



File no. : 20190100614

Date : 9<sup>th</sup> September 2019

Universiti Putra Malaysia  
43400 Serdang  
Selangor Darul Ehsan

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**ISO 9001:2015 - SURVEILLANCE AUDIT PLAN**

Please be informed that a Surveillance Audit of your organization's management system has been scheduled on 17<sup>th</sup> until 27<sup>th</sup> September 2019.

Enclosed please find the audit plan. Please note that the audit plan serves as a guide and may change as the audit progresses.

Thank you.

Yours sincerely,

*Hanida Ghazali*

Hanida Ghazali  
Audit Team Leader  
Service Section  
Management System Certification Department  
SIRIM QAS International Sdn. Bhd.  
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## SURVEILLANCE AUDIT PLAN

### 1. **Audit objectives**

- a) To evaluate the continued compliance of the client's management system to the requirements of the standard;
- b) To evaluate the continued ability of the management system to ensure client meets applicable statutory, regulatory and contractual requirements, where applicable;
- c) To evaluate whether the operation of the management system contributes to the achievement of the organization's objectives and the intended results of the management system;
- d) To identify areas of improvement of the management system, as applicable;
- e) To assess changes that have been made to the client's management system;
- f) To verify the correct use of marks and/or other references to certification;
- g) To verify the effective implementation of corrective actions arising from the findings of the previous audit (if applicable).

2. **Date of audit** : 17<sup>th</sup> until 27<sup>th</sup> September 2019

3. **Site of audit** :

Universiti Putra Malaysia  
43400 Serdang  
Selangor Darul Ehsan

Site 2  
Kampus Bintulu  
Jalan Nyabau  
97008 Bintulu

4. **Scope of certification** :

*Penyelidikan, Perhubungan Industri dan Masyarakat, Pengurusan Pembangunan Pelajar dan Alumni, dan Perkhidmatan Korporat*

5. **Audit criteria**

- a) ISO 9001:2015
- b) Client's quality system documentation

**6. Audit team & role**

- a) Audit Team Leader : Hanida Ghazali
- b) Auditor : Maznah Mat Isa  
Mohd Nasim Zakaria  
Dr Hj Montaj Mustakim  
Parimala Devi Ganesan  
Mani Maaran Krishan
- c) Trainee auditor/  
Technical Expert/  
Observer/ Translator/  
Interpreter etc. : -

*(If there is any objection to the proposed audit team, the client is required to inform the Audit Team Leader/ Head of Section in writing with reason(s) for the objection)*

**7. Methodology of audit**

- a) Review of documentation and records
- b) Observation of processes and activities
- c) Interview with client's personnel responsible for the audited area

**8. Confidentiality requirements**

The members of the audit team from SIRIM QAS International Sdn. Bhd. undertake not to disclose any confidential information obtained during the audit including information contained in the final report to any third party, without the express approval of the client unless required by law.

- 9. **Working language** : English and Bahasa Melayu

**10. Reporting**

- i) Language : Bahasa Melayu
- ii) Format : Verbal and written
- iii) Expected date of issue : After closing meeting
- iv) Distribution List : Original copy issued to the client and copy maintained in the client file

**11. Facilities and assistance required :**

- i) Meeting room
- ii) Facilities for photocopying
- iii) Personal protective equipment (where necessary)
- iv) A guide (who may also be the auditee) to assist the audit team

- 12. **Details of audit plan** : As follows

	17.09.19	18.09.19	19.09.19	20.09.19	23.09.19	24.09.19	25.09.19	26.09.19	27.09.19
Hanida	Pusat Jaminan Kualiti (Semakan dokumen dan Pengurusan Risiko)	Fakulti Perhutanan (Latihan Industri)			Pusat Asasi Sains Pertanian	Pusat Asasi Sains Pertanian	Pejabat Penasihat Undang-undang	Pusat Jaminan Kualiti (audit dalaman)	Pusat Jaminan Kualiti (MKSP)
Maznah Mat Isa	Fakulti Perubatan Dan Sains Kesihatan	Fakulti Perubatan Dan Sains Kesihatan	Fakulti Sains Dan Teknologi Makanan	Fakulti Sains Dan Teknologi Makanan	Fakulti Ekologi Manusia	Fakulti Ekologi Manusia	Penerbit	Kolej Pendeta Zaaba	Pejabat Strategik Korporat Dan Komunikasi (Kepuasan pelanggan dan aduan pelanggan)
Mohd Nasim Zakaria					Fakulti Pertanian, Sains Dan Teknologi, Kampus Bintulu	Fakulti Pertanian, Sains Dan Teknologi, Kampus Bintulu	Kolej Sri Rajang Kampus Bintulu	Perpustakaan Kampus Bintulu	Pusat Islam
Dr Montaj Mustakim	Fakulti Rekabentuk Dan Senibina	Fakulti Rekabentuk Dan Senibina			Fakulti Pengajian Pendidikan	Fakulti Pengajian Pendidikan	Pejabat Bursar	Pendaftar (Latihan dan Pengetahuan Organisasi)	Unit Integriti
Parimala Devi Ganesan							Kolej Canselor	Kolej 12	Pejabat Naib Canselor
Mani Maaran Krishan					Kolej 14	Kolej 17	Institut Pengajian Sains Sosial	Institut Kajian Dasar Pertanian Dan Makanan	

