



File no. : 20190103598

Date : 17th November 2020

International Islamic University Malaysia
Jalan Gombak
53100 Kuala Lumpur
Wilayah Persekutuan

Attn. : AP Dr Lihanna Borhan / En Yusrizal Rejab)

Tel No. : 03 - 61966785

Fax No. : 03 - 61964867

Dear Sir,

ISO9001:2015 – AUDIT PLAN FOR REMOTE AUDIT

Please be informed that Surveillance Audit of your organization's certification scheme against ISO 9001:2015 has been scheduled on 23rd until 27th November 2020.

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,

A handwritten signature in red ink is written over a circular official stamp. The stamp contains text that is partially obscured by the signature but appears to include 'SIRIM QAS' and 'INTERNATIONAL'.

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
- Others (please specify):

3. **Date of audit** : 23rd until 27th November 2020

4. **Site of audit** : Remote audit

5. Scope of certification:

Management Of Academic Affairs, Research And Publication, Student Development And Corporate Services (refer Annex)

6. Audit criteria

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

7. Audit team & role

- a) Audit Team Leader : Hanida Ghazali
b) Auditor : Elly Nadia Che Afzar
Parimala Devi Ganesan
Lt. Kol (B) Abd Lataf Bin Daud
Siti Roshaliza Binti Ali
Sarasvathy Sundara Pathar

- 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;
- h) ~~Medical device supply records (for schemes under MDA);~~
- i) ~~Post-market surveillance and vigilance report (for schemes under MDA);~~
- j) ~~Others (based on scheme)~~

14. Details of audit plan : As follows

	23.11.2020	24.11.2020	25.11.2020	26.11.2020	27.11.2020
Hanida			Kulliyah of Language Management Pagoh	Kulliyah of Language Management Pagoh	Management review Risks monitoring Gombak
Elly Nadia	Kulliyah of Architecture and Environmental Design Gombak	Kulliyah of Architecture and Environmental Design Gombak	Kulliyah of Education Gombak	Kulliyah of Education Gombak	Internal audit ISO 9001 Gombak
Siti Roshaza		Kulliyah of Dentistry Kuantan	Kulliyah of Dentistry Kuantan	Centre for Foundation Studies (CFS) – T&L Gambang	Centre for Foundation Studies (CFS) – Student Services Gambang
Parimala	Kulliyah of Medicine Kuantan	Kulliyah of Medicine Kuantan	Library Kuantan	Centre for Foundation Studies (CFS) – Infrastructure & maintenance Gambang	Centre for Postgraduate Studies (CPS) Gombak
Abd Lataf	Alumni Relations Division (ARD) International Institute for Muslim Unity (IIMU) Gombak	Management Services Division (MSD) Gombak	Centre for Professional Development (CPD) Customer Complaints Gombak	Library Gombak	Research Management Centre (RMC) Gombak
Saras	Information Technology Division (ITD) Gombak	Counselling & Career Service Centre (CCSC) Gombak	Office of Deputy Rector (Academic & Industrial Linkages) Gombak		

DETAILS OF REMOTE AUDIT PLAN

Day 1			
Time	Agenda	Required audit evidences	Responsibility
1100	<p>OPENING MEETING – WEB CONFERENCING</p> <ul style="list-style-type: none"> - Briefing by client's representative on any changes to the system since last audit - Briefing on Audit Plan 		Top Management & committee members, Auditors
0930 - 1700	<p>Operation Activities related to Management Of Academic Affairs, Research And Publication</p> <p>Kulliyyah of Architecture and Environmental Design - Elly Kulliyyah of Medicine - Parimala</p>	<ul style="list-style-type: none"> - 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 	Elly, Parimala and client's representatives
	<p>Alumni Relations Division (ARD)</p> <p>International Institute for Muslim Unity (IIMU)</p>	<ul style="list-style-type: none"> - Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records - 	Lataf and client's representatives
	<p>Information Technology Division (ITD)</p>	<ul style="list-style-type: none"> - Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records 	Saras and client's representatives
1700	<p>Review of Day 1 findings (if necessary)</p>		Auditors and client's representatives

