

Universiti Putra Malaysia

SELF-REVIEW PORTFOLIO

for

Institutional Maintenance Audit
of Self Accreditation Status | **2020**

PART C

CRITERIA AND STANDARDS FOR SELF-ACCREDITING INSTITUTION

Universiti Putra Malaysia Self-Review Portfolio
for Institutional Maintenance Audit
of Self Accreditation Status 2020



UPM
UNIVERSITI PUTRA MALAYSIA
BERILMU BERBAKTI





AREA 1

Institutional Leadership and Governance



Universiti Putra Malaysia Self-Review Portfolio
for Institutional Maintenance Audit
of Self Accreditation Status 2020







AREA 1

INSTITUTIONAL LEADERSHIP AND GOVERNANCE


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| 1.1 REVIEW OF VISION, MISSION AND EDUCATIONAL GOALS | | |
| <p>UPM refines its vision, mission and educational goals periodically (1.1.1) and have been formulated in consultation with a wider range of stakeholders in line with national and global developments (1.1.2). UPM vision, mission and educational goals are disseminated to its internal and external stakeholders through various platforms and UPM stays true to its vision of becoming a university of international repute (1.1.3)</p> | | |
| 1.1.1 | <p>The HEP must review or revisit its vision, mission and educational goals, in line with national and global developments.</p> <p>The vision of Universiti Putra Malaysia is:</p> <p>To Become A University of International Repute</p> <p>The mission of Universiti Putra Malaysia is:</p> <p>To make meaningful contributions towards wealth creation, nation building and universal human advancement through the exploration and dissemination of knowledge</p> <p>Based on the above-stated vision and mission, the University further established educational goals encapsulated and realised in five strategic goals. These goals are:</p> <ol style="list-style-type: none"> 1. Enhancing the quality and competitiveness of graduates 2. Creating value through strong and sustainable Research, Development, Commercialisation and Extension (RDCE) 3. Boosting industry and community networking services 4. Strengthening UPM as a centre of excellence in agriculture 5. Enhancing the quality of governance <p>The current <i>Pelan Strategik UPM 2014 - 2020</i> has retained the vision, mission and educational goals outlined earlier as they are still relevant and are very much in line with national and global developments as outlined in the National Economic Transformation Program (2010) and Government Transformation Program (GTP 2.0, 2012). The mission and goals are also evident and spelt out clearly in the Malaysia Education Blueprint 2015 - 2025.</p> | |

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| | <p>UPM refines its vision, mission and goals periodically. This has been practised since 2013. The vision, mission and strategic goals were reviewed and revisited during the document's development and implementation when the UPM Strategic Plan 2014 – 2020 was outlined. Presently, UPM is reviewing its Strategic Plan for the next five years, i.e. 2021-2025. (Appendix 1.1.1).</p> <p>UPM also realises the need to formalise educational goals to be relevant for all programmes at the University. Efforts are being made to document these educational goals in line with the requirements and expectations of the Ministry of Higher Education (MOE). The need to address issues with regard to graduate employability is important.</p> | <p>Supporting Document</p> <p>Refer to the link : <i>Pelan Strategik UPM 2014-2020</i> (Frontpage, Page 22 & 25) (For reviewing process – Page 14)</p>  <p>Appendix 1.1.1 Gantt Chart in reviewing <i>Pelan Strategik UPM 2014-2020</i></p> |
| <p>1.1.2</p> | <p>The new/existing vision, mission and educational goals must be approved by a governing board or other appropriate body to be relevant and current.</p> <p>The vision, mission and strategic goals of the University are approved by the University Management Committee (JPU) and University Board of Directors (LPU) (Appendix 1.1.2). Members of JPU and LPU are prominent and outstanding individuals entrusted to project and guide the University through their areas of expertise.</p> <p>The JPU comprises the Vice Chancellor (as Chairman), Deputy Vice Chancellors, Registrar, Bursar, Chief Librarian, Legal Advisor and the Director of the Centre for Corporate Strategy and Relations (PSPK).</p> <p>Members of the LPU are appointed by the Minister of Higher Education normally for a period of not exceeding three (3) years. These appointees may be reappointed once they complete their current appointment. The Secretary of the LPU is the Registrar of the University and is appointed by the Chairman of the LPU. The Chairman and three other members of the LPU make up the quorum required for a meeting to be convened. Other members of the LPU include two persons representing the government, one person from the local community, and not more than three persons, who because of their knowledge or experience, would in the opinion of the Minister, be of assistance to the LPU. At least one of these individuals should be from the private sector.</p> | <p>Appendix 1.1.2 JPU minute of meeting</p> |
| <p>1.1.3</p> | <p>The HEP must disseminate the vision, mission and strategic goals to its internal and external stakeholders.</p> <p>The vision, mission and strategic goals are disseminated to internal and external stakeholders through the official</p> | <p>Refer to the link :</p> <ul style="list-style-type: none"> • UPM Website  |

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| | <p>UPM website and the Pelan Strategik UPM 2014 - 2020 document. The University also regularly conducts in-service training for staff and orientation programmes for new students and staff. The University often engages with all stakeholders via the Vice Chancellor's annual address, organised roadshows, email communication, and information circulated in the UPM official planner (yearly diary). (Appendix 1.1.3 a and 1.1.3 b)</p> | <p>• <i>Pelan Strategik UPM 2014-2020</i></p>  <p>• <i>Perutusan Naib Canselor 2021</i></p>  <p>• <i>Laporan Tahunan 2019</i></p>  <p>Appendix 1.1.3 a <i>Majlis Konvokesyen UPM Book (page 12)</i></p> <p>Appendix 1.1.3 b <i>Bengkel Penilaian Pencapaian KPI UPM 2020</i></p> |
| <p>1.2 FORMULATION AND DEPLOYMENT OF STRATEGIC PLANS</p> | | |
| <p>UPM's vision and mission which include the educational goals, are translated into its strategic plan 2014 – 2020, which consists of five goals via consultation with internal and external principal stakeholders (1.2.1) which are then disseminated and deployed to UPM key personnel such as Deputy Vice Chancellors, Bursar and Registrar for implementation (1.2.2). The implementation of the strategic plans is measured in the form of Key Performance Indicators (KPIs). The effectiveness of monitoring and reviewing the KPIs progress and performance has contributed to UPM's achievement in obtaining international recognition (1.2.3). Currently, UPM is working on a new strategic plan for 2021 – 2025.</p> | | |
| <p>1.2.1</p> | <p>The vision, mission and institutional goals, including the goals must be translated into the HEP's strategic plans, in consultation with the relevant stakeholders.</p> <p>UPM has established five (5) goals to help it realise and achieve its vision and mission. These five goals are translated into the Strategic Objectives outlined in the Pelan Strategik UPM 2014 - 2020. These strategic objectives are:</p> <ol style="list-style-type: none"> 1. Enhancing the quality and competitiveness of graduates: <ol style="list-style-type: none"> i. To add value (value-adding) and enhance academic quality ii. To strengthen innovation in teaching and learning iii. To holistically enhance students' value and potential | <p>Refer to the link : <i>Pelan Strategik UPM 2014-2020 - Page 15</i> (List and involvement of stakeholders)</p>  |

