisi oleh Juruaudit)</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                            |                                                                         |                       |                                                                  |  |         |              |        |          |                 |                     |         |                       |                 |                     |          |                       |         |                            |          |                       |         |                       |          |                       |
| Disemak oleh : _____                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                            |                                                                         |                       |                                                                  |  |         |              |        |          |                 |                     |         |                       |                 |                     |          |                       |         |                            |          |                       |         |                       |          |                       |
| Penutupan NCR : <input type="checkbox"/> Ya <input type="checkbox"/> Tidak<br>Tarikh : _____                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                            |                                                                         |                       |                                                                  |  |         |              |        |          |                 |                     |         |                       |                 |                     |          |                       |         |                            |          |                       |         |                       |          |                       |

**SIRIM QAS INTERNATIONAL SDN. BHD.**

|                                                                                                                                                                                                                                               |                                                           |                                                                                              |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------|----------------------------------------------------------------------------------------------|
| No. Fail: QU00510001[QM/6-262]                                                                                                                                                                                                                | <b>LAPORAN KETAKAKURAN<br/>( NONCONFORMITY REPORT )</b>   | No. : DMM 1                                                                                  |
| Jenis Audit : <input type="checkbox"/> Audit Pensiilan Peringkat 2<br><input checked="" type="checkbox"/> Audit Pemantauan<br><input type="checkbox"/> Audit Pensijilan Semula                                                                | Klasifikasi : Kecil/Besar<br><br>Standard : ISO 9001:2015 | Mukasurat    2   drpd   2<br><br>Tarikh audit: 15 September 2017                             |
| Organisasi : Universiti Putra Malaysia                                                                                                                                                                                                        |                                                           |                                                                                              |
| <b>Bahagian 1 - Butiran Ketakakuran</b>                                                                                                                                                                                                       |                                                           |                                                                                              |
| Keperluan :                                                                                                                                                                                                                                   |                                                           |                                                                                              |
| Klausa 8.5.1 (c) – Organisasi hendaklah melaksanakan aktiviti pemantauan dan pengukuran pada tahap yang sesuai untuk menentusahkan bahawa kriteria kawalan proses atau output dan kriteria penerimaan produk dan perkhidmatan telah dipenuhi. |                                                           |                                                                                              |
| Penemuan :                                                                                                                                                                                                                                    |                                                           |                                                                                              |
| Kaedah penilaian kursus telah dikenalpasti dalam Matrik Hasil Pembelajaran Kursus [CLO]. Namun begitu hasil pencapaian kursus ia itu Course Learning Outcome Analysis berdasarkan Matrik Hasil Pembelajaran Kursus tidak dapat disahkan.      |                                                           |                                                                                              |
| Bukti Penemuan :                                                                                                                                                                                                                              |                                                           |                                                                                              |
| Fakulti                                                                                                                                                                                                                                       | Kursus                                                    | Semester                                                                                     |
| CALC                                                                                                                                                                                                                                          | BBI 2423                                                  | Sem.2 /Sesi 2016/2017                                                                        |
| Juruaudit: _____<br>( Dr Montaj Mustakim )                                                                                                                                                                                                    |                                                           |                                                                                              |
| Wakil Organisasi : _____                                                                                                                                                                                                                      |                                                           |                                                                                              |
| <b>Bahagian 2 - Keputusan hasil penyiasatan dan pengenalpastian punca</b>                                                                                                                                                                     |                                                           |                                                                                              |
| Wakil Organisasi : _____                                                                                                                                                                                                                      |                                                           |                                                                                              |
| <b>Bahagian 3 – Pembetulan, sekiranya berkenaan dan Pelan Tindakan Pembetulan termasuk tarikh pelaksanaan</b>                                                                                                                                 |                                                           |                                                                                              |
| Wakil Organisasi : _____ Diterima oleh : _____                                                                                                                                                                                                |                                                           |                                                                                              |
| <b>Bahagian 4 – Verifikasi terhadap tindakan pembetulan(untuk diisi oleh Juruaudit)</b>                                                                                                                                                       |                                                           |                                                                                              |
| Disemak oleh : _____<br>( _____ )                                                                                                                                                                                                             |                                                           | Penutupan NCR : <input type="checkbox"/> Ya <input type="checkbox"/> Tidak<br>Tarikh : _____ |

