File no.   :   20190100614

Date   :   08.12.2021

Universiti Putra Malaysia
43400 Serdang
Selangor Darul Ehsan

Attn. : Pn Rozi Tamin

Tel : 603-8947 1555 / 1512
Fax : 603-8947 2098

Dear Madam,

ISO 9001:2015 & ISO/IEC 27001:2013– AUDIT PLAN FOR REMOTE AUDIT (REV 03)

Please be informed that Recertification Audit of your organization's certification scheme against ISO 9001:2015 has been scheduled on 13th until 17th December 2021.

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

Please ensure all documents and records identified in this audit plan shall be submitted prior or during the audit. It is also advisable to test the platform compatibility including granting security and/ or profile access prior to the audit.

Thank you.

Yours sincerely,

Hanida Ghazali
Audit Team Leader
Service Section
Management System Certification Department
SIRIM QAS International Sdn. Bhd.
H/P No. : 012- 7481970
Fax No. : 03 - 55446414
E-mail   : hanidaghazali@gmail.com

AUDIT PLAN

1. Type of Audit

☐	Stage 1 Audit	☐	Stage 2 Audit	☐	Surveillance Audit
☐	**Recertification Audit**	☐	Special Audit	☐	Transfer Audit

2. Audit objectives

☐ **To review certification scheme documented information**

☐ To verify client readiness to proceed for Stage 2 Audit by gaining a sufficient understanding of the client's certification system and site operations in the context of the standard or other normative document

☐ **To evaluate the implementation, including effectiveness, of the client's certification system**

☐ **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**

☐ **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**

☐ To evaluate the implementation, including effectiveness, of the client's certification system due to transfer of certification from previous CB

☐ **To verify adequacy and effectiveness implementation of corrections and corrective actions to close NCR arising from the findings of previous audit (if any)**

☐ Others (please specify):

3. Date of audit : 13th until 17th December 2021

4. Site of audit :

Universiti Putra Malaysia
43400 Serdang
Selangor Darul Ehsan

5. Scope of certification:

ISO 9001:2015
Perkhidmatan pengajian pendidikan di peringkat *tertiary*, pengurusan dan pelaksanaan penyelidikan, perhubungan industri dan masyarakat, pengurusan pembangunan pelajar dan alumni, dan perkhidmatan korporat

ISO/ IEC 27001:2013
1) Sistem Pengurusan Keselamatan Maklumat Bagi Proses Pendaftaran Pelajar Baharu Prasiswazah Merangkumi Aktiviti Semakan Tawaran Hingga Pendaftaran Kolej Kediaman.

2) Sistem Pengurusan Keselamatan Maklumat Bagi Proses Penilaian Pengajaran Prasiswazah Di Fakulti.

6. Audit criteria

  a) ISO 9001:2015
  b) ISO/IEC 27001:2013
  c) Client's documentation

7. Audit team & role

ISO 9001:2015

  a) Audit Team Leader : Hanida Ghazali

  b) Auditor

Siti Roshaiza Ali
Parimala Devi Ganesan
Mani Maaran Krishnan
Iskahaarrudin Ahmad
Lt Kol (B) Abd Lataf Daud
Md Shah Mohd Said
Sarasvathy Sundara Pathar
Maznah Mat Isa
Hamidah Ab Hamid
Mohamad Abdul Kadir Johari
Hj Shahanif Hj Hasan
Asiyah Haron

ISO/ IEC 27001:2013

a) Audit Team Leader
b) Auditor

Nur Eliana Abdul Razak
Suhaila Ariffin

  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 : 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