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| | <p>2. Creating value through a strong and sustainable Research, Development, Commercialisation and Extension (RDCE):</p> <ol style="list-style-type: none"> i. High performance human capital ii. Steady and sustainable policies, resources and systems iii. Innovations to generate value for the University, industry and society <p>3. Boosting industry and community networking services:</p> <ol style="list-style-type: none"> i. Empowering the role of industry and social networks in line with national and international needs ii. Spreading the University's expertise for industry and community via industry and social networking iii. Income creation to support industrial and social activities <p>4. Strengthening UPM as a centre of excellence in agriculture:</p> <ol style="list-style-type: none"> i. To enhance skills in agriculture and human resources at national and international levels ii. To produce graduates with agricultural entrepreneurial skills and attributes iii. To become a resource centre for food security innovations iv. To lead sustainable farming innovations v. To become a repository and an innovative agro-diversity centre vi. To enhance income creation through agriculture <p>5. Enhancing the quality of governance:</p> <ol style="list-style-type: none"> i. To strengthen governance practices ii. To enhance strict organisational compliance iii. To practise efficient and effective financial management based on university budget iv. To enhance the infrastructure for information technology and communication services <p>UPM solicits both its internal and external principal stakeholders' views to formulate its vision, mission, strategic goals and educational programmes. Internal stakeholders consist of students, academic and non-academic staff from faculties, schools, research institutes, academies and service centres. Administrative and management staff of the University are also consulted. Opinions and suggestions from the LPU are also taken into consideration. External stakeholders comprise those from government organisations, employers, alumni, academic experts and programme assessors.</p> <p>Stakeholder participation is usually seen in their roles and their participation in academic programme committees, faculty industrial training advisory committees and Board of Studies Committees pertaining to programme design</p> | |

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| | <p>and development at various faculties. All these serve as input into the strategic plan for the University. LPU gives approval to the university strategic plan. The Senate approves all academic policies and programmes. Some other entities that are often called upon to participate and contribute to designing and developing strategic goals and educational programmes are University staff associations and representatives from professional bodies. However, it must be noted that final approval for all academic programmes is rendered by the Ministry of Higher Education (MoHE).</p> <p>With stakeholder engagement for the formulation and development of UPM's vision, mission, strategic goals and educational programmes, the University also consults and involves stakeholders on an on-going basis for review and improvement purposes. These are conducted through meetings, discussions and exchange of visits. These results in a refinement of the understanding, formulation and implementation of the vision, mission and goals of the University. Nowadays, the University also uses social media as an avenue for external stakeholders and the public to forward their suggestions, complaints and comments. Feedback is also obtained from industrial training providers relevant to the assessment of student competency. This feedback is also an important contributor towards improving the vision, mission and strategic goals of UPM.</p> <p>In addition, the University obtains input from stakeholders through alumni tracer studies, student exit surveys and employer surveys. Finally, UPM also administers industrial market surveys towards ensuring the relevance and value of the programmes offered. Efforts towards engaging with internal and external stakeholders are directed towards striving and achieving the stipulated University goals and objectives.</p> <p>UPM is currently developing its new Strategic Plan for the period of 2021-2025 by setting up working committees and gathering input by having engagement sessions with stakeholders through the Public Dialogue Report Pelan Strategik (PS) UPM 2014-2020 and PS 2021-2025 sessions.</p> | <p>Refer to the link : List of committee members involved in developing <i>Pelan Strategik UPM 2021-2025</i></p>  |
| 1.2.2 | <p>The strategic plans must be disseminated and deployed to designated parties for implementation.</p> <p>UPM aims to be a University of international repute. In line with this strategic plan, must be shared by every member of UPM. To realise the University's vision and mission, the strategic plan also emphasises the values of Excellence,</p> | <p>Refer to the link : <i>Pelan Strategik UPM 2014-2020</i> (page 25-27) and (Page 26: Figure 'realisasi visi UPM')</p>  |

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| | <p>Diversity, Sustainability and Integrity that must be embraced by all. This would then help to push upwards and make the initiatives contained in the five (5) goals achievable. The Vice Chancellor entrusted the Corporate Planning Director with the responsibilities to coordinate programmes and activities led by UPM key personnel such as the Deputy Vice Chancellors, Bursar and Registrar towards achieving this aim.</p> <p>The strategic plan is disseminated through roadshows led by the Deputy Vice Chancellors and their officers at all entities within UPM. All Deputy Vice Chancellors focus on their own designated goals and initiatives outlined and directed by their portfolios (Appendix 1.2.2).</p> <p>It is also the responsibility of the deans and heads of PTJ (<i>Pusat Tanggungjawab</i>) to disseminate the strategic plan to all UPM personnel. These are measured in the form of key performance indicators (KPIs) anchored on staff and student excellence, employability and marketability, University ranking, research and industry linkages, social and community commitments, human capital development, internationalisation, cost-effectiveness and lean organisational management efforts. These KPIs are then passed down to individual personnel of the University.</p> <p>The University has constant engagement with all PTJ to monitor the progress and performance of these KPIs. Progress reports are presented continuously and assessed through quarterly workshops attended by key University personnel and senior officers of the University (<i>Pegawai Kanan Universiti</i>). At these quarterly workshops, strengths are highlighted, weaknesses are analysed, and solutions are sought.</p> | <p>Appendix 1.2.2 JPU Minute Meeting on KPI UPM 2020</p> |
| <p>1.2.3</p> | <p>The implementation of the strategic plans, including the associated action plans, must be monitored and reviewed in accordance with institutional goals.</p> <p>The implementation of the strategic plans, including their associated action plans, are executed and monitored by Deans and Heads and are reviewed and discussed by the management, faculties, and entities. These department meetings forward suggestions and remedies for improving the planning and implementation of these action plans to ensure the success of the <i>Pelan Strategik UPM 2014 – 2020</i>. (Appendix 1.2.3).</p> <p>In line with its mission to be a university of international repute, UPM emphasises achievement, recognition and standing in the global arena. UPM has achieved many international recognitions.</p> | <p>Refer to the link : Appendix 1.2.3 Refer to Appendix 1.1.3 b <i>Bengkel Penilaian Pencapaian KPI 2020</i></p> <p>Refer to the link : Facts and Figures 2020</p>  |

1.3 INSTITUTIONAL AND ACADEMIC LEADERSHIP

UPM has developed and implemented the Succession Plan Policy, which comprises the framework and management protocol of UPM talent pool design for the academic and non-academic staff **(1.3.1)**. The successful implementation of the policy is proven by the achievement of UPM mission and goals **(1.3.2 and 1.3.3)**. Besides, UPM has also developed and implemented talent management plan and succession plan for its institutional and academic leaders, as well as specific KPIs for performance evaluation of the leaders in relation to the achievement of the mission and institutional goals of the HEP **(1.3.4)**.

