QUALITY MANAGEMENT SYSTEMS (QMS) ISO9001:2015
AUDIT PLAN FOR REMOTE AUDIT

1.   Type of Audit

Surveillance Audit

2.   Audit objectives

a)   To review certification scheme documented information
b)   To evaluate the implementation, including effectiveness, of the client's certification system
c)   To evaluate the continued compliance of the client's certification system to the requirements of the standard and ability of the certification system to ensure client meets applicable statutory, regulatory and contractual requirements, where applicable
d)   To confirm the continued conformity and effectiveness of the certification system as a whole, and its continued relevance and applicability for the scope of certification
e)   To verify adequacy and effectiveness implementation of corrections and corrective actions to close NCR arising from the findings of previous audit

3.   Date of audit   :   30th November 2020 until **10th December 2020**

4.   Site of audit   :   Remote audit

5.   Scope of certification:

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

6.   Audit criteria

a)   ISO 9001:2015
b)   Client's documentation

7.   Audit team & role

a) Audit Team Leader	:	PARIMALA DEVI GANESAN
b) Auditor	:	SITI ROSHAIZA BINTI ALI ELLY NADIA BT CHE AFZAR SURI YATI BT AMRAN MOHD NASIM BIN ZAKARIA MANI MAARAN KRISHNAN RAJALEKSHMI RAMA CHANDRAM
c) Trainee auditor/ Observer Technical Expert/ 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*)

8. **Methodology of audit :**

   a) Remote audit (web conference e.g. Microsoft Teams, Meet, Webex etc.)
   b) Review of documentation and records
   c) Observation of processes and activities
   d) Interview with client's personnel responsible for the audited area

9. **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.

10. **Working language** : English & Bahasa Melayu

11. **Reporting :**

   i)   Language   :   English
   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

12. **Facilities and assistance required**:

   i)   Guide and designated personnel (who may also be the auditee) to assist SIRIM audit team.

   ii) Email, telephone, handphone and suitable electronic media platform shall be available.

   iii) Ensure the documents and records are available and accessible during audit.

   iv) A quiet environment to avoid interference and background noise.

13. **List of documented information:**

   a) Organization policy and objectives;
   b) Organization structure;
   c) Evidence of previous audit findings (if applicable);
   d) Risk assessment;
   e) Results of internal and external audit (if applicable);
   f) Minutes of management review;
   g) Status of corrective actions including customer complaints;

14. **Details of audit plan** : As follows

DETAILS OF REMOTE AUDIT PLAN

Day 1/9 (30/11/2020)			
Time	**Agenda**	**Required audit evidences**	**Responsibility**
0930	**OPENING MEETING – WEB CONFERENCING** - Briefing by client's representative on any changes to the system since last audit - Briefing on Audit Plan		Top Management & committee members, Auditors
1030 - 1700	Operation Activities related to Management of Academic Affairs, Research and Publication **Institut Penyelidikan Matematik** - ELLY NADIA	- Related procedures - Program review related records - Course Outline - Lesson Plan - Timetables - Course files - Attendances - Course assessments and marking - Course reviews - Walkthrough the e-learning system - Virtual audit on selected labs, lecture hall, tutorial room - Final examinations schedule - Final examination question papers & answer schemes - Answer scripts, Moderation records & Marks spreadsheets - Other related documents & records - Related procedures - Applications records for research and approval - Progress reports and monitoring - Final reports and monitoring - Other related documents and records	Elly and client's representatives
	Pusat Antarabangsa	- Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records	SITI ROSHAIZA and client's representatives
	Pusat Jaminan Kualiti (Semakan dokumen dan Pengurusan Risiko)	Review of documents and actions taken on issues identified during the previous audit Risks & Opportunities related documents	PARIMALA and client's representatives
1700	Review of Day 1 findings (if necessary)		Auditors and client's representatives

