

Corporate Management - Enterprise Risk Register

Risk Ref.	Category	Risk Description	Date Raised	Potential Consequences	Inherent Risk			Control / Mitigation Measures	Assurance	Residual Risk			Risk Owner
					Likelihood L (1-5)	Impact I (1-5)	Rank L x I			Likelihood P (1-5)	Impact I (1-5)	Rank P x I	
01	Financial	Potential opportunity loss due to ineffective financial management	17.01.2022	<ol style="list-style-type: none"> Budget Virement Budget overspent for unplanned event/procurement/program 	4	3	12	<ol style="list-style-type: none"> Regular budget monitoring Monthly reporting Quarterly reporting Audit (internal/external) Asset management system Staff assembly Internal circular Treasury Instruction SSLO,1999 (Amended 2019) Statutory Bodies (Financial and Accounting Procedure) Ordinance 1995. ISO (QP-FIN-01) Permanent agenda at Management Meeting and Head of Sector meeting. 	<ol style="list-style-type: none"> internal Audit external audit ISO audit 	3	2	6	DH, Finance
02	Financial	Potential opportunity loss due to Financial and Procurement procedure non-compliance	17.01.2022	<ol style="list-style-type: none"> procurement at unreasonable price goods & services received not according to specification good & services certified before completion of order 	4	3	12	<ol style="list-style-type: none"> Electronic Compliance Self-Assessment (eCSA) Statutory Bodies (Financial and Accounting Procedure) Ordinance 1995. Treasury Instruction Staff assembly Internal circular ISO (QP-FIN-01) 	<ol style="list-style-type: none"> Plan OACP, Pustaka Negeri Sarawak Tatacara Perolehan Badan Berkanun Negeri 	3	2	6	DH, Finance
03	Financial	Noncompliance due to Payment made after 13 working days	17.01.2022	<ol style="list-style-type: none"> Increase customer complaints Unable to meet KPI and clients charter Bad image 	3	3	9	<ol style="list-style-type: none"> staff assembly internal circular. Treasury Instruction SSLO,1999 (Amended 2019) Statutory Bodies (Financial and Accounting Procedure) Ordinance 1995. ISO (QP-FIN-01)-Purchasing control 	<ol style="list-style-type: none"> ISO Audit eCSA Client's Charter 	2	2	4	DH, Finance
04	Human Resource	Vacant posts cannot be filled immediately due to lengthy recruitment processes when staff resigns/retire/death	17.01.2022	<ol style="list-style-type: none"> Shortage of human resources Backlog of work at vacated position Under achievement of KPI at vacated position 	3	5	15	<ol style="list-style-type: none"> Improved recruitment procedure Recruitment on contract basis in the interim (if permanent vacant post is available) ISO QP-HR-01 Recruitment and Selection 	Risk Management Audit	3	4	12	Human Resource Manager
05	Human Resource	Uneven distribution of responsibilities and tasks due to judgement and perception and trustworthiness of the management for instance,	1.01.2022	<ol style="list-style-type: none"> Decrease in employee satisfaction rate. Burnout 	4	4	16	<ol style="list-style-type: none"> Monitor and evaluate staff satisfaction survey Annual motivation, team-building courses 	1.Risk Management Audit.	3	3	9	Human Resource Manager

		entrusting multiple task to one staff/sectoral level only						3. Request for reshuffling and transfer (where possible) 4. Feedback channel eg: MBJ, customer complaint 5. ISO QP-HR01 Recruitment and Selection2. Annual Employee Satisfaction Survey BSC IP1M3 6. Annual Climate Survey 7. BSC OC2M1 – Internal Culture Rating					
06	Human Resource	Insufficient manpower and imbalance distribution of work due to: eg: only one engineer in the organization to monitor and manage four campuses.	18.01.2022	1. Decrease in employee satisfaction rate. 2. Burnout	4	4	16	1. Creation of new post is included under SODC paper 2. Adherence to the staff recruitment process, HR policies, procedures and guidelines to fill in vacant permanent post	1. Risk Management Audit 2. Human Resource Planning (Strategic Plan for 10 years)	2	5	10	Human Resource Manager
07	Human Resource	Loss of talent	18.01.2022	1. Under achievement of KPI at vacated position	4	4	16	1) Recruitment on contract basis in the interim (if permanent vacant post is available) 2) ISO QP-HR-01 Recruitment and Selection	1) Risk Management Audit	3	4	12	Human Resource Manager
08	Human Resource	Miss match of skills and talent	18.01.2022	1) Dissatisfaction/grievances among staff. 2) Burnout	4	4	16	1) Monitor and evaluate staff satisfaction survey 2) Request for reshuffling and transfer (where possible) 3) Feedback channel eg: MBJ, customer complaint 4) Annual Employee Satisfaction Survey BSC IP1M3 5) Annual Climate Survey 6) BSC OC2M1 – Internal Culture Rating	1) Risk Management Audit	2	5	10	Human Resource Manager
09	Asset Management	Inability to spend fixed asset budget by the fourth quarter of the fiscal year due to lack of monitoring and awareness. Eg: 2021 – 38.6% over overall budget	17 Jan 2022	1. Unspent budget 2. Last minute purchase. 3. Contributes to bad reputation to the organization due to poor financial management. 4. Opportunity loss	2	3	6	1. Consistent reminders to all Sector Heads and Assistant Asset Officer in respective campus. Eg: emails/Management Meeting, HOS meeting	1. Quarterly budget performance report 2. Risk Management Audit	1	3	3	Asset Officer
10	Asset Management	Purchase of assets planned was rejected by: 1) Pustaka Board Management	17 Jan 2022	1. Incomplete projects/works 2. Asset Budget unspent	2	3	6	1. Process owner to improvise project proposal with better design and criteria where relevant by 2 nd quarter	1. Quarterly budget performance report	1	2	2	Asset Officer