1.3.1 The selection criteria, including job description, qualifications and experience, and mechanisms for selection of institutional leaders and academic leaders at the department and programme levels must be established, documented and disseminated.

Selection Process and Criteria of Institutional Leadership (University Management Committee)

The appointment of University leaders is based on the following guidelines as outlined in the Universities and University Colleges Act (AUKU) 1971/Perlembagaan UPM 31 December 2010 document. They are listed as below:

(a) The Vice Chancellor is appointed by the Minister of Education upon the Vice Chancellor Search Committee's recommendation, which is led by The Chairman of the University Board of Directors (LPU). The Vice Chancellor reports directly to the MOE and UPM LPU.

The specific job description of the Vice Chancellor is specified as:

“The Vice Chancellor shall be the chief executive officer and shall be responsible for the overall administrative, academic and management functions and the day-to-day affairs of the University. The Vice Chancellor shall, subject to the provisions of this Constitution, exercise general supervision over the arrangements for instruction, research, finance, administration, welfare and discipline in the University, and may exercise such other powers as may be conferred upon him by this Constitution and any statute, rules or regulations.”


(b) Deputy Vice Chancellors are appointed by the Minister of Education upon the recommendation of the Deputy Vice Chancellors Search Committee. The Deputy Vice-Chancellors report to the Vice Chancellor.


Refer to the link :

Perintah Universiti dan Kolej Universiti (Pengubahan dari penambahan kepada Perlembagaan Universiti Putra Malaysia) 2010






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| <p>The specific selection mechanism is specified as below:</p> <p>“The Deputy Vice Chancellor as the case may be, shall be appointed by the Minister on the advice of the committee appointed under section 4A of the Act and after consultation with the Vice Chancellor, and any fit and proper person may be so appointed either from within or without the University; the terms of office and other conditions of service of a Deputy Vice Chancellor shall be determined by the Minister after consultation with the Vice Chancellor, and shall be binding on the University.”</p> <p>(c) For the positions of Registrar, Bursar, Chief Librarian and Legal Advisor, the specific selection mechanism is specified under AUKU 1971/Perlembagaan UPM 31st December 2010 as specified below:</p> <p>“(1) There shall be a Registrar, a Bursar, a Chief Librarian and a Legal Adviser, who shall be full-time officers of the University and shall have such powers and duties as may be prescribed by statute. (2) The post of the Registrar, Bursar, Chief Librarian and Legal Adviser may be known by such other names as may be determined by the Board. (3) The Registrar, the Bursar, the Chief Librarian and the Legal Adviser shall be appointed by the Board on the advice of the Selection Committees. (4) Subject to the provisions of this Constitution, other terms and conditions of appointment of the Registrar, the Bursar, the Chief Librarian and the Legal Adviser shall be determined by the Board.”</p> <p>Selection Process and Criteria of Academic Leadership</p> <p>The appointment of Dean and Head of Department as academic programme and department leaders is based on the following processes as outlined in the AUKU 1971/Perlembagaan UPM 31st December 2010 document:</p> <p>(a) Deans, Directors, Deputy Deans, and Deputy Directors are appointed by the Vice Chancellor upon the recommendation of the search committee. Deans and Directors report to the Vice Chancellor while Deputy Deans and Deputy Directors report to their respective Deans and Directors.</p> <p>(b) Heads of Departments are appointed by the Vice Chancellor after consultation with the relevant Deans and Deputy Vice Chancellors.</p> <p>The selection criteria for candidates for the post of academic leaders may include the following:</p> <p>(a) The candidates must have an excellent academic standing in their areas of expertise and are recognised</p> | |

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| | <p>by their academic peers for their contribution towards advancement of knowledge via publication of books, journal articles or other materials.</p> <p>(b) The candidates should also possess managerial and leadership skills that would enable them to steer and lead their faculties/institutes/ academic centres in achieving the goals of the University.</p> <p>(c) The candidate must understand and be able to realise the vision, mission and objectives of the strategic plans of the University and the faculties/institutes/academic centres.</p> <p>The leaders of academic programmes and departments are chosen from among academic members of a faculty.</p> <p>The specific selection mechanism and job descriptions are specified according to the Constitution of the Universiti Putra Malaysia (2010), under Section 24, which states that:</p> <p>(4) The Vice Chancellor shall, after consultation with the teacher of each Faculty, appoint a Dean in respect of each Faculty and at least one Deputy Dean. The Board shall be informed of the appointments as soon as may be. The Dean shall be chairman of the Faculty and shall exercise such other functions as may be vested in him by statute, rules or regulations; and if owing to his absence on leave or for any other reasons the Dean is unable to perform the duties of his office, it shall be lawful for the Deputy Dean or any other senior officer appointed by the Vice Chancellor to perform such duties of the Dean for such time as such disability may continue.</p> <p>(5) The Vice Chancellor shall, after consultation with teacher of each School, Centre, Academy and Institute, appoint a head of a School, a Centre, an Academy and an Institute and may appoint at least one deputy head. The Board shall be informed of the appointments as soon as may be. The Head and deputy head shall be styled by such title as may be prescribed by statute, rules or regulations; and if owing to his absence on leave or for any other reasons the head is unable to perform the duties of his/her office, it shall be lawful for the deputy head or any other senior officers appointed by the Vice Chancellor to perform the duties of the head for such time as such disability may continue.</p> <p>(6) A person appointed under subsection (4) or (5), as the case may be, shall be appointed for a period of not exceeding four (4) years, but shall be eligible for reappointment.</p> | <p>Supporting Document</p> <p>Refer to the link <i>Perintah Universiti dan Kolej Universiti (Pengubahan dan penambahan kepada Perlembagaan Universiti Putra Malaysia) (Pindaan) 2012</i></p>  |

