Prepared by:	Approved by:
Name : Nurul Afiqah Ibrahim	Name : Dr. Sim Siew Ling
Position: Executive, Centre for Quality Assurance	Position: Director, Centre for Quality Assurance

AMENDMENT RECORDS

No.	Date	Remarks	Revision No.	Approved by
1	01/07/22	Establishment	00	Director, CQA
2	19/07/24	Review on flow chart and description of the procedure	01	Director, CQA
3	23/09/24	Review on flow chart and description of the procedure	02	Director, CQA

1.0 OBJECTIVE

This SOP describes a systematic approach for risk management and assess the opportunity for CQI.

2.0 SCOPE

This SOP covers the identification, the assessment, the action to be taken of the identified risks and the plan review to overcome the risks.

3.0 REFERENCES

ISO 9001:2015 – Quality Management System Manual

4.0 DEFINITIONS / ABBREVIATIONS

CQA	:	Centre for Quality Assurance
CQI	:	Continuous Quality Improvement
HoD	:	Head of Department
QMS	:	Quality Management System
SOP	:	Standard Operating Procedure
UTS	:	University of Technology Sarawak

5.0 RESPONSIBILITY

5.1 The Director of CQA is responsible to ensure that this SOP is adhered to.

5.2 HoD and Deans are responsible to follow and adhere to this SOP.
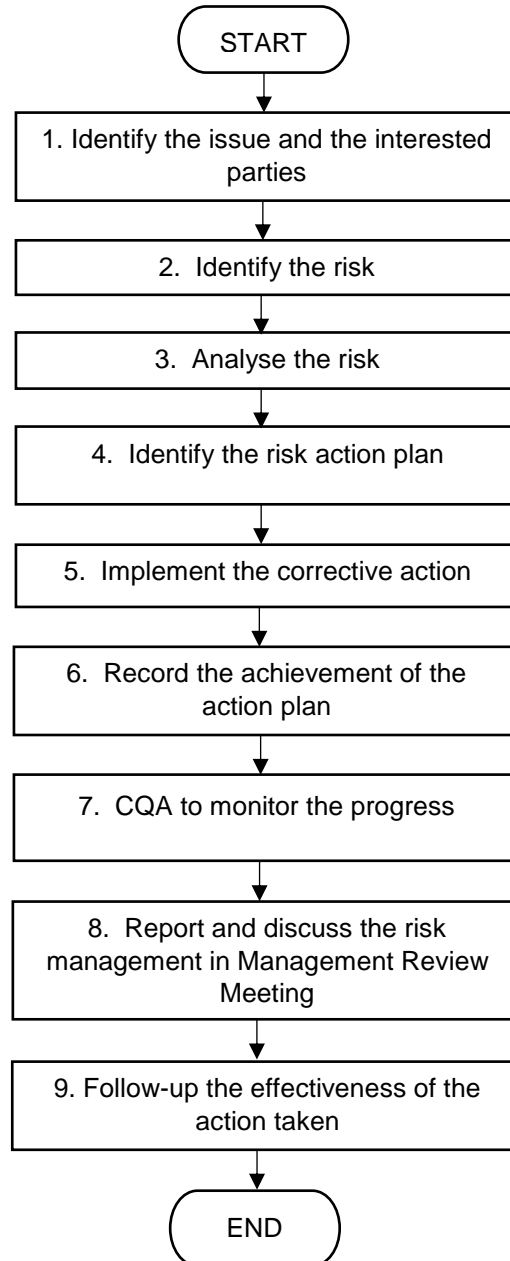
6.0 PROCEDURE