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

		13.12.2021	14.12.2021	15.12.2021	16.12.2021	17.12.2021
1.	Hanida Ghazali **(QMS)**	Bahagian Kaunseling UPM	CQA - Risks - MKSP (session with top mgmt.) 14/12 2.30 pm	Institut Penyelidikan Produk Halal	Fakulti Sains Pertanian dan Perhutanan, Kampus Bintulu	Fakulti Sains Pertanian dan Perhutanan, Kampus Bintulu
2.	Hj. Shahanif Hj Hasan **(QMS)**	Fakulti Ekologi Manusia	Fakulti Ekologi Manusia	Bahagian Hal Ehwal Pelajar		
3.	Asiyah Haron (QMS)				Fakulti Perubatan dan Sains Kesihatan	Fakulti Perubatan dan Sains Kesihatan
4.	Siti Roshaiza Ali **(QMS)**	Fakulti Sains dan Teknologi Makanan	Fakulti Sains dan Teknologi Makanan	Sekolah Pengajian Siswazah	Institut Biosains	Institut Biosains
5.	Parimala Devi Ganesan **(QMS)**	Fakulti Bioteknologi dan Sains Biomolekul	Fakulti Bioteknologi dan Sains Biomolekul	Fakulti Perubatan Veterinar	Fakulti Perubatan Veterinar	
6.	Mani Maaran Krishnan **(QMS)**	Kolej Tun Dr Ismail	Pusat Pembangunan Keusahawanan dan Kebolehpasaran Graduan	Institut Pertanian Tropika dan Sekuriti Makanan		
7.	Iskahaarrudin Ahmad **(QMS)**	Kolej Sultan Alaeddin Sulaiman Shah	Pejabat Pembangunan dan Pengurusan Aset	Pejabat Pembangunan dan Pengurusan Aset	Perpustakaan Sultan Abdul Samad	Perpustakaan Sultan Abdul Samad
8.	Abd Lataf Daud **(QMS)**	Pusat Kokurikulum dan Pembangunan Pelajar	Pusat Transformasi Komuniti Universiti			
9.	Md Shah Md Said **(QMS)**			Bahagian Pengurusan Akademik dan Penyelidikan, Kampus Bintulu	Pejabat Bursar (Perolehan)	Pusat Strategi dan Perhubungan Korporat (Risiko strategi dan maklum balas Pelanggan) – including complaints

	13.12.2021	14.12.2021	15.12.2021	16.12.2021	17.12.2021
10. Sarasvathy Sundara Pathar **(QMS)**				Pusat Pengurusan Penyelidikan	Bahagian Audit Dalam
11. Maznah Mat Isa **(QMS)**			Pusat Kesihatan Universiti	Pusat Kesihatan Universiti	CQA - Internal audit
12. Hamidah Ab. Hamid **(QMS)**	Kolej Tujuh Belas	Putra Science Park	Bahagian Kewangan, Kampus Bintulu		
13. Mohamad Abdul Kadir Johari **(QMS)**				Pejabat Pendaftar - Including training	Pejabat Pendaftar
1. Nur Elliana Abdul Razak (ISMS)	Pusat Jaminan Kualiti Pejabat Pendaftar	Bahagian Hal Ehwal Pelajar Bahagian Kemasukan dan Bahagian Urus Tadbir Akademik *Session with top mgmt.* 2.30 pm	Sekolah Perniagaan dan Ekonomi Fakulti Sains Komputer dan Teknologi Maklumat Pusat Pembangunan Akademik (CADe)	Fakulti Pertanian Fakulti Sains Fakulti Kemanusiaan, Pengurusan dan Sains , UPM Kampus Bintulu	Kolej Canselor Kolej Empat Belas Kolej Sri Rajang, UPM Kampus Bintulu
2. Suhaila Ariffin (ISMS)	Pusat Pembangunan Maklumat dan Komunikasi (IDEC)	Pejabat Pengurusan Keselamatan dan Kesihatan Pekerjaan (Pelan Kesinambungan Perkhidmatan) Pejabat Penasihat Undang-Undang Pusat Pembangunan Maklumat dan Komunikasi (IDEC) - Lawatan (secara maya) ke Pusat Data dan Pusat Pemulihan Bencana			

DETAILS OF REMOTE AUDIT PLAN (ISO 9001:2015)

Day 1	13.12.2021		
Time	**Agenda**	**Required audit evidences**	**Responsibility**
0930 - 1000	OPENING MEETING – WEB CONFERENCING - Briefing by client's representative on any changes to the system since last audit - Briefing on Audit Plan		Auditors and client's representatives
1000 - 1700	Operation Activities related to Bahagian Kaunseling UPM	- Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records	Hanida and client's representatives