| PELUANG PENAMBAHBAIKAN |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                            |
|------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------|
| Klausa                 | Butiran                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | Komen terhadap tindakan yang telah diambil |
| 6.1                    | <p><u>Tindakan menyatakan risiko dan peluang</u></p> <p>a. UPM belum mengaitkan lagi isu dalaman serta isu luaran yang telah dikenalpasti dan keperluan pihak yang berkepentingan untuk mengenalpasti risiko. Kaedah yang digunakan sekarang adalah dengan mengenalpasti risiko dari prosedur yang didokumenkan oleh PTJ sahaja, dan terdapat PTJ yang belum mempunyai prosedur yang didokumenkan. Ini menyebabkan pengenalpastian risiko adalah tidak menyeluruh berdasarkan kepada fungsi PTJ, isu dalaman serta luaran dan keperluan pihak yang berkepentingan terhadap PTJ tersebut.</p> <p>b. UPM belum lagi mengenalpasti keperluan peluang dengan secara terperinci, serta tindakan pelaksanaan terhadap peluang tersebut.</p> <p>c. UPM belum menilai secara keseluruhan keberkesanan tindakan yang diambil terhadap risiko serta peluang.</p> <p>Nota: Isu ini hendaklah diambil tindakan dan diserahkan bukti pelaksanaannya</p>                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                            |
| 8.4.2                  | <p><u>Kawalan terhadap proses, produk dan perkhidmatan sediaan luar Jenis Dan Takat Kawalan</u></p> <p>a. Ketika audit dijalankan terhadap pemantauan kawalan keselamatan yang disediakan oleh PJSD di Kolej Serumpun, didapati tiada dokumen yang menunjukkan bahawa pengawal keselamatan yang ditugaskan, telah melalui tapisan keselamatan oleh samada KDN atau PDRM. Perjanjian di antara PJSD dengan syarikat kawalan keselamatan tidak menyatakan had umur pengawal keselamatan yang dilantik. Audit mendapati terdapat pengawal keselamatan yang berumur 69 tahun dan 64 tahun. Di dalam perjanjian di antara PJSD dengan syarikat kawalan keselamatan, tidak dinyatakan keperluan untuk pengawal keselamatan menjalani pemeriksaan kesihatan apabila melepasi tahap umur tertentu, untuk memastikan tahap kecergasan badan untuk melakukan tugas.</p> <p>b. Pihak pengurusan kolej telah melaksanakan pemantauan terhadap Kafeteria Serumpun melalui Borang Pemantauan Premis Makanan. Ketika audit dijalankan, didapati belum terdapat tindakan yang diambil terhadap operator pengendali makanan yang tidak mematuhi keperluan yang ditetapkan BHEP seperti suntikan typhoid dan pemakaian penutup kepala, apron &amp; kasut. Di dalam perjanjian dengan UPM Holdings juga, perkara yang perlu dipatuhi oleh operator pengendali makanan, tidak dinyatakan dengan jelas.</p> |                                            |