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| | <p>UPM has established the criteria for academic leaders constituting their leadership qualification, experience, integrity and interpersonal skills. Details of each criterion for every academic leader are as tabulated in Appendix 1.3.1.</p> | <p>Appendix 1.3.1 Criteria for the Appointment of Academic Leader</p> |
| <p>1.3.2</p> | <p>The selection process for the appointment of institutional and academic leaders must ensure that the right candidate with appropriate qualifications and experience is appointed for a particular position.</p> <p>To ensure procedures and guidelines from the Constitution are adhered to, and that the right candidate is selected for the position, the Administrative Division, under the Office of the Vice Chancellor, plays an important role to make sure that all appointments are transparent via the Search Committee. For this purpose, the Search Committee for Deans/Deputy Deans of faculties/Schools and the Search Committee for Directors/Deputy Directors for Institutes/Academies are appointed directly by the Vice Chancellor. (Appendix 1.3.2 a and 1.3.2 b)</p> <p>The Secretariat for the Search Committee for Deans/Deputy Deans of Faculties/Schools and the Search Committee for Directors/Deputy Directors for Institutes/Academies is from the Office of any Deputy Vice Chancellors depending on the position that is being filled. The Deputy Vice Chancellors are:</p> <ul style="list-style-type: none"> i) Deputy Vice Chancellor for Academic and International Affairs (TNCAA) ii) Deputy Vice Chancellor for Research and Innovation (TNCPI) iii) Deputy Vice Chancellor for Student Affairs and Alumni (TNCHEPA) iv) Deputy Vice Chancellor for Industry and Community Relations (TNCJIM) <p>For a session to be convened, the quorum and members for the Search Committee must consist of no fewer than five (5) members, including the Chair.</p> <p>The Search Committee is responsible for identifying and shortlisting eligible candidates for Deans/Deputy Deans of Faculties/Schools and the Search Committee for Directors/Deputy Directors for Institutes/Academy positions. The Search Committee must also obtain responses about each candidate from members of Faculty/Institute/Academy/School. After consultation with all eligible candidates, the Search Committee is responsible for forwarding the most suitable candidate for the position for consideration by the Vice Chancellor within two (2) weeks.</p> | <p>Refer to the link : The Search Committee</p>  <p>Appendix 1.3.2 a Terms of Reference (TOR) of The Search Committee</p> <p>Appendix 1.3.2 b Sample of Advertisement for Internal Post Vacancies</p> |

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| | <p>Any Search Committee member nominated for a position will need to exclude himself/herself from discussions involving that particular position.</p> <p>The Vice Chancellor will consider the recommendation of the Search Committee before appointing Deans/Deputy Deans of Faculties/Schools and the Search Committee for Directors/Deputy Directors for Institutes/Academies but is not obliged to follow the recommendation forwarded by the Search Committee.</p> | |
| 1.3.3 | <p>The HEP must plan and develop leadership training and development programmes to continuously improve and enhance capabilities of current and future/potential institutional and academic leaders.</p> <p>Leadership development and enhancement is a continuous effort by UPM to ensure that leaders are driven by structured and dynamic empowerment programmes in addition to an emphasis on quality and highly impactful programmes.</p> <p>The UPM Succession Plan Policy was formulated and introduced in 2012. The main objective of the policy is to identify candidates with potential leadership abilities and train and enhance their leadership skills until they are ready to assume critical leadership posts within the University. The policy which was revised in 2016 also describes the framework and management protocol of the UPM talent pool. Academic and non-academic staff identified as current and future/potential institutional and academic leaders are placed in the UPM talent pool. This talent pool is provided with relevant training on University management and leadership through a series of courses throughout the year. (Appendix 1.3.3 a and 1.3.3 b)</p> <p>As a result of the introduction of this policy, a group consisting of 354 academics and 223 non-academics was placed in the University's talent pool. From the total, 103 academics and 46 non-academics have gone through the process of learning and development (L&D). In the initial phase, a total of 33 academics and 27 non-academics were selected, and their competencies were assessed using the <i>Behavioural Event Self-Assessment</i> (BESA). (Appendix 1.3.3 c)</p> | <p>Appendix 1.3.3 a <i>Dasar Pelan Penggantian UPM 2016</i></p> <p>Appendix 1.3.3 b Individual Leadership Advancement Plan Session by the Registrar Office</p> <p>Appendix 1.3.3 c List of Relevant Training Courses by Registrar, CADe And AKEPT</p> |

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| | <p>Efforts are also routinely conducted to improve leadership competency. Leadership programmes/training that have been carried out are:</p> <ol style="list-style-type: none"> i. UPM and AKEPT (<i>Akademi Kepimpinan Pengajian Tinggi</i>) have conducted a joint programme entitled “Strategic Leadership Coaching for University Leaders” specially tailored for UPM leaders and “Individual Leadership Advancement Plan Session” ii. Professional Discourse programmes which are knowledge-sharing sessions with renowned leaders and personalities. iii. Unshackling Young Academics (UYA) programmes act as a special platform for holistic sharing of ideas, experiences and consolidation among young lecturers striving for achieving UPM’s mission and vision. <p>Academic administrators, i.e. the Senate members, Deans, Deputy Deans, Head of Departments, Institute Directors and Head of Laboratories are encouraged to attend training programmes organised by the Ministry of Education at AKEPT or courses and programmes organised by other local or international training providers.</p> <p>The impact of these initiatives has resulted in leaders and prolific researchers among UPM academic staff. For instance, nowadays UPM academic staff have been appointed to key national administrative positions within and outside UPM.</p> | |
| <p>1.3.4</p> | <p>The institutional and academic leaders must be evaluated at defined intervals for their performance as stipulated by the job description and in relation to the achievement of the mission and institutional goals of the HEP.</p> <p>The evaluation of institutional leaders is conducted every year through the submission of University KPI achievement to the ministry.</p> <p>Their performances are assessed through UPM Performance Evaluation, apart from their own Annual Performance Appraisal Report (<i>Laporan Penilaian Prestasi Tahunan UPM</i>). The e-LPPT is categorised into two: i) Academic Appraisal (50%) and ii) Transformational Leadership (50%). The transformational leadership components are the University’s KPI and are monitored every quarter, while the overall LPPT is evaluated at the end of the year.</p> | <p>Refer to the link : <i>Laporan Tahunan UPM 2019 (Prestasi UPM mengikut KPI Menteri ms 36)</i></p>  |