	Operation
	Activities related to:
	   1. Curriculum Design & Development
	   2. Teaching And Learning Services at Tertiary Level
	   3. Management And Implementation of Research and Innovation
	
	Fakulti Ekologi Manusia (Hj Shahanif)
	Fakulti Sains dan Teknologi Makanan (Siti Roshaiza)
	Fakulti Bioteknologi dan Sains Biomolekul (Parimala)
		- 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
			Hj Shahanif, Siti Roshaiza, Parimala, and client's representatives

	Operation Activities related to: Pusat Kokurikulum dan Pembangunan Pelajar	- Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records	Lataf and client's representatives
	Operation Activities related to: Kolej Tun Dr Ismail (Mani) Kolej Sultan Alaeddin Sulaiman Shah (Iskaha) Kolej Tujuh Belas (Hamidah)	- Related procedures - Records on college requirements - Records on Maintenance - Relevant minutes of meetings - Other related documents & records - Customer complaints forms - Reports on complaint investigations Other related documents & records	Mani, Iskaha, Hamidah and client's representatives
1700	Review of Day 1 findings (where necessary)		Auditors and client's representatives

Day 2	14.12.2021		
Time	**Agenda**	**Required audit evidences**	**Responsibility**
	Review on actions on previous issues Review of documentation including control of documented information Review on effectiveness of actions towards Risks and Opportunities Performance evaluation - Management review including an interview session with the top management	- Previous findings from SIRIM audit and actions involved - Quality Manual - Procedures and related forms - Risks & Opportunities related documents - Related minutes of meeting - Management review minutes of meeting Related analyzed data	Hanida and client's representatives

0930 - 1700	Operation
	Activities related to:
	  1. Curriculum Design & Development
	  2. Teaching And Learning Services at Tertiary Level
	  3. Management And Implementation of Research and Innovation
	
	Fakulti Ekologi Manusia (Hj Shahanif)
	Fakulti Sains dan Teknologi Makanan (Siti Roshaiza)
	Fakulti Bioteknologi dan Sains Biomolekul (Parimala)
		- 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
			Hj Shahanif, Siti Roshaiza, Parimala, and client's representatives

	Operation Activities related to Pusat Pembangunan Keusahawanan dan Kebolehpasaran Graduan	- Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records	Mani and client's representatives
	Operation Activities related to Pejabat Pembangunan dan Pengurusan Aset	- Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records	Iskaha and client's representatives
	Operation Activities related to Pusat Transformasi Komuniti Universiti	- Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records	Lataf and client's representatives

Day 2	14.12.2021		
Time	**Agenda**	**Required audit evidences**	**Responsibility**
	Operation Activities related to Putra Science Park	- Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records	Hamidah and client's representatives
1700	Review of Day 2 findings (where necessary)		Auditors and client's representatives

Day 3	15.12.2021		
Time	**Agenda**	**Required audit evidences**	**Responsibility**
0930 - 1700	Operation Activities related to: 1. Curriculum Design & Development 2. Teaching And Learning Services at Tertiary Level 3. Management And Implementation of Research and Innovation Sekolah Pengajian Siswazah (Siti Roshaiza) Fakulti Perubatan Veterinar (Parimala) Institut Pertanian Tropika dan Sekuriti Makanan (Mani)	- 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	Siti Roshaiza, Parimala, Mani and client's representatives
	Operation Activities related to Bahagian Pengurusan Akademik dan Penyelidikan, Kampus Bintulu	- Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records	Md Shah and client's representatives
	Operation Activities related to Pusat Kesihatan Universiti	- Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records	Maznah and client's representatives
	Operation Activities related to Bahagian Hal Ehwal Pelajar	- Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records	Hj Shahanif and client's representatives
	Operation Activities related to Institut Penyelidikan Produk Halal	- Related procedures - Applications records for research and approval - Progress reports and monitoring - Final reports and monitoring - Other related documents and records	Hanida and client's representatives