Day 2/9 (1/12/2020)			
Time	**Agenda**	**Required audit evidences**	**Responsibility**
0930 - 1700	Operation Activities related to Management of Academic Affairs, Research and Publication **Fakulti Perhutanan dan Alam Sekitar** – PARIMALA **Sekolah Perniagaan dan Ekonomi** – SITI ROSHAIZA	- Related procedures - Program review related records - Course Outline - Lesson Plan - Timetables - Course files - Attendances - Course assessments and marking - Course reviews - Walkthrough the e-learning system - Virtual audit on selected labs, lecture hall, tutorial room - Final examinations schedule - Final examination question papers & answer schemes - Answer scripts, Moderation records & Marks spreadsheets - Other related documents & records - Related procedures - Applications records for research and approval - Progress reports and monitoring - Final reports and monitoring Other related documents and records	PARIMALA, SITI ROSHAIZA and client's representatives
	Pejabat Bursar	- Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records	RAJI and client's representatives
1700	Review of Day 2 findings (if necessary)		Auditors and client's representatives

Day 3/9 (2/12/2020)			
Time	**Agenda**	**Required audit evidences**	**Responsibility**
0930 - 1700	Operation Activities related to Management of Academic Affairs, Research and Publication **Fakulti Perhutanan dan Alam Sekitar** – PARIMALA **Sekolah Perniagaan dan Ekonomi** – SITI ROSHAIZA	- Related procedures - Program review related records - Course Outline - Lesson Plan - Timetables - Course files - Attendances - Course assessments and marking - Course reviews - Walkthrough the e-learning system - Virtual audit on selected labs, lecture hall, tutorial room - Final examinations schedule - Final examination question papers & answer schemes - Answer scripts, Moderation records & Marks spreadsheets - Other related documents & records - Related procedures - Applications records for research and approval - Progress reports and monitoring - Final reports and monitoring - Other related documents and records	PARIMALA, SITI ROSHAIZA and client's representatives
	Pejabat Bursar	- Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records	RAJI and client's representatives
1700	Review of Day 3 findings (if necessary)		Auditors and client's representatives

Day 4/9 (3/12/2020)			
Time	**Agenda**	**Required audit evidences**	**Responsibility**
0930 - 1700	Operation Activities related to Management of Academic Affairs, Research and Publication **Fakulti Bahasa Moden dan Komunikasi** – PARIMALA **Taman Pertanian Universiti, Kampus Bintulu** - SITI ROSHAIZA	- Related procedures - Program review related records - Course Outline - Lesson Plan - Timetables - Course files - Attendances - Course assessments and marking - Course reviews - Walkthrough the e-learning system - Virtual audit on selected labs, lecture hall, tutorial room - Final examinations schedule - Final examination question papers & answer schemes - Answer scripts, Moderation records & Marks spreadsheets - Other related documents & records - Related procedures - Applications records for research and approval - Progress reports and monitoring - Final reports and monitoring - Other related documents and records	PARIMALA, SITI ROSHAIZA and client's representatives
	Pejabat Pendaftar	- Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records	RAJI and client's representatives
1700	Review of Day 4 findings (if necessary)		Auditors and client's representatives

Day 5/9 (4/12/2020)			
Time	**Agenda**	**Required audit evidences**	**Responsibility**
0930 - 1700	Operation Activities related to Management of Academic Affairs, Research and Publication **Fakulti Bahasa Moden dan Komunikasi** – PARIMALA **Taman Pertanian Universiti, Kampus Bintulu** - SITI ROSHAIZA	- Related procedures - Program review related records - Course Outline - Lesson Plan - Timetables - Course files - Attendances - Course assessments and marking - Course reviews - Walkthrough the e-learning system - Virtual audit on selected labs, lecture hall, tutorial room - Final examinations schedule - Final examination question papers & answer schemes - Answer scripts, Moderation records & Marks spreadsheets - Other related documents & records - Related procedures - Applications records for research and approval - Progress reports and monitoring - Final reports and monitoring - Other related documents and records	PARIMALA, SITI ROSHAIZA and client's representatives
	Pejabat Pendaftar	- Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records	RAJI and client's representatives
	Pusat Pembangunan Maklumat dan Komunikasi (IDEC)	- Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records	ELLY NADIA and client's representatives
1700	Review of Day 5 findings (if necessary)		Auditors and client's representatives