Juruaudit : Hanida Ghazali

Tarikh : 26.09.2017

| PELUANG PENAMBAHBAIKAN |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                            |
|------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------|
| Klausa                 | Butiran                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | Komen terhadap tindakan yang telah diambil |
| 4.1                    | <p><b><i>Understand the organisation and its context</i></b></p> <p>1. Pusat Sains Marin telah mengenalpasti isu dalaman dan luaran, namun terdapat isu yang boleh diambil kira seperti bencana alam dan keselamatan daripada orang awam maupun pendatang asing.</p> <p>2. Kampus Bintulu telah mengenalpasti isu dalaman dan luaran, namun terdapat isu yang boleh diambil kira seperti masalah disiplin pelajar, kesedaran kakitangan tentang kepentingan keselamatan dan kesihatan, lokasi dan capaian internet.</p>            |                                            |
| 7.1.3                  | <p><b><i>Infrastructure</i></b></p> <p>1- Pusat Sains Marin mempunyai peralatan yang sesuai bagi penyelidikan namun terdapat peralatan yang rosak dan dalam proses pembaikan seperti Humidity Chamber dan Bot.</p> <p>2- Senarai aset dibangunkan namun terdapat aset yang tiada dalam senarai.</p>                                                                                                                                                                                                                                |                                            |
| 7.1.4                  | <p><b><i>Environment for the operation of processes</i></b></p> <p>Suasana &amp; kekemasan tempat kerja perlu ditingkatkan bagi mengelak kejadian tidak diingini, boleh ditingkatkan dengan pelaksanaan HIRADC di tempat kerja.</p>                                                                                                                                                                                                                                                                                                |                                            |
| 7.1.5.2                | <p><b><i>Measurement traceability</i></b></p> <p>Pusat Sains Marin telah membangunkan senarai peralatan yang perlu dikalibrasikan hasil daripada laporan audit dalaman 2017, namun termometer bagi pamantauan suhu air di Harchery masih tidak disenaraikan. Rujuk bahan rujukan Pembersihan Udang Galah, Idris Ahmad, Jabatan Perikanan Malaysia, 2014.</p>                                                                                                                                                                       |                                            |
| 8.5.1                  | <p><b><i>Control of production and service provision</i></b></p> <p>Prosedur Pengurusan Pembenihan Udang Galah</p> <p>1- Bacaan parameter di ambil bagi memastikan kualiti air seperti NH3, Klorin, suhu dsbnya, namun tidak direkodkan dengan berkala.</p> <p>2- Penggunaan oxygen tank dipantau namun tiada rekod penggunaan bagi memastikan tahap oxygen.</p> <p>Program siswazah- pembentukan dan pembanguan program</p> <p>1- Semakan ke atas kurikulum perlu dilaksanakan mengikut tempoh semakan yang ditetapkan semasa</p> |                                            |