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| | <p>The University KPI is achieved through the contribution of UPM academic leaders. Transformational leadership makes up 50% of their total annual appraisal, while the other 50% comes from their academic components.</p> <p>Academic leaders, including the Senate Members, Deans, Deputy Deans and Heads of Department, are assessed based on their performance and contributions in terms of teaching, research, administration and extension services. Impactful evidence of institution and academic leaders' contributions can be extracted from the individual annual appraisal system, Hub Information-Staff (Hi-Staf).</p> | |
| 1.4 GOVERNANCE FUNCTION AND MECHANISM | | |
| <p>UPM has effective and well-communicated governance structure, functions and mechanisms (1.4.1) to ensure effectiveness, transparency and responsiveness to the latest development and challenges. (1.4.2 and 1.4.3).</p> | | |
| 1.4.1 | <p>The HEP must clarify and publish its governance structures and functions with complementary relationships between the governing board and the senate as active policy-making bodies.</p> <p>Governance Structures and Functions, their Relationships, and Dissemination of Information</p> <p>The University Board of Directors (LPU) is the highest executive body responsible for formulating University policies, except academic matters. Academic matters come under the purview of the University Senate. The JPU is the administrative body responsible for implementing and monitoring policies made by the LPU and the Senate.</p> <p>Functions, Structure, Leadership, Membership and Reporting Protocol of Governing Entities</p> <p>The governing entities of UPM are the LPU, University Management Committee and the Senate. The functions, structure and membership of these bodies comply with the Universities and University Colleges Act (AUKU) 1971 (Amendment 2009).</p> <p>This information is presented in the UPM organisation chart and is published in various documents such as UPM official website, Annual Report, UPM annual planner and convocation programme book. (Appendix 1.4.1)</p> | <p>Refer to the link :</p> <ul style="list-style-type: none"> UPM Website  <ul style="list-style-type: none"> <i>Laporan Tahunan UPM 2019</i>  <p>Appendix 1.4.1 Refer to Appendix 1.1.3 a <i>Majlis Konvokesyen UPM Book</i></p> |

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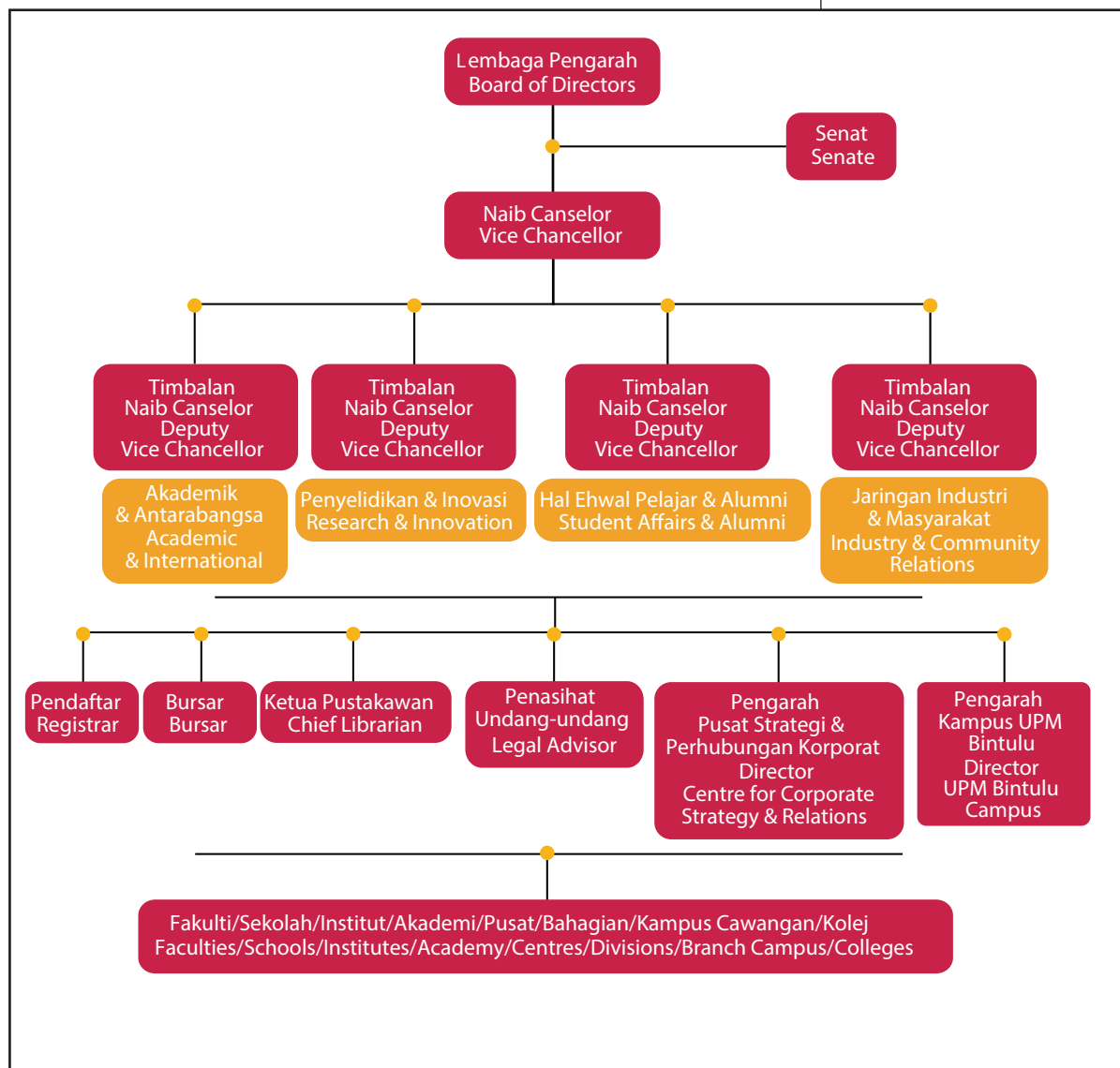
The LPU

The University Board of Directors (LPU) is the executive body that governs the University, and it exercises all the powers conferred upon the University except in matters within the powers of the Senate or any power that has been conferred to any Authority, and officer of the University by the Constitution or the Statutes, rules and regulations. The LPU appoints a Standing Financial Committee to regulate and control the finances of the University.

The Chairman and three other members of the LPU make up the quorum required for any meeting to be convened. Decisions and recommendations made by the LPU are made available to the JPU.