Day 6/9 (7/12/2020)			
Time	**Agenda**	**Required audit evidences**	**Responsibility**
0930 - 1700	Operation Activities related to Management of Academic Affairs, Research and Publication **Akademi Sukan** – PARIMALA **Fakulti Pertanian** - NASIM **Fakulti Sains** – MANI MAARAN	- Related procedures - Program review related records - Course Outline - Lesson Plan - Timetables - Course files - Attendances - Course assessments and marking - Course reviews - Walkthrough the e-learning system - Virtual audit on selected labs, lecture hall, tutorial room - Final examinations schedule - Final examination question papers & answer schemes - Answer scripts, Moderation records & Marks spreadsheets - Other related documents & records - Related procedures - Applications records for research and approval - Progress reports and monitoring - Final reports and monitoring - Other related documents and records	PARIMALA, NASIM, MANI and client's representatives
	Kolej 10	- Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records	SITI ROSHAIZA and client's representatives
	Pusat Pembangunan Maklumat dan Komunikasi (IDEC)	- Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records	ELLY NADIA and client's representatives
1700	Review of Day 6 findings (if necessary)		Auditors and client's representatives

Day 7/9 (8/12/2020)			
Time	**Agenda**	**Required audit evidences**	**Responsibility**
0930 - 1700	Operation Activities related to Management of Academic Affairs, Research and Publication **Fakulti Pertanian** - NASIM **Fakulti Sains** – MANI MAARAN **Institut Perhutanan Tropika dan Produk Hutan** – SITI ROSHAIZA	- Related procedures - Program review related records - Course Outline - Lesson Plan - Timetables - Course files - Attendances - Course assessments and marking - Course reviews - Walkthrough the e-learning system - Virtual audit on selected labs, lecture hall, tutorial room - Final examinations schedule - Final examination question papers & answer schemes - Answer scripts, Moderation records & Marks spreadsheets - Other related documents & records - Related procedures - Applications records for research and approval - Progress reports and monitoring - Final reports and monitoring - Other related documents and records	NASIM, MANI, SITI ROSHAIZA and client's representatives
	Bahagian Kemasukan dan Bahagian Urus Tadbir Akademik	- Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records	ELLY NADIA and client's representatives
	Pusat Pembangunan Akademik	- Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records	PARIMALA and client's representatives
1700	Review of Day 7 findings (if necessary)		Auditors and client's representatives

Day 8/9 (9/12/2020)			
Time	**Agenda**	**Required audit evidences**	**Responsibility**
0930 - 1500	**Fakulti Kejuruteraan** – MANI MAARAN	- Related procedures - Program review related records - Course Outline - Lesson Plan - Timetables - Course files - Attendances - Course assessments and marking - Course reviews - Walkthrough the e-learning system - Virtual audit on selected labs, lecture hall, tutorial room - Final examinations schedule - Final examination question papers & answer schemes - Answer scripts, Moderation records & Marks spreadsheets - Other related documents & records - Related procedures - Applications records for research and approval - Progress reports and monitoring - Final reports and monitoring - Other related documents and records	MANI and client's representatives
	Pusat Jaminan Kualiti (audit dalaman)	- Internal audit procedure & plan - Internal audit checklists / audit notes - NCR / OFI (if any) - Internal audit report - Other related documents & records	PARIMALA and client's representatives
	Kolej 13	- Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records	ELLY NADIA and client's representatives
	Pusat Pemajuan Kompetensi Bahasa	- Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records	SURI YATI and client's representatives
	Pejabat Pengurusan Keselamatan dan Kesihatan Pekerjaan	- Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records	NASIM and client's representatives
1700	Review of Day 8 findings (if necessary)		Auditors and client's representatives

Day 9/9 (10/12/2020)			
Time	**Agenda**	**Required audit evidences**	**Responsibility**
0930 - 1500	**Pusat Jaminan Kualiti** (MKSP)	- Management review minutes of meeting - Related analyzed data	PARIMALA and client's representatives
	Fakulti Kejuruteraan – MANI MAARAN	- Related procedures - Program review related records - Course Outline - Lesson Plan - Timetables - Course files - Attendances - Course assessments and marking - Course reviews - Walkthrough the e-learning system - Virtual audit on selected labs, lecture hall, tutorial room - Final examinations schedule - Final examination question papers & answer schemes - Answer scripts, Moderation records & Marks spreadsheets - Other related documents & records - Related procedures - Applications records for research and approval - Progress reports and monitoring - Final reports and monitoring - Other related documents and records	MANI and client's representatives
	Pejabat Strategi Korporat dan Komunikasi	- Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records	SURI YATI and client's representatives
	Bahagian Pembangunan (Kampus Bintulu)	- Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records	NASIM and client's representatives
1500-1600	Preparation of Report		Auditors
1600	Closing Meeting: Presentation of Findings and Recommendation		Auditors and client's representatives