**DETAILS OF AUDIT PLAN**

Day 1 :		
Time	Agenda	Responsibility
0930 - 1000	Opening Meeting  Briefing by client's representative on any changes to the system since last audit  Briefing by SIRIM	SIRIM's auditors and client's representatives
1000 - 1700	Review of actions taken on issues identified during the previous audit	SIRIM's auditors and client's representatives
	Operation (Pusat Jaminan Kualiti) Activities related to control of documented information and management of risks and opportunities	Hanida and client's representatives
	Operation Activities related to: 1. Curriculum Design & Development 2. Teaching And Learning Services at Tertiary Level 3. Management And Implementation of Research and Innovation  Note: Audit processes will include the audit on context of the organization, leadership, planning, support, performance evaluation and improvement.	Maznah (FPDSK) Montaj (FRDS) and client's representatives
1700	Review of Day 1 Findings (where necessary)	SIRIM's auditors and client's representatives

Day 2 :		
Time	Agenda	Responsibility
0930 - 1700	Operation Activities related to Industrial Training (Fakulti Perhutanan)  Note: Audit processes will include the audit on context of the organization, leadership, planning, support, performance evaluation and improvement.	Hanida and client's representatives
	Operation Activities related to: 1. Curriculum Design & Development 2. Teaching And Learning Services at Tertiary Level 3. Management And Implementation of Research and Innovation  Note: Audit processes will include the audit on context of the organization, leadership, planning, support, performance evaluation and improvement.	Maznah (FPDSK) Montaj (FRDS) and client's representatives
1700	Review of Day 1 Findings (where necessary)	SIRIM's auditors and client's representatives

Day 3 :		
Time	Agenda	Responsibility
0930 - 1700	<p>Operation</p> <p>Activities related to:</p> <ol style="list-style-type: none"> <li>1. Curriculum Design &amp; Development</li> <li>2. Teaching And Learning Services at Tertiary Level</li> <li>3. Management And Implementation of Research and Innovation</li> </ol> <p>Note: Audit processes will include the audit on context of the organization, leadership, planning, support, performance evaluation and improvement.</p>	Maznah (FSTM) and client's representatives
1700	Review of Day 1 Findings (where necessary)	SIRIM's auditors and client's representatives

Day 4 :		
Time	Agenda	Responsibility
0930 - 1700	<p>Operation</p> <p>Activities related to:</p> <ol style="list-style-type: none"> <li>1. Curriculum Design &amp; Development</li> <li>2. Teaching And Learning Services at Tertiary Level</li> <li>3. Management And Implementation of Research and Innovation</li> </ol> <p>Note: Audit processes will include the audit on context of the organization, leadership, planning, support, performance evaluation and improvement.</p>	Maznah (FSTM) and client's representatives
1700	Review of Day 1 Findings (where necessary)	SIRIM's auditors and client's representatives

Day 5 :		
Time	Agenda	Responsibility
0930 - 1700	<p>Operation</p> <p>Activities related to:</p> <ol style="list-style-type: none"> <li>1. Curriculum Design &amp; Development</li> <li>2. Teaching And Learning Services at Tertiary Level</li> <li>3. Management And Implementation of Research and Innovation</li> </ol> <p>Note: Audit processes will include the audit on context of the organization, leadership, planning, support, performance evaluation and improvement.</p>	Hanida (Asasi Sains) Maznah (FEM) Nasim (FPST) Montaj (FPP) and client's representatives
	<p>Operation</p> <p>Activities related to Kolej 14</p> <p>Note: Audit processes will include the audit on context of the organization, leadership, planning, support, performance evaluation and improvement.</p>	Mani and client's representatives
1700	Review of Day 1 Findings (where necessary)	SIRIM's auditors and client's representatives