6.1 Refer to the process flow chart in the next page.

```
                    ( START )
                        │
                        ▼
        ┌───────────────────────────────┐
        │ 1. Identify the issue and the │
        │       interested parties       │
        └───────────────────────────────┘
                        │
                        ▼
        ┌───────────────────────────────┐
        │     2.  Identify the risk      │
        └───────────────────────────────┘
                        │
                        ▼
        ┌───────────────────────────────┐
        │      3.  Analyse the risk      │
        └───────────────────────────────┘
                        │
                        ▼
        ┌───────────────────────────────┐
        │  4.  Identify the risk action  │
        │             plan               │
        └───────────────────────────────┘
                        │
                        ▼
        ┌───────────────────────────────┐
        │ 5.  Implement the corrective   │
        │            action              │
        └───────────────────────────────┘
                        │
                        ▼
        ┌───────────────────────────────┐
        │  6.  Record the achievement    │
        │       of the action plan       │
        └───────────────────────────────┘
                        │
                        ▼
        ┌───────────────────────────────┐
        │  7.  CQA to monitor the        │
        │          progress              │
        └───────────────────────────────┘
                        │
                        ▼
        ┌───────────────────────────────┐
        │  8.  Report and discuss the    │
        │  risk management in Management  │
        │        Review Meeting           │
        └───────────────────────────────┘
                        │
                        ▼
        ┌───────────────────────────────┐
        │ 9. Follow-up the effectiveness │
        │      of the action taken        │
        └───────────────────────────────┘
                        │
                        ▼
                    (  END  )
```

7.0   DESCRIPTION

No	Description	Person in Charge	Document
1	Identify the issue and the interested parties. 1.1 Identify the internal and external issues. 1.2 Identify the interested parties that involve in the service operation and delivery.	Top Management	Risk Category (Attachment 1)
2	Identify the risk. 2.1 Discuss and identify the risks and the source of risks involved in the departments/schools.	HoD Deans Process owner	Risk Assessment (UTS-CQA-P14-RA)
3	Analyse the risk. 3.1 The departments/schools to analyse and evaluate the risks by identifying the likelihood and severity level. 3.2 The level of risk can be identified based on the analysis and calculated based on the following formula: Likelihood x Severity = Risk	HoD Deans Process owner	Risk Assessment (UTS-CQA-P14-RA) Table of Likelihood (Attachment 2) Table of Severity (Attachment 3)
4	Identify the risk action plan. 4.1 Develop risk action plan for the identified risk. 4.2 The calculated risk will be differentiated using four (4) different colours as listed below.	HoD Deans Process owner	Risk Assessment (UTS-CQA-P14-RA) Table of Likelihood (Attachment 2) Table of Severity (Attachment 3)

Category	Risk Value
Low	1~4
Medium	5~10
High	11~16
Very High	17~25

4.3 Continuous monitoring will be implemented for low risks (value from 1 to 4). Risk action plan will be implemented to treat moderate and high risks (value from 5 to 25).

Category	Action Plan
Low	No further action may be needed and maintaining control measures is encouraged
Medium	May be considered for further analysis
High	Must be reviewed in a timely manner to carry out improvement strategies
Very High	Must inform top management, implement cease in activity and endorse for immediate action

5	Implement the corrective action.	HoD Deans Process owner	Risk Assessment (UTS-CQA-P14-RA) Table of Likelihood (Attachment 2) Table of Severity (Attachment 3)

6	Record the achievement of the action plan.	HoD Deans Process owner	Risk Assessment (UTS-CQA-P14-RA) Table of Likelihood (Attachment 2) Table of Severity (Attachment 3)
7	CQA to monitor the progress. 7.1 CQA to monitor the progress of the UTS risk assessment annually. 7.2 All departments/centres/schools to review the progress of the risk assessment annually.	CQA HoD Deans	Risk Assessment (UTS-CQA-P14-RA)
8	Report and discuss the risk management in Management Review Meeting.	CQA Top Management	Risk Assessment (UTS-CQA-P14-RA)
9	Follow-up the effectiveness of the action taken. 9.1 Dean / HoD / Process owner of department / school to assess the effectiveness of the plan.	HoD Deans Process owner	Risk Assessment (UTS-CQA-P14-RA)

8.0 RECORDS

No	Title / Records	Location / Responsibility	Retention Period
1	Risk Assessment (UTS-CQA-P14-RA)	Departments, School & CQA	5 years