The current LPU organisation structure is shown in **Figure 1.4.1:**

Figure 1.4.1: UPM Organisational Structure





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| | <p>The University Management Committee (JPU)</p> <p>The JPU is the highest administrative body of the University. It is responsible for implementing educational programmes and other activities and ensuring good management, governance and deployment of resources.</p> <p>The JPU comprises the Vice Chancellor as the Chairman, Deputy Vice Chancellors, Registrar, Bursar, Chief Librarian and Legal Advisor.</p> <p>Decisions and recommendations made by the JPU are conveyed to the principal officers of various entities at the University.</p> <p>The JPU is chaired by the Vice Chancellor to perform duties and responsibilities of the institutional Chief Executive Officer (CEO). The Vice Chancellor is entrusted with administrative and management functions covering administration, academic, management and daily affairs of the University in accordance with the authority given as stated in the Constitution or Statute, Rules and Regulations of the University.</p> <p>The JPU shall decide on matters related to the following:</p> <ul style="list-style-type: none"> (a) internationalisation; (b) research, development and commercialisation; (c) industrial and community relation; (d) students and alumni; (e) human resource management and development; (f) finances; (g) development and asset management; (h) legal matters; (i) library and related resources; (j) planning of activities in accordance with the strategic planning, vision and mission of the University. <p>The Senate</p> <p>The Senate acts as the highest academic body of the University and is responsible for the general direction of academic matters and research. Academic matters include curriculum design, programme evaluation and the conferral of degrees, diplomas, certificates and other academic distinctions. Other matters include research policies and academic strategic directions of the University.</p> <p>The Senate members consist of the Vice Chancellor as the Chairman, Deputy Vice Chancellors, all Deans of Faculties and Schools, all Directors of Institutes, Director of the Centre of Foundation Studies for Agricultural Science, Director of the University Community and Transformation Centre,</p> | |

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| <p>and not more than 20 professors elected by professors and associate professors at the University. The Registrar, Bursar, Chief Librarian and Legal Advisor are ex-officio members, while the Directors of the Centre for Academic Development (CADE), Centre for Quality Assurance (CQA), Research Management Centre (RMC), Co-curriculum and Student Development Centre, Sports Academy and Centre for the Advancement of Language Competencies (CALC) are co-opted members of the Senate.</p> <p>The Senate has a complementary relationship with the governing board and is specified under AUKU 1971 (P.U. (A) 448. Page 5717-18) as specified below:</p> <p>“(5) The Senate shall be the academic body of the University and, subject to the provisions of the University Constitution, the statutes, rules and regulations, shall have the control and general direction of instruction, research and examination, and the award of degrees, diplomas, certificates and other academic distinctions.</p> <p>(6) In addition to the functions and powers under subsection (5), the Senate shall perform the following functions and exercise the following powers:</p> <ul style="list-style-type: none">(a) to set up Faculties, Schools, Centres, Academies and Institutes, and departments, units or LPUies under such Faculties, Schools, Centres, Academies and Institutes;(b) with the consent of the Board, to confer honorary degrees on persons who have contributed to the advancement or dissemination of knowledge, or who have rendered distinguished public service;(c) to formulate policies and methods of teaching and learning, examination, research, scholarship and training conducted in, by or from the University;(d) to ensure educational standards in the courses of study provided in, by or from the University;(e) to determine the feasibility or otherwise of any proposal in respect of any curriculum or course of study conducted or to be conducted in, by or from the University;(f) to determine the qualifications required for admission into any course of study provided in, by or from the University;(g) to regulate the conduct of assessments and examinations, confirm examination results and determine appeals;(h) to draft policies for the protection of academic freedom and professional excellence; and(i) to do all things expedient or necessary for or incidental to the performance of its functions under this Constitution. | |

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| | <p>Strategies for Ensuring Effectiveness of Relationships between Governing LPUs, Institutional Leadership and Faculties (Council of Deans)</p> <p>The Senate meetings and meetings of Principal Officers of the University, which are chaired by the Vice Chancellor, help ensure effective relationship between the administrative centres and the leadership including the Council of Deans. The Council of Deans meets regularly and invites the top management members (University Management Committee) to discuss the latest developments and obtain clarification on matters of importance to the University.</p> <p>Decisions and recommendations made by the Senate are conveyed to LPU through the Senate representative in the board meeting.</p> <p>Strategies to Communicate and Publish the Governance Structures and Functions</p> <p>Information on the structures, functions and the relationships among governing bodies is made available through the University Constitution, the University website and the selected official printed documents such as UPM Annual Report, UPM annual diary and convocation programme book.</p> <p>The Vice Chancellor delivers an annual address to all staff of the University. The Vice Chancellor also communicates directly with the Deans and Directors of Institutes to emphasise the importance of specific academic matters. Finally, the principal officers adopt an open-door policy that allows any University staff members to meet and communicate with them.</p> | |
| 1.4.2 | <p>The governing board and Senate must operate based on principles of non-conflict, transparency, accountability and authority with an adequate degree of autonomy</p> <p>The Governing Board</p> <p>In 2012, UPM was accorded autonomy by the Ministry of Higher Education. With this autonomy, the University's governing board (LPU) was empowered in three major areas: human resource planning and recruitment, wealth creation and academic programme development.</p> <p>The autonomy given to the University has allowed it to make effective policies resulting in the signing of various MoUs/MoAs with local and international institutions, agencies and industries. The governing board has also effectively utilised this autonomy by forming an Internal</p> | |

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| <p>Scheme to recruit new talent and retain experts and talented staff beyond the mandatory retirement age of 60 years.</p> <p>In ensuring the accountability and integrity of the Chair of the University Board of Directors (LPU) and other members, their role and functions are stipulated in the General Circular, No. 3, 1998 and also in AUKU 1971, Universiti Putra Malaysia Constitution and Universiti Putra Malaysia Regulations (Tatacara Lembaga 1998).</p> <p>The requirement for independency and transparency of the governing Board is also specified in the General Circular, No. 3, 1998 and also in AUKU 1971 (as at 1 August 2012), <i>Perintah Universiti Dan Kolej Universiti (Pengubahan Dan Penambahan Kepada Perlembagaan) (Universiti Putra Malaysia) 2010</i>, Universiti Putra Malaysia Constitution and Universiti Putra Malaysia Regulations (Tatacara Lembaga, 1998).</p> <p>The Senate</p> <p>Any non-conflict or dispute is governed by principles that are specified in AUKU 1971 (as at 31st December 2010), <i>Perintah Universiti Dan Kolej Universiti (Pengubahan Dan Penambahan Kepada Perlembagaan) (Universiti Putra Malaysia) (P.U. (A) 448. Page 5722)</i> which are specified below:</p> <p>“33. (1) Any dispute between the Authorities, or between an officer and an Authority as to the scope and extent of his or its powers, functions or jurisdiction may be referred by either party to the Minister and the Minister may determine the dispute himself or appoint a Dispute Resolution Panel to determine the dispute. (2) The Dispute Resolution Panel shall be constituted from amongst distinguished persons from within or outside the University who are not officers, employees or members of the Authority concerned. (3) The Dispute Resolution Panel shall consist of a chairman and two other members. (4) The Dispute Resolution Panel shall determine its own procedure. (5) The decision of the Dispute Resolution Panel shall be final and conclusive and shall be binding the parties to the dispute.”</p> <p>Policy on Conflict of Interest</p> <p>All staff members of UPM also come under the purview of the policies of the Employment Guidelines of UPM with respect to conflict of interest. An integrity unit in the office of the Vice Chancellor ensures and upholds integrity among UPM staff.</p> | |

