



File no. : QM / 6 – 262 (QU00510001)

Date : 11<sup>th</sup> September 2017

Universiti Putra Malaysia  
43400 Serdang  
Selangor Darul Ehsan

Attn. : Pn Noorizai Mohamad Noor @ Mohamad / Pn Rozi Tamin

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Assalamualaikum Pn,

**ISO 9001:2015 – SURVEILLANCE AND UPGRADING AUDIT PLAN**

Please be informed that a Surveillance and upgrading audit of your organization's management system has been scheduled on 11 - 15, 18 - 21 & 25 - 26 September 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,

*Hanida Ghazali*

Hanida Ghazali  
Audit Team Leader  
Service Section  
Management System Certification Department  
SIRIM QAS International Sdn. Bhd.  
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## **SURVEILLANCE, EXTENSION OF SCOPE & UPGRADING 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 verify that the organization has identified and addressed the gaps to meet the new requirements of ISO 9001:2015;
- c) To verify whether appropriate training and awareness on the relevant requirements of ISO 9001:2015 has been provided to all parties that have an impact on the effectiveness of the quality management system;
- d) To evaluate the continued ability of the management system to ensure client meets applicable statutory, regulatory and contractual requirements, where applicable;
- e) 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;
- f) To identify areas of improvement of the management system, as applicable;
- g) To assess changes that have been made to the client's management system;
- h) To verify the correct use of marks and/or other references to certification;
- i) To verify the effective implementation of corrective actions arising from the findings of the previous audit (if applicable).

**2. Date of audit :** 11 - 15, 18 - 21 & 25 - 26 September 2017

**3. Site of audit :**

Universiti Putra Malaysia  
43400 Serdang  
Selangor Darul Ehsan

Site 2  
Kampus Bintulu  
Jalan Nyabau  
97008 Bintulu

**4. Scope of certification :**

*Perkhidmatan Pengajian Pendidikan di Peringkat Tertiari, Pengurusan dan Pelaksanaan Penyelidikan, Perhubungan Industri dan Masyarakat, Pengurusan Pembangunan Pelajar dan Alumni, dan Perkhidmatan Korporat*

**5. Audit criteria :**

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

6. **Audit team & role**

- a) Overall Audit Team Leader : Hanida Ghazali
- b) Auditor : Dr Hj Montaj Mustakim  
Parimala Devi Ganesan  
Fauziah Sulaiman  
Abdullah Hafis Ghafar  
Faizal Mohammad  
Jenny Kho Yeck Lan
- 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 documented information, as applicable;
- b) Observation of processes and activities;
- c) Interview with organization'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 organization 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 organization and copy maintained in the organization 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 : <b>11.09.2017</b>		
<b>Time</b>	<b>Agenda</b>	<b>Responsibility</b>
0930 - 1000	Opening Meeting  Briefing on the client's quality management system and any changes since the last audit  Briefings by SIRIM	SIRIM's auditors and organization's representatives
1000 - 1700	Review of actions taken on issues identified during the previous audit (if applicable)	SIRIM's auditors & Organization's representative
	Review of documentation against requirements of ISO 9001: 2015	Hanida & Organization's representatives
	Fakulti Kejuruteraan Activities related to: 1. Curriculum Design & Development 2. Teaching And Learning Services at Tertiary Level 3. Management And Implementation of Research and Innovation	Dr Montaj & Organization's representatives
	Fakulti Pertanian Activities related to: 1. Curriculum Design & Development 2. Teaching and Learning Services at Tertiary Level 3. Management And Implementation of Research and Innovation	Parimala & Organization's representatives
1700	Review of Day 1 Findings (where applicable)	SIRIM's auditors and organization's representatives

Day 2 : <b>12.09.2017</b>		
<b>Time</b>	<b>Agenda</b>	<b>Responsibility</b>
0930 - 1700	Review of documentation against requirements of ISO 9001: 2015	Hanida & Organization's representatives
	Fakulti Kejuruteraan Activities related to: 1. Curriculum Design & Development 2. Teaching and Learning Services at Tertiary Level 3. Management and Implementation of Research and Innovation	Dr Montaj & Organization's representatives
	Fakulti Pertanian Activities related to: 1. Curriculum Design & Development 2. Teaching and Learning Services at Tertiary Level 3. Management and Implementation of Research and Innovation	Parimala & Organization's representatives
1700	Review of Day 1 Findings (where applicable)	SIRIM's auditors and organization's representatives

Day 3 : <b>13.09.2017</b>		
Time	Agenda	Responsibility
0930 - 1700	Institut Kajian Perladangan Activities related to: 1. Perkhidmatan Pengajaran dan Pembelajaran pada Peringkat Siswazah dan 2. Pengurusan dan Pelaksanaan Penyelidikan dan Inovasi	Hanida & Organization's representatives
	Fakulti Pengajian Alam Sekitar Activities related to: 1. Curriculum Design & Development 2. Teaching and Learning Services at Tertiary Level 3. Management and Implementation of Research and Innovation	Dr Montaj & Organization's representatives
	Fakulti Sains Activities related to: 1. Curriculum Design & Development 2. Teaching and Learning Services at Tertiary Level 3. Management and Implementation of Research and Innovation	Parimala & Organization's representatives
1700	Review of Day 1 Findings (where applicable)	SIRIM's auditors and organization's representatives