ATTACHMENT 1: RISK CATEGORY

EXTERNAL ISSUE

Categories	Definition	Issues	Opportunity	Threats
Politic	Risks associated with changes in national leadership and change leadership	Changes in educational direction	Emphasizing more on TVET; align with UTS Vision; To be a global technical university founded on science and technology	Delay in decision making (e.g. government change)
	Risk associated with changes and stability of the state leadership	Changes in policies and budget	Better governance	Affects the vision and mission. Stability
Economy	Risk associated with national income	Economic downturn	Increase the competitiveness and national GDP	Financial crisis; competitiveness
	Risks associated with the organization's funding/economy stability	Lack of fund from state government	Financial sustainability	Financial sustainability and shut down of the operation
	Risk associates with graduates employment	Economic downturn	Employment rate	Companies not able to hire more fresh graduates
		Down trend of employment fresh graduates	Employee benefits	Local low pay and poor benefits

Categories	Definition	Issues	Opportunity	Threats
	Risk associated with external scholarship/sponsorship or loan for students	Stricter policies	Financial assistance benefits	Lower parent income; middle income group
Technology	Risk associates with our graduates knowledge on Information Communication Technology	Down trend of employment fresh graduates	Students/ fresh graduates become self-employed.	Graduate's skills mismatch
		Weak cybersecurity and expose with privacy threats	Effective data protection	Breach of data/ data loss
Legal	Risks related to national legislation, procedures and policies	Changes in policy (e.g. JPT, MQA, Professional Body)	Process improvement (e.g. reduce time and cost)	Unfamiliar with the new policy
	Risk associates with Research and copyright works from staff and students.	Stolen brand identity	Innovation and protective brand identity	Breach of data/ data loss
Social	Risks associated with the public perception towards UTS	Impact on university's image	Good word-of-mouth; positive public perception and brand image	Bad word-of-mouth
	Risk associates with our graduates views by the society	Lack of engagement with industries or society	Enhance community development via USR/CSR; partnership with local and international industrial partner	Lack of partnering with local and international industrial partner; Lack of community development with society

Categories	Definition	Issues	Opportunity	Threats
Environmental	Risk associate with the ranking on green campus and university's environmental sustainability	Inability to maintain the Platinum standard	To be an environmental-friendly and to ensure the sustainable site planning management	Downgrading the rating. Branding degrades.

INTERNAL ISSUE

Categories	Definition	Issue/Risk	Strength	Weakness
Politic	Risk associated with changes in University/ School leadership, stability and change leadership	Changes of management structure leads to introductions of new policies and approach in teaching and learning	New idea from new leadership	So much changes will confuse the staff
Legal	Risk related to University/School legislation, contracts, MoU, procedures and policies	Compliance	Attract more investor	Loss of reputations and confidence in attracting potential customer or industrial linkages.
		MQA, EAC, MBOT	Continuous Quality Improvement	Too much paper works
		MOU (Student Exchange)	International recognition of qualification (students & lecturers)	Works redundancy
Operation	Risk associated with inabilities to deliver our services	Programme accreditation	Programme offer is recognized by MQA/JPT	Not confident with our programme offer
	Risk associated with the work cannot be completed on time	Teaching & learning	Fully Accredited by EAC, MQA	Not enough facilities (lab, classrooms, workshop)
		Recreational activities	Campus near stadium	Facilities breakdown
				Not enough sport facilities

Categories	Definition	Issue/Risk	Strength	Weakness
	Risk associated with the process of work flow within UCTS	Resources	Fully utilize the resources	Lack of fund to build premises
	Risk associated with the system or server down	Oculus system		Cannot key in the data / information (registration, result, application, etc)
		Internal server		
	Risk associated with internal black out / power trip	Power supply		Door accessibility
Financial	Risk associated with financial management, transfers, fraud, etc.	Approval for items to be purchased	Fast and easy approval	Limitation of budget/ Funding
		Project funding		Insufficient project funding
		School budget		Insufficient budget due to low students intake
	Risk associated with financial management (financial constraint)	Funding	Can avoid exploitation of money	Restriction of funding
	Risk associated with the over expenditure (extra events, extra equipment, etc)	Budget		Reduce profit of organization
Manpower	Risk associated with the ability of the workforce, motivation to perform work, high staff turnover, skill shortages & high cost.	Number of staff/ Staff turnover		Lack of lecturers resulting in inability of delivering courses
		Competency	High qualification of lecturers	Expired teaching permit