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| 1.4.3 | <p>Mechanisms to ensure functional integration and comparability of educational quality must be established in HEPs which have geographically separated campuses</p> <p>Mechanisms to Ensure Functional Integration and Comparability of Educational Quality between UPM, Serdang and UPMKB</p> <p>UPM has one campus in Bintulu consisting of one faculty (Faculty of Agriculture and Food Sciences) which comprises five (5) departments. It offers seven (7) Diploma and four (4) Bachelor programmes. In addition to these study programmes, the campus also offers graduate programmes in various fields related to the faculty. The Bintulu campus headed by a Director and a Dean (who are also the Senate members) are responsible for all the programmes offered at the campus. As in the case of programmes at the main campus, the educational quality of these programmes is directly monitored by the University Senate. The development of the campus is planned and monitored by the University Management Committee (JPU). (Appendix 1.4.3)</p> | <p>Appendix 1.4.3 Evidence Director and Dean of UPMKB are members of the Senate</p> |
| <p>1.5 INFORMATION MANAGEMENT</p> | | |
| <p>UPM continuously monitors and regularly reviews its data integrity and security of the system (1.5.1). More importantly, UPM has established risk and disaster information management system and provides its data recovery facilities (1.5.2).</p> | | |
| 1.5.1 | <p>The HEP must have information management policies concerning the accessibility, privacy, confidentiality and security on student and academic staff records pertaining to human resource, finance and academic activities.</p> <p>Policies on Secure Retention, Retrieval and Disposal of Staff and Student Records</p> <p>In line with the Quality Management System (QMS ISO 9001) and Information Security Management System (ISMS ISO/IEC 27001), UPM has specified the relevant policies for its information security. These policies are signed and endorsed by the chair of LPU. Printed and electronic copies of the student and staff records are managed and secured effectively in accordance with security policies.</p> | <p>Refer to the link:</p> <ul style="list-style-type: none"> • UPM QMS ISO 9001 Policy  • UPM ISMS ISO/IEC 27001 Policy  |

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| <p>UPM has implemented record management based on the <i>Panduan Pengurusan Fail dan Rekod Universiti</i> which explains the record management procedures including control activities, segregation, classification and disposal of records according to the requirements of the National Archives of Malaysia. (Appendix 1.5.1 a)</p> <p>Undergraduate Student Records</p> <p>Records of student profiles, admission letters, registration slips, academic transcripts, and other relevant documents are kept in soft and hard copy files.</p> <p>The hard copy of the undergraduate student records is managed by the University's Academic Division (BK) and Academic Governance Division (BAKD) at the faculty concerned. The electronic copy of the undergraduate student records is kept until the student has graduated in the Student Information System (<i>Sistem Maklumat Pelajar</i> (SMP)) database. Records of students who have graduated since 1995 are kept as historical (archive) data.</p> <p>Postgraduate Student Records</p> <p>At the postgraduate level, all records including the student profiles, applications for admission, course registrations, appointments of the supervisory committee, progress reports and examination results are kept in the online database called Internet-based Graduate Information Management System (i-GIMS). Copies of these records are also kept in hard copy files at the School of Graduate Studies (SGS).</p> <p>Disposal of the records in various schools and faculties is done when necessary as specified by the QMS procedure for control of records.</p> <p>Academic Staff Records</p> <p>Academic staff records are stored in the UPM human resource system, which comprises the e-Integrated Human Resource Management System (eIHRAMS) and Human Resources System or <i>Sistem Sumber Manusia</i> (SISMAN). Copies of the records are also kept in hard copy files (a file for each staff) at the Registrar's Office and relevant faculties.</p> | <p>Appendix 1.5.1 a <i>Panduan Pengurusan Fail dan Rekod Universiti</i></p> <p>Refer to the link: (<i>Sistem Maklumat Pelajar</i> (SMP))</p>  <p>Refer to the link: iGIMS:</p>  <p>Refer to the link: <i>Sistem Ilmu Sumber Manusia</i> (SISMAN)</p>  |

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| | <p>Rights of Individual Privacy and Confidentiality of Records</p> <p>For the purpose of security, maintenance of student data is performed periodically by authorised personnel at the InfoComm Development Centre (iDEC). The data is backed up daily and stored on magnetic tapes.</p> <p>The University ensures the security and confidentiality of the records by allowing only authorised staff to access them.</p> <p>UPM has been certified with the Information Security Management Systems (ISMS) ISO/IEC 27001:2007 since 4th January 2014. Since then, annual audit and recertification have been conducted, and UPM was certified with ISO/IEC 27001:2013 in May 2019.</p> <p>ISMS is designed for the selection of adequate and proportionate security controls with specific objectives to:</p> <ul style="list-style-type: none"> • protect information assets • provide confidence to interested parties • evaluate and address risk mitigation procedure on information security • establish data recovery centre and process continuity • ensure security in the preservation of confidentiality, integrity, and availability of information. <p>This certification affirms that the University's level of information security management is maintained based on international standards by strengthening information protection in ICT assets guided by the principles of confidentiality, integrity, and availability. To date, the scope of the ISMS certification in UPM covers the following:</p> <ul style="list-style-type: none"> • New Undergraduate Student Registration Process which includes Review Offer Activities Up to Residential College Registration; and • Undergraduate Teaching Assessment (TA) process at the Faculty. <p>To ensure individuals' right to privacy and the confidentiality of records, UPM has complied fully with all the controls under Annex A.9 (Access control). The compliance to ISMS is made known through banners on UPM website and official letterheads. (Appendix 1.5.1 b)</p> | <p>Supporting Document</p> <p>Refer to the link : Certificate Of ISO/IEC 27001:2013</p>  <p>Appendix 1.5.1 b Procedure Record of Annex A.9 (Access Control).</p> |