Day 6 :		
Time	Agenda	Responsibility
0930 - 1700	Operation Activities related to: <ol style="list-style-type: none"> <li>1. Curriculum Design &amp; Development</li> <li>2. Teaching And Learning Services at Tertiary Level</li> <li>3. Management And Implementation of Research and Innovation</li> </ol> Note: Audit processes will include the audit on context of the organization, leadership, planning, support, performance evaluation and improvement.	Hanida (Asasi Sains) Maznah (FEM) Nasim (FPST) Montaj (FPP) and client's representatives
	Operation Activities related to Kolej 17  Note: Audit processes will include the audit on context of the organization, leadership, planning, support, performance evaluation and improvement.	Mani and client's representatives
1700	Review of Day 1 Findings (where necessary)	SIRIM's auditors and client's representatives

Day 7 :		
Time	Agenda	Responsibility
0930 - 1700	Operation Activities related to Pejabat Penasihat Undang-undang  Note: Audit processes will include the audit on context of the organization, leadership, planning, support, performance evaluation and improvement.	Hanida and client's representatives
	Operation Activities related to Penerbit  Note: Audit processes will include the audit on context of the organization, leadership, planning, support, performance evaluation and improvement.	Maznah and client's representatives
	Operation Activities related to Kolej Sri Rajang Kampus Bintulu  Note: Audit processes will include the audit on context of the organization, leadership, planning, support, performance evaluation and improvement.	Nasim and client's representatives
	Operation Activities related to Pejabat Bursar  Note: Audit processes will include the audit on context of the organization, leadership, planning, support, performance evaluation and improvement.	Montaj and client's representatives
	Operation Activities related to Kolej Canselor  Note: Audit processes will include the audit on context of the organization, leadership, planning, support, performance evaluation and improvement.	Parimala and client's representatives

	<p>Operation Activities related to Institut Pengajian Sains Sosial</p> <p>Note: Audit processes will include the audit on context of the organization, leadership, planning, support, performance evaluation and improvement.</p>	<p>Mani and client's representatives</p>
1700	Review of Day 1 Findings (where necessary)	SIRIM's auditors and client's representatives

Day 8:		
Time	Agenda	Responsibility
0930 - 1700	<p>Performance Evaluation - Internal audit</p>	<p>Hanida and client's representatives</p>
	<p>Operation Activities related to Kolej Pendeta Zaaba</p> <p>Note: Audit processes will include the audit on context of the organization, leadership, planning, support, performance evaluation and improvement.</p>	<p>Maznah and client's representatives</p>
	<p>Operation Activities related to Perpustakaan Kampus Bintulu</p> <p>Note: Audit processes will include the audit on context of the organization, leadership, planning, support, performance evaluation and improvement.</p>	<p>Nasim and client's representatives</p>
	<p>Operation Activities related to Pejabat Pendaftar (competency &amp; organizational knowledge)</p> <p>Note: Audit processes will include the audit on context of the organization, leadership, planning, support, performance evaluation and improvement.</p>	<p>Montaj and client's representatives</p>
	<p>Operation Activities related to Kolej 12</p> <p>Note: Audit processes will include the audit on context of the organization, leadership, planning, support, performance evaluation and improvement.</p>	<p>Parimala and client's representatives</p>
	<p>Operation Activities related to Institut Kajian Dasar Pertanian Dan Makanan</p> <p>Note: Audit processes will include the audit on context of the organization, leadership, planning, support, performance evaluation and improvement.</p>	<p>Mani and client's representatives</p>
1700	Review of Day 1 Findings (where necessary)	SIRIM's auditors and client's representatives

Day 9:		
Time	Agenda	Responsibility
0930 - 1700	Performance Evaluation - Management review	Hanida and client's representatives
	Operation Activities related to Pejabat Strategik Korporat Dan Komunikasi (customer satisfactions & complaints)  Note: Audit processes will include the audit on context of the organization, leadership, planning, support, performance evaluation and improvement.	Maznah and client's representatives
	Operation Activities related to Pusat Islam  Note: Audit processes will include the audit on context of the organization, leadership, planning, support, performance evaluation and improvement.	Nasim and client's representatives
	Operation Activities related to Unit Integriti  Note: Audit processes will include the audit on context of the organization, leadership, planning, support, performance evaluation and improvement.	Montaj and client's representatives
	Operation Activities related to Pejabat Naib Canselor  Note: Audit processes will include the audit on context of the organization, leadership, planning, support, performance evaluation and improvement.	Parimala and client's representatives
1530 - 1630	Preparation of Report	SIRIM's auditors
1630	Closing Meeting : Presentation of Findings and Recommendation	SIRIM's auditors and client's representatives