Categories	Definition	Issue/Risk	Strength	Weakness
Information	Risks associated with resulting information being inaccurate, incomplete, inappropriate & outdated.	Miscommunication in delivering information / Fake news		Rumour/ Wrong information
		Student admission		Changes of the students enrollment from MQA/KPT
Strategy	Risk associated with the strategy of policy failures or mistaken	Achievement of strategy	Success project within stipulated time	Project failure
		Internal (Staff benefits) policy	Special marketing committee set up by school	Less benefits / benefits freeze due to budget constraint
		Lack initiative to promote school		Low students intake
Stakeholder	Risk related to failure to achieved the requirement of stakeholders	Inability to attract potential students		
		Not achieving return of investment		
		Staff requirement		Lack of certified body professional (e.g: LAM, IEM, ACCA)
	Risk associated with student failed in examination	Students performance	Extra Income received from students as they need to repeat paper fees	Low passing rate
				Might cause student cannot graduate on time

Categories	Definition	Issue/Risk	Strength	Weakness
Technology	Risk associated with technology/infrastructure which is incompatible with objectives of the University , integrity, relevance, data security and teaching facilities	Reliability		
		Obsolete of licence and technology		
Infrastructure	Risk associated with not enough teaching facilities	Teaching facilities		Interrupt teaching and learning process
Organization	Risk associated with the organizational structure, accountability, responsibility, which will distribute communication to achieve University objective.	Inorganize ad-hoc decision		
		Lack of proper standard operation procedure		
Manpower	Risks associated with the ability of the workforce, motivation to perform work, high labour turnover, skills shortages, high costs, injury	Competency	Variety of education background	Lack of competency/specialization
		Number of staff	Increase skills staff	Increase workload
				Lack of manpower
				Increase of assets lost
	Risk associated with not enough staff to teach university courses subjects	Number of lecturer	Ratio lecturer : student is high	Increase staff teaching hours / increase staff workload

Categories	Definition	Issue/Risk	Strength	Weakness
Environment	Risk associated with no standardized SOP on waste management (chemical/hazardous waste)	SOP		Every lab technicians might perform different ways for handling waste disposal process

ATTACHMENT 2: TABLE OF LIKELIHOOD

Likelihood	
Rating	**Description**
5 (Very high)	Common or repeated occurrence; OR Happen several times for the past 6 months; OR Occurred at UTS at the frequency of more than once in 6 months.
4 (High)	Happen several times for the past 1 year; OR Happen once or twice for the past 6 months; OR Occurred at UTS at the frequency of more than once in a year; OR Occurred within department at the frequency of more than once in a year.
3 (Moderate)	Happen several times in 3 years or happen several times in 1 year; OR Occurred at UTS at the frequency of more than once in every 3 years; OR As deemed required by the university's BOD; OR Occurred within department at the frequency of more than once in 1 year.
2 (Low)	Happen at least once for 3 years or happen at least twice for 1 year; OR Has occurred in the industry particularly among private universities at national level at least once in 3 years; OR May occur at UTS as deemed required by the university's BOD OR Has occurred in the university with 3 intake a year.
1 (Very low)	Happen at least once for 5 years or happen at least once for 1 year; OR Has occurred in the industry particularly among private universities at international level at least once in 5 years; OR Has occurred in the university with 3 intake a year; OR Unlikely to occur at UTS.