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| 10.2 | <p>kelulusan program. Pihak fakulti telah melaksanakan semakan untuk 6 program dan dalam proses kelulusan di Lembaga Pengarah Universiti, namun terdapat program yang sudah melampaui tempoh semakan yang sepatutnya.</p> <p><b><i>Non-Conformity and corrective action</i></b></p> <p>Program Pascasiswazah –</p> <ol style="list-style-type: none"> <li>1- Analisa untuk Graduate on Time (GOT), bagi PhD &amp; Master telah dilakukan, didapati pencapaian adalah 0% GOT untuk Master manakalan PhD adalah 57.1%. Ini menunjukkan pencapaian bagi master adalah tidak tercapai, pihak fakulti masih tidak menganalisa punca ketidakcapaian KPI dan tindakan pembetulan yang perlu di ambil.</li> </ol> |  |
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| PELUANG PENAMBAHBAIKKAN                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                 |                                            |
|-------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------|
| Klausa                                                                  | Butiran                                                                                                                                                                                                                                                                                                                                                                                                         | Komen terhadap tindakan yang telah diambil |
| 4.4                                                                     | <p>Sistem pengurusan kualiti dan proses nya</p> <p>Proses proses berkaitan dengan penyelidikan didokumen secara “stand alone” dalam prosedur prosedur tertentu. Namun begitu adalah disarankan pemetaan keseluruhan proses penyelidikan diwujudkan bermula dari proses permohonan hingga graduat.</p>                                                                                                           |                                            |
| 7.1.3<br>[Kolej 5]                                                      | <p>Prasarana</p> <p>Pelaksanaan aktiviti penyelenggaraan oleh pihak kontrakator dilaksanakan seperti yang dirancang. Namun begitu kerja penyelenggaraan yang dilaksanakan khusus nya lokasi, peralatan yang diselenggara dan rekod rekod berkaitan boleh dibuktikan dalam laporan penyelenggaraan</p>                                                                                                           |                                            |
| 7.1.4 (c)<br>FPAS<br>Makmal<br>Penyelidi<br>Hydroged<br>ologi &<br>GIS] | <p>Persekitaran untuk operasi proses proses</p> <p>Untuk mencegah sebarang kemalangan berlaku, organisasi perlu memastikan persekitaran kerja yang kondusif dan selamat supaya ia tidak mengundang risiko kepada anggota kerja dengan memastikan bahan yang mudah bakar khusus nya highly flammable material tidak disimpan berdekatan oven dan disamping itu menyediakan kipas ventilation yang mencukupi.</p> |                                            |
| 7.5.3                                                                   | <p>Kawalan maklumat didokumentasikan</p> <p>Untuk memudahkan proses pendapatan semula (retrieval) rekod pelajar siswazah sama ada yang berkaitan dengan fakulti atau sekolah pengajian siswazah, adalah disyorkan rekod rekod ini disimpan dan diselenggara dalam satu folder atau fail.<br/>Penyediaan pengeluaran dan perkhidmatan</p>                                                                        |                                            |
| 8.5.1(c)<br>[Fakulti<br>Kejuruteraan]                                   | <p>i) Kehadiran pelajar dipantau melalui borang kehadiran sepanjang tempoh kuliah dan amali. Dimana maklumat ini tidak dimasukkan dalam SMP adalah disarankan peratus kehadiran pelajar sepanjang tempoh kursus direkodkan dalam borang berkenaan.</p>                                                                                                                                                          |                                            |
| [IBS]                                                                   | <p>ii) Penilaian prestasi projek dilaksanakan berdasarkan kriteria penilaian yang ditetapkan ia itu pencapaian pembantuan, status perbelanjaan dan output. Namun begitu pencapaian objektif penyelidikan seperti yang dinyatakan dalam cadangan projek [project proposal] boleh dibuktikan. Keperluan ini juga perlu ditetapkan sebagai salah satu keperluan dalam garispanduan PU/PY/GP16/PTJ.</p>             |                                            |
| Kolej 5 &<br>15                                                         | <p>iii) Larangan merokok telah ditetapkan dibawah klausa 42 Arahan Tetap Kolej Kediaman Pelajar UPM 2015. Penguatkuasaan dan keberkesanan larangan ini perlu dipantau kerana terdapat pelajar pelajar yang tidak mematuhi peraturan ini.</p>                                                                                                                                                                    |                                            |
| 10.2<br>[i-Putra]                                                       | <p>Ketakakuran dan tindakan pembetulan</p> <p>Pengesahan aduan yang diterima daripada pengadu dan pemakluman hasil siasatan aduan termasuk tindakan yang diambil dan analisis aduan dan tindakan penambahbaikan boleh dibuktikan.</p>                                                                                                                                                                           |                                            |