		2) State Financial Secretary		3. Opportunity loss					2. Risk Management Audit				
11	Asset Management	fixed asset not insured due to human error	17 Jan 2022	1. Financial Loss of unrecorded asset	1	4	4	1. Adhere to Tatacara Pengurusan Aset Alih Pustaka Negeri Sarawak at all times	1. Risk Management Audit	1	3	3	Asset Officer
12	Asset Management	Inability to spend fixed asset budget by the fourth quarter of the fiscal year due to lack of monitoring and awareness. Eg: 2021 – 38.6% over overall budget	17 an 2022	1. Unspent budget 2. Last minute purchase. Contributes to bad reputation to the organization due to poor financial management. 3. Opportunity loss	2	3	6	1. Consistent reminders to all Sector Heads and Assistant Asset Officer in respective campus. Eg: emails/Management Meeting, HOS meeting	1. Quarterly budget performance report 2. Risk Management Audit	1	3	3	Asset Officer
13	Facility - Park	Wet jogging tracks and walking paths due to continuous heavy rain	17/01/2022	1. Increase in Customer complaints 2. Accident / injury may happen due to wet and slippery jogging tracks.	2	3	6	1. ISO (QP-FFM-03)	1. Monthly preventive maintenance	1	2	2	Head of Division, Facilities
14	Facility - Park	Petty crimes in the park and garden areas due to pickpocketing and snatch thieves	17/01/2022	1. Bad image 2. Loss of patrons. 3. Increase customer complaints	2	3	6	1. Improvement on surveillance camera and alarm system 2. Increase police surveillance	1. Public liability insurance	2	3	6	Head of Division, Facilities
15	Facility - Park	Flood due to continuous heavy rain and prone during monsoon season	17/01/2022	1. Loss of assets	1	4	4	1. Clearing of clogged drainage at park areas 2. ISO -Preventive Maintenance (QP-FFM-03)	1. Monthly maintenance contract on garden and park cleaning services with DBKU	1	4	4	Head of Division, Facilities
16	Facility Mgmt.	Customers are attracted to other premises to hold event and activities due to better facilities and can accommodate more capacity.	17/01/2022	1. Loss of revenue 2. Drop in Customer Retention Rating	2	1	2	1. Division of activities into separate rooms.	1. To provide up-to date system and accommodate more room.	1	1	1	Head of Division/Facilities
17	Work Environment	The health and safety of employees due to threats of Covid-19 results	17/01/2022	1. On site working not permitted 2. Staff not allowed to work on site	4	5	20	1. Imposed SOP by Pustaka and SDMC Staff Work by rotation and implement work from home	1. Continue to monitor and observe the situation and report from the authority 2. Directive from State Human Resource Unit on the number of employees to work at the office or to work from home	2	5	10	Head of Division Facilities

18	Work Environment	Complaints on damages/breakdown/malfunction of equipment/facilities/assets received from users	17/01/2022	1. Increase in customer complaints	1	3	3	1. Monthly preventive maintenance (building maintenance) 2. ISO - Management of Work environment (QP-FFM-05)	1. Feedback Management	1	2	2	Head of Division Facilities
19	Work Environment	Working environment not conducive to employees due to Temperature and humidity reading	17/01/2022	1. User comfort is affected 2. Physical condition of the collections affected due to uncontrollable environment 3. Increase customer complaints	1	4	4	1. Monthly preventive maintenance (on physical work environment) 2. ISO - Management of Work environment (QP-FFM-05)	1. OSH practise	1	3	2	Head of Division Facilities
20	Work Environment	Work environment not conducive to employees due to Indoor Air quality	17/01/2022	1. May cause harmful Air pollutants And Health Problems 2. Increase customer complaints	1	4	4	1. Yearly preventive maintenance (on physical work environment) 2. ISO - Management of Work environment (QP-FFM-05)	1. OSH practise	1	3	2	Head of Division Facilities
21	Work Environment	Work environment not conducive to employees due to Lighting quality	17/01/2022	1. Users and staff comfort while reading and doing work may be affected 2. Increase customer complaints	1	4	4	1. Yearly preventive maintenance (on physical work environment) 2. ISO - Management of Work environment (QP-FFM-05)	1. OSH practise	1	3	2	Head of Division Facilities
22	Mail Management	Potential missing mails due to Lost or unregistered of documents upon receipt/delivery.	17/01/2022	1. Opportunity loss or delay in information dissemination by Head Of Department.	1	3	3	1. Policy (incoming and outgoing mail) 2. ISO CC-11 Management of Incoming & Outgoing Correspondences	Risk Management Audit	1	2	2	HOD / HOU CC
23	Marketing	Bad corporate image due to Negative feedback via social media	17/01/2022	1. Increase customer complaint 2. Bad Image for Pustaka Negeri Sarawak	1	4	4	1. FRM-CC-17 Customer Verbal Feedback Form 2. IP5M1 Percentage of Customer Feedback	Risk Management Audit	1	3	3	HOD / HOU CC
24	Marketing	Inaccurate posting in social media	17/01/2022	1. Increase customer complaint 2. Bad Image for Pustaka Negeri Sarawak	1	4	4	1. FRM-CC-17 Customer Verbal Feedback Form 2. IP5M1 Percentage of Customer Feedback	Risk Management Audit	1	3	3	HOD / HOU CC

Low
 Moderate
 High
 Extreme

Last update: 18 JANUARY 2022