Day 3	15.12.2021		
Time	**Agenda**	**Required audit evidences**	**Responsibility**
	Operation Activities related to Pejabat Pembangunan dan Pengurusan Aset	- Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records	Iskaha and client's representatives
	Operation Activities related to Bahagian Kewangan, Kampus Bintulu	- Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records	Hamidah and client's representatives
1700	Review of Day 3 findings (where necessary)		Auditors and client's representatives

Day 4	16.12.2021		
Time	**Agenda**	**Required audit evidences**	**Responsibility**

0930 - 1700	Operation
	Activities related to:
	  1. Curriculum Design & Development
	  2. Teaching And Learning Services at Tertiary Level
	  3. Management And Implementation of Research and Innovation
	
	Fakulti Sains Pertanian dan Perhutanan, Kampus Bintulu (Hanida)
	Institut Biosains (Siti Roshaiza)
	Fakulti Perubatan Veterinar (Parimala)
	Fakulti Perubatan dan Sains Kesihatan (Asiyah)
		- 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
			Hanida, Siti Roshaiza, Asiyah, Parimala and client's representatives

	Operation Activities related to Perpustakaan Sultan Abdul Samad	- Related procedures - Records on customers' requirements - Acquisition records - Cataloging & indexing records - Circulations records - Stock take records - Relevant minutes of meetings - Other related documents & records	Iskaha and client's representatives

Day 4	16.12.2021		
Time	**Agenda**	**Required audit evidences**	**Responsibility**
	Pejabat Bursar (Perolehan) - Control of externally provided process, products and services	- Related procedures - Records on customers' requirements - Suppliers evaluation forms - Relevant minutes of meetings - Other related documents & records	Shah and client's representatives
	Operation Activities related to Pusat Kesihatan Universiti	- Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records	Maznah and client's representatives
	Operation Activities related to Pusat Pengurusan Penyelidikan	- Related procedures - Applications records for research and approval - Progress reports and monitoring - Final reports and monitoring - Other related documents and records	Sarasvathy Sundara Pathar and client's representatives
	Pejabat Pendaftar - Including training	- Relevant procedures - TNA / TNI - Training evaluations - Post training evaluations - Relevant minutes of meetings - Other related documents & records	Kadir and client's representatives
1700	Review of Day 4 findings (where necessary)		Auditors and client's representatives

Day 5	17.12.2021		
Time	**Agenda**	**Required audit evidences**	**Responsibility**
0930 - 1430	CQA Performance evaluation - Internal audit	- Internal audit plan - Internal audit checklists - NCR / OFI - Internal audit reports	Maznah and client's representatives

Day 5	17.12.2021		
Time	**Agenda**	**Required audit evidences**	**Responsibility**

	Operation
	Activities related to:
	   1. Curriculum Design & Development
	   2. Teaching And Learning Services at Tertiary Level
	   3. Management And Implementation of Research and Innovation
	
	Fakulti Sains Pertanian dan Perhutanan, Kampus Bintulu (Hanida)
	Institut Biosains (Siti Roshaiza)
	Fakulti Perubatan dan Sains Kesihatan (Asiyah)
		- 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
			Hanida, Siti Roshaiza, Asiyah and client's representatives

	Operation Activities related to Pusat Strategi dan Perhubungan Korporat (Risiko strategi dan maklum balas Pelanggan) – including complaints	- Related procedures - Records on customers' complaints - Relevant minutes of meetings - Other related documents & records	Shah and client's representatives
	Operation Activities related to Perpustakaan Sultan Abdul Samad	- Related procedures - Records on customers' requirements - Acquisition records - Cataloging & indexing records - Circulations records - Stock take records - Relevant minutes of meetings - Other related documents & records	Iskaha and client's representatives
	Operation Activities related to Bahagian Audit Dalam	- Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records	Sarasvathy Sundara Pathar and client's representatives
	Operation Activities related to Pejabat Pendaftar	- Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records	Kadir and client's representatives
1430-1600	Preparation of Report		Auditors
1600	Closing Meeting : Presentation of Findings and Recommendation		Auditors and client's representatives