| PELUANG PENAMBAHBAIKKAN |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                            |
|-------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------|
| Klausa                  | Butiran                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Komen terhadap tindakan yang telah diambil |
| 7.1.3                   | <p><b><u>UPM Kampus Bintulu, Sarawak</u></b></p> <p><b><u>Infrastruktur</u></b></p> <p>Lawatan ke beberapa lokasi mendapati kebanyakan infrastruktur dan peralatan dalam keadaan memuaskan namun penambahbaikan boleh diterapkan kepada Rumah Pemprosesan Unggas seperti ulasan berikut:</p> <ol style="list-style-type: none"> <li>Tiada bukti jelas menunjukkan kawalan makhluk perosak (<i>pest control</i>) telah dilakukan secara berkala</li> <li>Keadaan peralatan seperti pisau tidak disusun dengan baik dan alatan kebersihan seperti sarung tangan tiada di tempat yang disediakan.</li> </ol>                                                     |                                            |
|                         | <p><b><u>8.2.1 Komunikasi pelanggan</u></b></p> <p>Merujuk kepada aktiviti pengurusan kolej kediaman, ianya menunjukkan komitmen dari pihak UPM dalam memberi perkhidmatan yang terbaik dapat dibuktikan. Namun, penambahbaikan ke atas aduan pelajar boleh ditambahbaik memandangkan terdapat beberapa aduan yang tidak dapat diselesaikan oleh pihak pengurusan kolej, lewat dikemukakan kepada Bahagian Pembangunan.</p> <p>Merujuk kepada beberapa aduan yang dipanjangkan kepada Bahagian Pembangunan, kesemua aduan telah diselesaikan dengan baik tetapi pengesahan oleh pihak pengadu setelah siap kerja pembaikan tidak dinyatakan dengan jelas.</p> |                                            |
|                         | <p><b><u>8.5.1 Kawalan penghasilan produk dan penzahiran perkhidmatan</u></b></p> <p>Semasa lawatan ke Kolej Kediaman Sri Rajang, audit mendapati beberapa senarai inventori yang dipaparkan tidak konsisten dengan jumlah perabot yang dibekalkan.</p> <p>Semasa inventori ke atas perabot kolej dijalankan, maklumat yang diperolehi tidak direkodkan dengan jelas, e.g. 2 katil tiada, dan tindakan susulan tidak dinyatakan dengan jelas.</p>                                                                                                                                                                                                             |                                            |

| OPPORTUNITIES FOR IMPROVEMENT |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                          |
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| Clause                        | Details                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Comments on action taken |
| 8.5.1                         | <p><b>Kawalan Penyediaan Pengeluaran dan Perkhidmatan Perkhidmatan Kesihatan Pekerjaan</b></p> <p>Perkhidmatan ini boleh dipertingkatkan lagi dengan adanya tindak susulan bagi setiap laporan "Medical Surveillance" yang telah dihantar kepada Pegarah Fakulti yang berkaitan. Ini adalah untuk memastikan setiap tindakan yang disyorkan dalam laporan tersebut dilaksanakan dan dapatkan maklumbalas status tindakan.</p> <p>Dengan adanya laporan status, Pihak Perkhidmatan Kesihatan Pekerjaan boleh menentukan isu tersebut boleh ditutupkan atau masih perlu dipantau.</p> <p><b>Perkhidmatan Kesihatan Awam</b></p> <p>Pemantauan terhadap laporan setiap premis makanan boleh dimantapkan dari segi memastikan tindak susulan dibuat dalam tempoh yang bersesuaian dengan impak ketidakakuran yang dikenalpasti / dilapor bagi memastikan tindakan pembetulan diambil dengan segera dan ketidakakuran tidak berterusan.</p> <p><b>Perkhidmatan Pergigian</b></p> <p>Catatan dalam Buku Temujanji boleh dipertingkatkan dari segi adanya catatan pergerakan pesakit/pindaan pesakit ke doktor yang lain supaya hitungan beban kerja adalah lebih tepat.</p> <p><b>Perkhidmatan Perubatan Sukan</b></p> <p>Catatan butiran pengurusan rawatan kepada pesakit boleh dimantapkan dari segi memastikan penemuan penilaian, target pelan tindakan jangka pendek dan panjang di rekodkan supaya penilaian keberkesanan rawatan boleh dibuat dengan tepat.</p> |                          |
| 8.5.4                         | <p><b>Pemeliharaan Perkhidmatan Makmal</b></p> <p>Cara penyimpanan spesimen dalam peti sejuk boleh dipertingkatkan dengan adanya label yang ketara dengan tarikh penyimpanannya supaya mengelak tersilap spesimen dibuang sebelum sampai tempoh masanya.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                          |
| 7.2                           | <p><b>Kekompetenan Semua Perkhidmatan</b></p> <p>Pengetahuan staf berkaitan dengan (i) peranan dan tanggungjawab mereka sewaktu penyelenggaraan peralatan medikal boleh dimantapkan dari segi memastikan laporan kalibrasi daripada pihak vendor adalah lengkap contohnya alat ujian yang digunapakai dinyatakan dan sijil kemudahan alat ujian dilampirkan bagi tujuan pengesahan</p> <p>(ii) penentuan 'setting alarm' tahap suhu minima dan maksima peti sejuk obatan / reagen</p> <p>(iii) mengenalpastian risiko spesifik bagi perkhidmatan.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                          |