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| 1.5.2 | <p>The HEP must regularly review information management policies to ensure that it is up-to-date</p> <p>Review Policies and Plans for Improvement on Security of Records</p> <p>As stipulated in the <i>Prosedur Pengurusan Dokumen ISO</i>, all documents need to be reviewed at least once every five (5) years to ensure its relevance to current policies and practices. (Appendix 1.5.2 a)</p> <p>Based on the QMS and ISMS implemented by all PTJs, policies on security of records are reviewed during Management Review Meeting (MKSP) and Quality Committee Meeting (<i>JK Kualiti</i>) and Management Meeting at PTJ. Plans for continuous improvement are also discussed in those meetings. (Appendix 1.5.2 b)</p> <p>For continuous security improvement, UPM is moving towards compliance with the current version of ISMS ISO/IEC 27001:2013, and the latest third-party audit was in December 2020.</p> <p>UPM has developed specific information security on risk management and disaster recovery procedures based on the requirement of MAMPU system. (Appendix 1.5.2 c)</p> | <p>Appendix 1.5.2 a <i>Prosedur Pengurusan Dokumen ISO</i> UPM/PGR/P001</p> <p>Appendix 1.5.2 b Minute of latest <i>Mesyuarat Kajian Semakan Pengurusan</i> (MKSP)</p> <p>Appendix 1.5.2 c</p> <ul style="list-style-type: none"> • Pelan Kesenambungan Bencana ICT • Laporan Penilaian Risiko ISMS Pusat Data |

SELF REVIEW REPORT: AREA 1

STRENGTHS

1. UPM aims to be a University of international repute. In order to achieve this, UPM must be visible to the education community locally and internationally. In an effort to intensify its achievement momentum and sustain superiority, the University has clearly outlined its vision, mission and educational goals as fundamental to its excellence. These act as pronouncements of the purpose, ambition and values held by the University.
2. UPM has strategic imperatives outlined in its vision, mission and strategic goals. Each of these was formulated to encompass and propagate coherence towards quality education and services. These statements help define the purpose of the University and the future course of action. They are often revisited and reviewed at UPM in line with the national and global developments as outlined in the national documents such as the *National Economic Transformation Programme (2010)*, *Government Transformation Programme (GTP 2.0, 2012)* and *Malaysia Education Blueprint 2015-2025 (2015)*. Assessments and reflections are recorded, and the revisions and improvements are documented in the *Pelan Strategik UPM 2014 – 2020*. This document also acts as a reference to continuously measure and monitor the extent to which the UPM activities are in line with the vision, mission and strategic goals.
3. The *Pelan Strategik UPM 2014-2020* specifies standards and provides a clear direction towards achieving the main goal of being a university of international repute. It shows the characteristics of UPM that will respond to the needs of the nation and the global community. This document, outlining the University's vision, mission and goals, is endorsed by several levels of the University management culminating in the final endorsement by the LPU. Representatives of the LPU are made up of distinguished persons appointed by the Minister of Education Malaysia. These members come from various public and private sectors and are well known for their contributions.
4. UPM strongly believes in the dissemination of vision, mission and educational goals to both internal and external stakeholders. This ensures the relevance of the University's vision, mission and educational goals is agreed upon by all parties to reflect a common and shared vision. Efforts to disseminate this information are coordinated by PSPK via various channels affecting different communities within and outside the University. PSPK is the University's office specially designated to disseminate and control information flow in and out of the University. Information about the University is regularly updated onto the University website and brochures, and at University events and engagements.

5. UPM, as a tertiary institution faces changes and transformations that result in both opportunities and threats. As a result, the institution must outline goals and strategic objectives to adapt to these developments. In its Strategic Plan 2014-2020, UPM established five (5) goals, and these goals are further translated into detailed strategic objectives. These detailed objectives address issues related to the competitiveness of graduates, sustainability of research and development activities, commercialisation and extension, increasing industry and networking services, with the aim of strengthening UPM as a centre of excellence in agriculture. The strength of these objectives is derived from views of both internal and external principle stakeholders. Input from these stakeholders allows decision-makers at UPM to keep abreast with national and international developments to self-benchmark the University with other educational institutions and entities. These strategic objectives are attainable because UPM has continuous consultations at various levels before specific key performance indicators (KPIs) are passed down to the relevant departments and sections. Continuous quality improvement is also practised at UPM to ensure the attainability of these KPIs. These improvements are monitored by CQA at the University.
6. Selection criteria for institutional and academic leadership at UPM follow the guidelines outlined in AUKU 1971/Perlembagaan. All appointments of University leaders also follow the processes outlined in the same document. Adherence to this stipulation maintains a transparent and efficient selection and appointment processes at UPM. For example, the Search Committees are responsible for identifying and shortlisting eligible candidates for administrative positions at the University. Specific guidelines and criteria are set out to make the selection of eligible candidate a transparent process. The Search Committees then make recommendations to the Vice Chancellor as to the best candidate for the position. Efforts are also routinely made to identify a talent pool and improve leadership competency through programmes with AKEPT. This talent pool is also a source for future leaders at the University, indicating clear succession planning efforts.
7. The University is governed by the LPU, the JPU and the Senate. The structure and membership of these entities are in accordance with the guidelines in AUKU 1971 (amendment 2009). Each of these entities has its work scope and operates according to the power conferred upon them. They are responsible and accountable to each other. This practice promotes good governance and administrative practices within the institution.



- Information security management at UPM is taken very seriously. Attempts at constantly safeguarding security are overseen by iDEC under the purview of a Chief Information Officer. UPM is certified with ISO/IEC 27001:2013, indicating that the information security management system in UPM is reliable and accountable. UPM has also complied with all controls under Annex 18.2 (Information Security Reviews), which is ensured by the constant review of the policies on records' security.

AREAS OF CONCERN

- UPM realises the need to formalise educational goals to be relevant for all programmes at the University. Efforts are being made to document these educational goals in line with the requirements and expectations of the Malaysian Higher Education Institutions. The need to address issues with regard to graduate employability is important.
- The level of information security needs to be enhanced to detract from threats of hacking and security breaches.

AREAS OF IMPROVEMENT

- Efforts are being made to upgrade UPM Firewall capacity from 13 to 20 Gbps. This initiative is part of Phase 1 of Pelan Strategik ICT UPM 2017-2020.