File no.   : 20190602821

Date   : 02.12.2021

UNIVERSITI PUTRA MALAYSIA
43400 SERDANG
SELANGOR DARUL EHSAN
MALAYSIA

(Attn. :   PUAN ROZI BINTI TAMIN)

Tel No.   :   03 - 8947 1512 / 019 - 6621400
Fax No.   :   03 - 8947 2037
E-mail   :   t_rozi@upm.edu.my

Dear Madam,

STANDARD: ISO/IEC 27001:2013 – RECERTIFICATION AUDIT PLAN FOR REMOTE AUDIT

Please be informed that **RECERTIFICATION** of your organization's **certification scheme** against **STANDARD: ISO/IEC 27001:2013** has been scheduled on **13-17 December 2021.**

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

Please ensure all documents and records identified in this audit plan shall be submitted prior or during the audit. It is also advisable to test the platform compatibility including granting security and/ or profile access prior to the audit.

Thank you.

Yours sincerely,

Nur Eliana Abdul Razak
(…………………………….…..)
Audit Team Leader
Service Section
Management System Certification Department
SIRIM QAS International Sdn. Bhd.
H/P No.   :   019 – 603 4063
Tel. No.   :   03-55445634
Fax No.   :   03-55446414
E-mail   :   eliana@sirim.my

AUDIT PLAN

15. **Type of Audit**

☐ Stage 1 Audit	☐ Stage 2 Audit	☐ Surveillance Audit
■ Recertification Audit	☐ Special Audit	☐ Transfer Audit

16. **Audit objectives**

■ To review certification scheme documented information

☐ To verify client readiness to proceed for Stage 2 Audit by gaining a sufficient understanding of the client's certification system and site operations in the context of the standard or other normative document

■ To evaluate the implementation, including effectiveness, of the client's certification system

■ 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

■ 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

☐ To evaluate the implementation, including effectiveness, of the client's certification system due to transfer of certification from previous CB

■ To verify adequacy and effectiveness implementation of corrections and corrective actions to close NCR arising from the findings of previous audit

☐ Others (please specify):

17. **Date of audit** : **13-17 December 2021**

18. **Site of audit** : *Remotely*

1) UNIVERSITI PUTRA MALAYSIA, 43400 SERDANG, SELANGOR DARUL EHSAN MALAYSIA

2) UNIVERSITI PUTRA MALAYSIA, KAMPUS BINTULU SARAWAK, JALAN NYABAU, 97008 BINTULU, SARAWAK

19. **Scope of certification**:

1) SISTEM PENGURUSAN KESELAMATAN MAKLUMAT BAGI PROSES PENDAFTARAN PELAJAR BAHARU PRASISWAZAH MERANGKUMI AKTIVITI SEMAKAN TAWARAN HINGGA PENDAFTARAN KOLEJ KEDIAMAN.

2) SISTEM PENGURUSAN KESELAMATAN MAKLUMAT BAGI PROSES PENILAIAN PENGAJARAN PRASISWAZAH DI FAKULTI.

20. **Audit criteria**

d) ISO/IEC 27001:2013
e) Client's documentation

21. **Audit team & role**

    a)   Audit Team Leader   :   NUR ELIANA ABDUL RAZAK –
                                                   019 603 4063, eliana@sirim.my

    b)   Auditor   :   SUHAILA BT ARIFFIN (DAY 1 - 2) -
                                                   013-341 3108, suhaarif@gmail.com

    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*)

22. Methodology of audit

    a)   Remote audit (web conference e.g: *MS Teams*)
    b)   Review of documentation and records – *will be submitted by email/video conferencing during the remote audit.*
    c)   Observation of processes and activities – *via video conferencing that agree with both parties).*
    d)   Interview with client's personnel responsible for the audited area
    e)   Information Communication Technology (ICT): example as followed
             The virtual walkthrough will be conducted in real time using a videocall with Skype / WhatsApp / Zoom / GoToMeeting / MS Teams / Google Hangouts, etc. on a mobile phone / laptop / handheld device / wearable technology etc. that allows the auditor to cover the entire scope of certification.