Auditor: KHO YECK LAN (JENNY)

Date: 19 September 2017

| PELUANG PENAMBAHBAIKAN |                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                            |
|------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------|
| Klausa                 | Butiran                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Komen terhadap tindakan yang telah diambil |
| 7.1.2                  | <p><b>Modal Insan</b></p> <p>Modal insan yang diperlukan telah dikenalpasti selaras dengan keperluan pelaksanaan sistem pengurusan kualiti. Namun begitu, perhatian boleh diberikan terhadap keperluan pertambahan modal insan bagi proses-proses yang memberikan impak signifikan terhadap keberkesanan operasi dan kawalan prosesnya.</p> <p>Untuk :</p> <ol style="list-style-type: none"> <li>1) Bahagian Keselamatan (BKU)</li> </ol>                           |                                            |
| 5.1.2                  | <p><b>Fokus kepada Pelanggan</b></p> <p>Organisasi telah membangunkan kumpulan soalan lazim (FAQ) sebagai satu usaha untuk meningkatkan kepuasan pelanggan. Lanjutan itu, koleksi soalan lazim ini boleh ditambah baik dengan mengambil kira input-input dari PTJ lain dan dikongsikan di medium yang mudah dicapai pada semua peringkat.</p> <p>Untuk :</p> <ol style="list-style-type: none"> <li>1. Pejabat Strategi Korporat dan Komunikasi (COSCOMM)</li> </ol> |                                            |
| 8.4.3                  | <p><b>Maklumat untuk penyedia luar</b></p> <p>Kontrak perjanjian antara organisasi dan penyedia luar telah dibangun dan dikomunikasikan. Perincian keperluan di dalam kontrak sedia ada boleh diperhalusi bagi memastikan kecukupan keperluan agar penyedia luar dapat memenuhi kehendak organisasi.</p> <p>Untuk :</p> <ol style="list-style-type: none"> <li>1. Kolej Mohamad Rashid (KMR)</li> </ol>                                                              |                                            |

| PELUANG PENAMBAHBAIKKAN |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                            |
|-------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------|
| Klausa                  | Butiran                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Komen terhadap tindakan yang telah diambil |
| 8.5.1<br>(PD)           | <p><b>Control of Production and Service Provision</b></p> <ol style="list-style-type: none"> <li>Proses pengesahan assessment plan (coursework/final % break down) yang dirancang oleh pensyarah kurang jelas dimana kini <i>coursework/final % break down</i> yang ditentukan dalam system SMP tidak melalui pengesahan ketua Jabatan.<br/>Contoh: <b>Fakulti Pertanian</b><br/>Syllabus AGR 3002 – Course work – 80% Final – 20%<br/>% dalam system - Course work – 70% Final – 30%</li> <li>Proses kemasukan markah dan pengesahan markah boleh dimantapkan lagi supaya <i>final marks</i> di dalam system tidak berbeza dengan <i>raw marks</i>.</li> </ol> |                                            |
| 8.5.4<br>(PD)           | <p><b>Preservation</b></p> <p>Tempat penyimpanan sample penyelidikan yang sesuai boleh dikenalpasti agar sample tidak mudah tercemar.</p> <p>Contoh: makmal Kimia Polimer 2<br/>sample pelajar berlabel TIO-850c &amp; Fiber corn stover &gt;300µm telah dijumpai dalam cabinet bahan kimia berbahaya</p>                                                                                                                                                                                                                                                                                                                                                       |                                            |