Day 2			
Time	Agenda	Required audit evidences	Responsibility
0930 - 1700	<p>Operation Activities related to Management Of Academic Affairs, Research And Publication</p> <p>Kulliyyah of Architecture and Environmental Design - Elly Kulliyyah of Medicine – Parimala Kulliyyah of Dentistry – Siti Roshaiza</p>	<ul style="list-style-type: none"> - 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 	Elly, Parimala, Siti Roshaiza and client's representatives
	Management Services Division (MSD)	<ul style="list-style-type: none"> - Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records 	Lataf and client's representatives
	Counselling & Career Service Centre (CCSC)	<ul style="list-style-type: none"> - Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records 	Saras and client's representatives
1700	Review of Day 2 findings (if necessary)		Auditors and client's representatives

Day 3			
Time	Agenda	Required audit evidences	Responsibility
0930 - 1700	<p>Operation Activities related to Management Of Academic Affairs, Research And Publication</p> <p>Kulliyyah of Education - Elly Kulliyyah of Dentistry – Siti Roshaliza Kulliyyah of Language Management - Hanida</p>	<ul style="list-style-type: none"> - 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 	Elly, Siti Roshaliza, Hanida and client's representatives
	Library - Kuantan	<ul style="list-style-type: none"> - Related procedures - Records on customers' requirements - Acquisition records - Cataloging & indexing records - Circulations records - Stock take records - Relevant minutes of meetings - Other related documents & records 	Pari and client's representatives
	Centre for Professional Development (CPD)	<ul style="list-style-type: none"> - Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records 	Lataf and client's representatives
	Customer Complaints	<ul style="list-style-type: none"> - Customer complaints forms 	

		<ul style="list-style-type: none"> - Reports on complaint investigations - Other related documents & records 	
	Office of Deputy Rector (Academic & Industrial Linkages)	<ul style="list-style-type: none"> - Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records 	Saras and client's representatives
1700	Review of Day 3 findings (if necessary)		Auditors and client's representatives

Day 4			
Time	Agenda	Required audit evidences	Responsibility
0930 - 1700	Operation Activities related to Management Of Academic Affairs, Research And Publication Kulliyah of Education - Elly Centre for Foundation Studies (CFS) – Siti Roshaiza Kulliyah of Language Management - Hanida	<ul style="list-style-type: none"> - 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 <ul style="list-style-type: none"> - Related procedures - Applications records for research and approval - Progress reports and monitoring - Final reports and monitoring - Other related documents and records 	Elly, Siti Roshaiza, Hanida and client's representatives

	Centre for Foundation Studies (CFS)- Infrastructure & maintenance	<ul style="list-style-type: none"> - Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records 	Parimala and client's representatives
	Library - Gombak	<ul style="list-style-type: none"> - Related procedures - Records on customers' requirements - Acquisition records - Cataloging & indexing records - Circulations records - Stock take records - Relevant minutes of meetings - Other related documents & records 	Lataf and client's representatives
1700	Review of Day 4 findings (if necessary)		Auditors and client's representatives

Day 5			
Time	Agenda	Required audit evidences	Responsibility
0930 - 1500	Review of actions taken on issues identified during the previous audit	<ul style="list-style-type: none"> - Previous findings from SIRIM audit and actions involved 	Hanida and client's representatives
	Management review	<ul style="list-style-type: none"> - Management review minutes of meeting - Related analyzed data 	
	Risks & Opportunities monitoring	<ul style="list-style-type: none"> - Risks & Opportunities related documents 	
	Internal audit	<ul style="list-style-type: none"> - Internal audit procedure & plan - Internal audit checklists / audit notes - NCR / OFI (if any) - Internal audit report - Other related documents & records 	Elly and client's representatives
	Centre for Foundation Studies (CFS) – Student Services	<ul style="list-style-type: none"> - Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records 	Siti Roshaza and client's representatives

	Centre for Postgraduate Studies (CPS)	<ul style="list-style-type: none"> - Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records 	Pari and client's representatives
	Research Management Centre (RMC)	<ul style="list-style-type: none"> - Related procedures - Records on customers' requirements - Relevant minutes of meetings - Other related documents & records 	Lataf and client's representatives
1500-1600	Preparation of Report		Auditors
1600	Closing Meeting : Presentation of Findings and Recommendation		Auditors and client's representatives