23. **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.

24. **Working language**   :   English and Bahasa Melayu

25. **Reporting**

    v)   Language   :   English ~~/ Bahasa Melayu~~
    vi)   Format   :   Verbal and written
    vii)   Expected date of issue   :   After closing meeting
    viii)   Distribution List   :   Original copy issued to the client and copy maintained in the client file

26. **Facilities and assistance required**:

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

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

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

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

27. 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) Related documented information for ISMS - SOA related records (but not limited to);

- *Asset Listing*
- *Privilege access rights (list of user access) to server*
- *Sampling of user access to system*
- *Remote access to server*
- *Antivirus*
- *Backup and restore record*
- *Change management record*
- *Maintenance record*
- *Network diagram*
- *Firewall /network security*
- *Agreement/ Contract, NDA, Monitoring of supplier services*
- *Physical access control*
- *CCTV*
- *Incident Report*
- *Software license*
- *Vulnerability Assessment / Pen-Test / SPA report*
- *Others*

28. Details of audit plan   :   As follows

DETAILS OF AUDIT PLAN

<table>
<tr><td colspan="3">DAY 1/5: 13th December 2021 - Web Conference</td></tr>
<tr><th>Time</th><th>Agenda</th><th>Responsibility</th></tr>
<tr>
<td>0930 – 1000
(Web conference)</td>
<td>
<u>Virtual Opening Meeting</u>

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

</td>
<td>SIRIM's auditors and client's representatives</td>
</tr>
<tr>
<td rowspan="4">1000 – 1700
(Offsite review & web conference)</td>
<td>Review of actions taken on nonconformities identified during the previous audit</td>
<td>SIRIM's auditors</td>
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<td>Review of documentation against requirements of ISO/IEC 27001:2013</td>
<td rowspan="3">SIRIM's auditor (Eliana) and client's representatives @ Pusat Jaminan Kualiti & Pejabat Pendaftar</td>
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Audit on the activities related to following requirements:

Documented information inclusive of creating and updating and control of documented information.
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.
Planning inclusive of actions to address risks and opportunities, information 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.

Verification on the effectiveness of control as per Statement of Applicability in relation to:

Information security policies (A.5)
Organization of information security (A.6)

Department & records may involve in auditing session (not limited to):
<blockquote>Management & Secretariat</blockquote>

Review of actions taken on nonconformities & OFI identified during the previous audit
Action taken by organization with supporting documents
ISMS Manual
Statement of Applicability (SOA)
Management Review
Input: slide presentation
Output: minute of meeting
ISMS objectives, monitoring and the achievement
Document management
Document master list
Information classification and labelling
Risk Assessment
Risk Assessment Report and Risk Treatment Plan

Department may involve in auditing session:
<blockquote>Internal audit team</blockquote>

Internal Audit
Audit plan, Audit Report & Audit findings with action taken

Support inclusive of resources, competence, awareness and communication (covering control A.7 Human Resource Security) @ PEJABAT PENDAFTAR

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DAY 1/5: 13th December 2021 - Web Conference		
Time	**Agenda**	**Responsibility**
1000 – 1700 (Offsite review & web conference)	Audit on the activities related to following requirements: *** 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 in relation to **PUSAT PEMBANGUNAN MAKLUMAT DAN KOMUNIKASI (IDEC)** for any controls related. i.e.: • *A.8 Asset Management* • *A.9 Access Control* • *A.10 Cryptography* • *A.11 Physical and Environmental Security* • *A.12 Operations Security* • *A.13 Communications Security* • *A.14 System Acquisition, Development and Maintenance* • *A.15 Supplier Relationships* Verification on the effectiveness of control as per Statement of Applicability in relation to : • Information security incident management (A.16) • Information Security Aspects of Business Continuity Management (A.17)	SIRIM's auditor (SUHAILA) and client's representatives @ **IDEC**
1700	Review of Day 1 Findings via video conference	SIRIM's auditors and client's representatives

