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Date : 23 August 2017
18 September 2017 – Rev1

Universiti Putra Malaysia
43400 Serdang
Selangor

(Attn: YBHG PROFESOR DR. AMIN ISMAIL)
Pn. Rozi Bt. Tamin

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Dear Sir/ Madam,

ISO/IEC 27001:2013 - SURVEILLANCE AUDIT PLAN

Please be informed that a Surveillance Audit of your organization's information security management systems has been scheduled on **6 Sept & 2- 3 Oct. 2017.**

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,

Sazlin Bt Alias

Audit Team Leader
Services Section
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** : 6 Sept. 2017 – Campus Bintulu
2- 3 Oct. 2017 – Main Campus, Serdang

3. **Site of audit** :

Main site :

Universiti Putra Malaysia
43400 Serdang, Selangor

Site 2:

Beta data Centre, 43400 Serdang, Selangor

Site 3:

Epsilon Data Recovery Centre, 43400 Serdang, Selangor

Site 4 : (new)

Universiti Putra Malaysia Kampus Bintulu Sarawak
Jalan Nyabau, 97008 Bintulu, Sarawak

4. **Scope of certification** :

Main site :

Sistem Pengurusan Keselamatan Maklumat Bagi Proses Pendaftaran Pelajar Baru Prasiswazah Semasa Minggu PERKASA Putra.

Site 2:

Sistem Pengurusan Keselamatan Maklumat Untuk Pengoperasian Pusat Data Bagi Proses Pendaftaran Pelajar Baru Prasiswazah.

Site 3:

Sistem Pengurusan Keselamatan Maklumat untuk Pengoperasian Pusat Pemulihan Bencana Bagi Proses Pendaftaran Pelajar Baru Prasiswazah.

Site 4 : (new)

Sistem Pengurusan Keselamatan Maklumat Bagi Proses Pendaftaran Pelajar Baru Prasiswazah Semasa Minggu PERKASA Putra di UPM Kampus Bintulu

5. **Audit criteria** :

- a) ISO/IEC 27001:2013
- b) Organization's ISMS documentation

6. **Audit team & role**

- a) Audit Team Leader : Sazlin Bt. Alias
- b) Auditor : Efizan Bt Zamri
Hidayatini Bt. Sarmin – day 1
- 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 : English/ 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

DETAILS OF AUDIT PLAN

Day 1 / 3 : 6 Sept. 2017 @ UPM Kampus Bintulu		
Time	Agenda	Responsibility
0930–1000	<u>Opening Meeting.</u> <ul style="list-style-type: none"> Briefing on the Information Security Management System by organization's representative on any changes to the system since last audit Briefing on audit details by SIRIM QAS International's representative 	SIRIM's auditors and client's representatives
1000 - 1200	Follow-up previous audit findings Onsite observation and verification of the effectiveness controls as in Statement of Applicability covering Prasiswazah student registration processes	Sazlin
1200 - 1300	Lunch break	
1400	Review of Day 1 Findings	SIRIM's auditors and client's representatives

Day 2 / 3 : 2 Oct. 2017 @ UPM Serdang		
Time	Agenda	Responsibility
0930–1000	<u>Opening Meeting.</u> <ul style="list-style-type: none"> Briefing on the Information Security Management System by organization's representative on any changes to the system since last audit Briefing on audit details by SIRIM QAS International's representative 	SIRIM's auditors and client's representatives
1000–1700	Follow-up previous audit findings Documented information inclusive of creating and updating and control of documented information. Covering A.5 and A.6 Context of the organization inclusive of understanding the organization and its context, understanding the needs and expectations of interested parties, determining the scope of the ISMS. Leadership inclusive of leadership and commitment, policy and organizational roles, responsibilities and authorities. Planning inclusive of actions to address security risk assessment, information security risk treatment and information security objectives and plans to achieve them. Performance evaluation inclusive of monitoring, measurement, analysis and evaluation, internal audit and management review. Improvement inclusive of nonconformity and corrective action and continual improvement.	Sazlin

Day 2 / 3 : 2 Oct. 2017 @ UPM Serdang		
Time	Agenda	Responsibility
	Operation (Inclusive of operational planning and control, information security risk assessment and information security risk treatment.). Verification on the effectiveness of control as per Statement of Applicability at Pusat Pembangunan Maklumat dan Komunikasi IDEC <ul style="list-style-type: none"> - Data centre operation - Site visit DR site - A.16 Information security incident management 	Efizan
	Operation (Inclusive of operational planning and control, information security risk assessment and information security risk treatment.). Verification on the effectiveness of control as per Statement of Applicability at Bahagian Kemasukan & Bahagian Urus Tadbir Akademik Operation (Inclusive of operational planning and control, information security risk assessment and information security risk treatment.). Verification on the effectiveness of control as per Statement of Applicability at Bahagian Hal Ehwal Pelajar	Hidayatini
1700	Review of Day 2 Findings	SIRIM's auditors and client's representatives

Day 3 / 3: 3 Oct. 2017 @ UPM Serdang		
Time	Agenda	Responsibility
0930- 1200	Operation (Inclusive of operational planning and control, information security risk assessment and information security risk treatment.). Verification on the effectiveness of control as per Statement of Applicability at Perpustakaan Support inclusive of resources, competence, awareness and communication. A.7 Human resource security	Sazlin
	Operation (Inclusive of operational planning and control, information security risk assessment and information security risk treatment.). Verification on the effectiveness of control as per Statement of Applicability at Pejabat Strategi Korporat & Komunikasi A.17 information security business continuity management Operation (Inclusive of operational planning and control, information security risk assessment and information security risk treatment.). Verification on the effectiveness of control as per Statement of Applicability at Pejabat Penasihat Undang –undang A.18 compliance	Efizan
1400-1530	Continue audit on unfinished areas	Auditors
1530–1630	Preparation of Report	SIRIM's auditors

Day 3 / 3: 3 Oct. 2017 @ UPM Serdang		
Time	Agenda	Responsibility
1630	<u>Closing Meeting.</u> Presentation of Findings and Recommendation	SIRIM's auditor & client's management