Day 4 : <b>14.09.2017</b>		
Time	Agenda	Responsibility
0930 - 1700	Pusat Pengurusan Wakaf, Zakat & Endowmen Activities related to the management of Wakaf, Zakat & Endowment	Hanida & Organization's representatives
	Fakulti Pengajian Alam Sekitar Activities related to: 1. Curriculum Design & Development 2. Teaching and Learning Services at Tertiary Level 3. Management and Implementation of Research and Innovation	Dr Montaj & Organization's representatives
	Fakulti Sains Activities related to: 1. Curriculum Design & Development 2. Teaching and Learning Services at Tertiary Level 3. Management and Implementation of Research and Innovation	Parimala & Organization's representatives
1700	Review of Day 1 Findings (where applicable)	SIRIM's auditors and organization's representatives

Day 5 : <b>15.09.2017</b>		
Time	Agenda	Responsibility
0930 - 1700	Internal Audit	Hanida & Organization's representatives
	Pusat Pemajuan Kompetensi Bahasa Activities related to: 1. Teaching and learning Services 2. Editing & Translation Services 3. Language Assessment Test	Dr Montaj & Organization's representatives

Day 5 : <b>15.09.2017</b>		
Time	Agenda	Responsibility
	Pusat Sumber Pendidikan Kanser Activities related to: 1. Management of Cancer Education, awareness and Support Programmes. 2. Management and Implementation of Research	Parimala & Organization's representatives
	Pusat Sains Marin Activities related to Provision of Services and Facilities Supporting Teaching & Research	Fauziah & Organization's representatives
	Pusat Pembangunan Keusahawanan & Kebolehpasaran Graduan Activities related to services provided for Pembangunan Keusahawanan & Kebolehpasaran Graduan  Bahagian Kemasukan & Bahagian Urus Tadbir Activities related to academic service management for undergraduates	Faizal & Organization's representatives
1700	Review of Day 1 Findings (where applicable)	SIRIM's auditors and organization's representatives

Day 6 : <b>18.09.2017</b>		
Time	Agenda	Responsibility
0930 - 1700	Fakulti Bahasa Moden dan Komunikasi Activities related to industrial training	Dr Montaj & Organization's representatives
	Pusat Kesihatan Universiti Activities related to Health & Dental Care services	Jenny & Organization's representatives
	Pusat Transformasi Komuniti Universiti  Pusat Hubungan dan Jaringan Industri	Faizal & Organization's representatives
1700	Review of Day 1 Findings (where applicable)	SIRIM's auditors and organization's representatives

Day 7 : <b>19.09.2017</b>		
Time	Agenda	Responsibility
0930 - 1700	Institut Biosains Activities related to: 1. Teaching and learning Services at Graduate level 2. Management and Implementation of Research and Innovation	Dr Montaj & Organization's representatives

Day 7 : <b>19.09.2017</b>		
Time	Agenda	Responsibility
	Pusat Kesihatan Universiti Activities related to Health & Dental Care services	Jenny & Organization's representatives
	Pusat Kebudayaan dan Kesenian Sultan Salahuddin Abdul Aziz Shah  Pejabat Strategi Korporat dan Komunikasi - Customer feedbacks (complaints & satisfactions)	Faizal & Organization's representatives
1700	Review of Day 1 Findings (where applicable)	SIRIM's auditors and organization's representatives

Day 8 : <b>20.09.2017</b>		
Time	Agenda	Responsibility
0930 - 1700	Institut Perhutanan Tropika Dan Produk Hutan Activities related to: 1. Teaching and learning Services At Graduate level 2. Management and Implementation of Research and Innovation	Dr Montaj & Organization's representatives
	Taman Pertanian Universiti Activities related to Provision Of Services And Facilities Supporting Teaching & Research, Services covering decoration And Bukit Ekspo, Plants, Livestock And Aquaculture management And Sales of Agricultural Products	Hanida & Organization's representatives
	Bahagian Keselamatan Activities related to security services	Faizal & Organization's representatives
1700	Review of Day 1 Findings (where applicable)	SIRIM's auditors and organization's representatives

Day 9 : <b>21.09.2017</b>		
Time	Agenda	Responsibility
0930 - 1700	Kolej 5 Activities related to Student Accomodation Services	Dr Montaj & Organization's representatives
	Kolej 11 Activities related to Student Accomodation Services	Hanida & Organization's representatives
	Kolej Mohamad Rashid Activities related to Student Accomodation Services	Faizal & Organization's representatives
1700	Review of Day 1 Findings (where applicable)	SIRIM's auditors and organization's representatives





Day 10 : <b>25.09.2017</b>		
Time	Agenda	Responsibility
0930 - 1700	Kolej 15 Activities related to Student Accomodation Services	Dr Montaj & Organization's representatives
	Kolej 16 Activities related to Student Accomodation Services	Hanida & Organization's representatives
	Kampus Bintulu  Fakulti Sains Pertanian Dan Makanan Activities related to: 1. Curriculum Design & Development 2. Teaching and Learning Services at Tertiary Level 3. Management and Implementation of Research and Innovation  Pejabat Pembangunan & Pengurusan Aset Activities related to Project management and facility management	Fauziah and <b>Hafis</b> & Organization's representatives
1700	Review of Day 1 Findings (where applicable)	SIRIM's auditors and organization's representatives

Day 11 : <b>26.09.2017</b>		
Time	Agenda	Responsibility
0900 - 1530	Kampus Bintulu  Fakulti Sains Pertanian Dan Makanan Activities related to: 1. Curriculum Design & Development 2. Teaching and Learning Services at Tertiary Level 3. Management And Implementation of Research and Innovation  Pejabat Pembangunan & Pengurusan Aset Activities related to Project management and facility management	Fauziah and <b>Hafis</b> & Organization's representatives
	Pusat Antarabangsa	Dr Montaj & Organization's representatives
	Management review	Hanida & Organization's representatives
1530 - 1630	Preparation of Report	SIRIM's auditors
1630	Closing Meeting : Presentation of Findings and Recommendation	SIRIM's auditors & organization's representatives