DAY 2/5: 14th December 2021 - Web Conference		
Time	**Agenda**	**Responsibility**
0930 – 1700 (Offsite review & web conference)	Audit on the activities related to following requirements: *** 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 in relation to Proses Pendaftaran Pelajar Baharu Prasiswazah at: • **BAHAGIAN HAL EHWAL PELAJAR** • **BAHAGIAN KEMASUKAN DAN BAHAGIAN URUS TADBIR AKADEMIK** *Audit on the activities related to following requirements:* **@ *2.30pm*** • ***Leadership*** *inclusive of leadership and commitment, policy and organizational roles, responsibilities and authorities.* • **Interview with Top Management**	SIRIM's auditor (Eliana) and client's representatives
0930 – 1700 (Offsite review & web conference)	Audit on the activities related to following requirements: *** 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 PENGURUSAN KESELAMATAN DAN KESIHATAN PEKERJAAN**: Covering A.17: Information Security Aspects of Business Continuity Management • **PEJABAT PENASIHAT UNDANG-UNDANG**: Covering A.18: Compliance	SIRIM's auditor (SUHAILA) and client's representatives

DAY 2/5: 14th December 2021 - Web Conference		
Time	**Agenda**	**Responsibility**
	• **PUSAT PEMBANGUNAN MAKLUMAT DAN KOMUNIKASI (IDEC)**: Site visit to Data Centre (DC) and Disaster Recovery Centre (DRC) - *virtual walkthrough*	
1700	Review of Day 2 Findings via video conference	SIRIM's auditors and client's representatives

DAY 3/5: 15th December 2021 - Web Conference		
Time	**Agenda**	**Responsibility**
0930 – 1700 (Offsite review & web conference)	Audit on the activities related to following requirements: *** 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 in relation to Proses Penilaian Pengajaran Prasiswazah at: • **SEKOLAH PERNIAGAAN DAN EKONOMI** • **FAKULTI SAINS KOMPUTER DAN TEKNOLOGI MAKLUMAT** • **PUSAT PEMBANGUNAN AKADEMIK (CADE)**	SIRIM's auditor (Eliana) and client's representatives
1700	Review of Day 3 Findings via video conference	SIRIM's auditors and client's representatives

DAY 4/5: 16th December 2021 - Web Conference		
Time	**Agenda**	**Responsibility**
0930 – 1700 (Offsite review & web conference)	Audit on the activities related to following requirements: *** 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 in relation to Proses Penilaian Pengajaran Prasiswazah at: • **FAKULTI PERTANIAN** • **FAKULTI SAINS** • **FAKULTI KEMANUSIAAN, PENGURUSAN DAN SAINS , UPM KAMPUS BINTULU**	SIRIM's auditor (Eliana) and client's representatives
1700	Review of Day 4 Findings via video conference	SIRIM's auditors and client's representatives

DAY 5/5: 17th December 2021 - Web Conference		
Time	**Agenda**	**Responsibility**
0930 – 1300 (Offsite review & web conference)	Audit on the activities related to following requirements: * **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 in in relation to Proses Pendaftaran Pelajar Baharu Prasiswazah at:: • **KOLEJ CANSELOR** • **KOLEJ EMPAT BELAS** • **KOLEJ SRI RAJANG, UPM KAMPUS BINTULU**	SIRIM's auditor (Eliana) and client's representatives
1300-1400	Lunch break	All
1400-1500	Continue audit with unfinished elements	SIRIM's auditors and client's representatives
1500-1600	Preparation of Report	SIRIM's auditors
1600-1700 (web conference)	Closing Meeting: Presentation of Findings and Recommendation - via video conference	SIRIM's auditors and client's representatives

* Operations will cover: control A.8 Asset Management, A.9 Access Control, A.10 Cryptography, A.11 Physical and Environmental Security, A.12 Operations Security, A.13 Communications Security, A.14 System Acquisition, Development and Maintenance and A.15 Supplier Relationships

* At least 50% of applicable controls as per the Statement of Applicability will be sampled that shall also consider the risk exposed as per the Risk Assessment Report and Risk Treatment Plan

** The video conference will be one to one between auditor and auditee. The video conference may also be continuing along the audit or at the specific time during the audit.