ATTACHMENT 3: TABLE OF SEVERITY

Severity				
5 (Very high)	**4 (High)**	**4 (High)**	**2 (Low)**	**1 (Very low)**
Financial				
Budget to be frozen due to financial constraint	Operational cost to be cut down/reduce	Only focus on necessities	Virement of budget	Insignificant impact
Operation				
Operation of university permanently terminated and will not be revive	Operation terminated temporarily and may be revive	Operation frequency reduced or delayed	Operation issue is manageable	Operation running smoothly without/less issues
Manpower				
Recruit new staff	Recruit part time staff	Restructuring/Job relocation within organization	Job rotation within organization	Job enrichment within department
Information				
Affect the university reputation at State level	Affect the university reputation	Affect the School/Department reputation	Affect the Programme reputation	Affect the Individual/Group of Staff reputation
Strategy				
Complete review and new strategy of student enrolment planning; OR	Major review and major change of student enrolment planning; OR	Minor review and minor change of student enrolment planning; OR	No review but minor ad hoc changes according to situation of student enrolment planning; OR	Continue with current student enrolment planning; OR
Complete change of organisation policy; OR	Major change of organisation policy; OR	Minor change of organisation policy: OR	Revision on guideline and procedure (inter-department); OR	Revision on SOP and forms (department); OR
KPI – achieve **60% of set target**	KPI – achieve **70% of set target**	KPI – achieve **80% of set target**	KPI – achieve **90% of set target**	KPI – achieve **100% of set target**

Severity				
5 (Very high)	**4 (High)**	**4 (High)**	**2 (Low)**	**1 (Very low)**
Technology				
No signal	Line not stable	Slow (<10 mbps)	Moderate (>10 mbps)	Fast (20 mbps)
Organization				
Action at National level	Action at State level	Action University/Management level	Action at Department/Unit/School level	Action at individual/programme level
Infrastructure				
No space for class, lecture hall, offices and storage; OR	Insufficient space for class, lecture hall, offices and storage; OR	Share class, lecture hall, offices, and storage; OR	Sufficient space for class, lecture hall, offices and storage; OR	Excess space for class, lecture hall, offices and storage; OR
No repairing and maintain the facilities and equipment	Hardly to repair and maintain the facilities and equipment	Seldom to repair and maintain the facilities and equipment	Frequent in repairing and maintaining the facilities and equipment	Regularly repair and maintain the facilities and equipment
Safety, Health and Security				
Fatal/ major loss data or physical asset.	Physical disability/ Significant loss of data or physical asset.	Moderate injury/ Moderate loss data or Physical Asset	Minor injury/ Minor loss data or Physical asset.	No injury/loss data or physical asset
Stakeholders				
Complete review and new policy of accreditation bodies, sponsor agencies, and government agencies; OR	Major review and major change on policy of accreditation bodies, sponsor agencies, and government agencies; OR	Minor review and minor change on policy of accreditation bodies, sponsor agencies, and government agencies; OR	No review but minor ad hoc changes on policy of accreditation bodies, sponsor agencies, and government agencies; OR	Continue with current policy of accreditation bodies, sponsor agencies and government agencies; OR

Severity				
5 (Very high)	**4 (High)**	**4 (High)**	**2 (Low)**	**1 (Very low)**
No support from industries, agencies, Alumni and parents	Loss of confidence from industries, agencies, Alumni and parents	Lack of support from industries, agencies, Alumni and parents	Less support from industries, agencies, Alumni and parents	Continuous support from industries, agencies, Alumni and parents
Environment				
Action or correction taken at Department of Environment (National)	Action or correction taken at Department of Environment (State)	Action or correction taken at University/Management level	Action or correction taken at Department/School level	Action or correction taken at individual/programme level
Legal				
Action or correction taken at National level	Action or correction taken at State level	Action or correction taken at University/Management level	Action or correction taken at Department/Unit/School level	Action or correction taken at individual/programme level
Political				
Policy changes in Ministry of Education	Policy changes in Sarawak State Education Department level	Policy changes within University level	Policy changes within School/Department level	Policy changes in Programme/Unit level