RISK REGISTER
PUSTAKA NEGERI SARAWAK

RECORDS MANAGEMENT SECTOR

RISK CATEGORY	1. RISK IDENTIFICATION			2. RISK ANALYSIS AND EVALUATION				3. RISK CONTROL		STATUS
	Activity/ Process	**Risk/ Opportunity**	**Cause**	**Current Risk Control**	**Likelihood**	**Impact**	**Level**	**Recommended Action/ Additional Control**	**Person In Charge (Risk Owner)**	
Compliance/ Legal	Records Management in Government Departments & agencies in Sarawak	Compliance risk	Non-compliance with legislation, regulations, circulars, standards, guidelines and directives relating to records management.	1. Internal Procedures & guidelines 2. ARMS 3. Records Appraisal 4. SRARC 5. ISO 6. Records Management Audit 7. Compliance and Risk Management Review 8. Jadual Pelupusan Rekod	3 (Possible)	3 (Moderate)	**9 (MEDIUM)**	1. Review Compliance & Risk Management 2. Review of Policies & Procedures 3. Conducting Records Management Audit (RMA) 4. File Classification Scheme 5. Jadual Perlupusan Rekod (JPR)- Records Retention and Disposal Schedule	Vincent Jinap	Ongoing
Operational	Disposition of Records (Records Appraisal)	Compliance risk	Non-compliance with legislation, regulations, circulars, standards, guidelines and directives relating to records management.	1. Internal Procedures & guidelines 2. ARMS 3. Records Appraisal 4. SRARC 5. ISO 6. Records Management Audit 7. Compliance and Risk Management Review 8. Jadual Pelupusan Rekod	3 (Possible)	3 (Moderate)	**9 (MEDIUM)**	1. Implement the Disposition of Records based on policies & procedures 2. Conduct Records appraisal procedure	1. Jeysi Halmi 2. Dizronica Nyalau Wan	Ongoing
		Change Management Risk	Lack of manpower & training to conduct records appraisal.		3 (Possible)	4 (Major)	**12 (MEDIUM)**			
		Service pressure	Continues demand from department/ agencies		3 (Possible)	4 (Major)	**12 (MEDIUM)**			
Compliance/ Operational	Disposition of Records (Records Disposal)	Compliance risk	Non-compliance with legislation, regulations, circulars, standards, guidelines and directives relating to records management.	1. Internal Procedures & guidelines 2. ARMS 3. Records Appraisal 4. SRARC 5. Controlled Records Disposal 6. Pelan Anti-rasuah Organisasi 7. ISO 8. Records Management Audit 9. Compliance and Risk Management Review 10. Jadual Pelupusan Rekod 11. Treasury Instruction 150 (TI 150) 12. Ministry of Public Health, Housing and Local Government, Sarawak (MPLHG) instruction (For Local Council records disposition)	3 (Possible)	3 (Moderate)	**9 (MEDIUM)**	1. Implement the Disposition of Records based on policies & procedures 2. Conduct Records Disposal procedure	1. Jeysi Halmi 2. Dizronica Nyalau Wan	Ongoing
		Governance and Policy Risk	Lack of awareness on requirements.		2 (Unlikely)	3 (Moderate)	**6 (MEDIUM)**			
		Delay in records disposal	Limited number of machines available for the disposal process.		2 (Unlikely)	3 (Moderate)	**6 (MEDIUM)**			

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	Activity/ Process	Risk/ Opportunity	Cause	Current Risk Control	Likelihood	Impact	Level	Recommended Action/ Additional Control	Person In Charge (Risk Owner)	
ICT/ Operational	Implementation of Sarawak Digital Records Management System (SDRMS)	Compliance Risk	Unclear direction, policies or procedure from central authority on records management	1. Dasar Keselamatan ICT Kerajaan Negeri Sarawak 2. Government agencies training plan 3. Malaysian Standard 16175 4. Surat Pekeliling ICT No.3/2022 5. Records Management Metadata Policy 6. Proper budget plan according to Malaysian Plan	3 (Possible)	4 (Major)	12 (MEDIUM)	1. Awareness & training 2. Digital Records Policies, standards & Procedures are adhered to during the digital records lifecycle 3. Integration of Records Management System and Line of Business System	Amrul Nasri	Open
		Change Management Risk	Insufficient training and poor support from top management		3 (Possible)	4 (Major)	12 (MEDIUM)			
		Poor integration between line of business in Sarawak Civil Service (SCS) and loss of data during migration process.	The software & hardware for ICT are rapidly change		3 (Possible)	4 (Major)	12 (MEDIUM)			
		Security breach	Unauthorised access to records and cybersecurity issues.		2 (Unlikely)	3 (Moderate)	6 (MEDIUM)			
		Inconsistency on development of File Classification and Metada Management across SCS and other agencies	Inconsistent file classification and metadata management		2 (Unlikely)	3 (Moderate)	6 (MEDIUM)			
		Fiscal Risk	Budget allocation controlled by SCSDU		3 (Possible)	4 (Major)	12 (MEDIUM)			
Operational	Awareness & Training Process	1. Lack of departmental staff awareness and training on records management policies, procedures, and compliance requirements.	1. Limited training sessions due to lack of staff 2. Inconsistent communication of policies 3. High staff turnover leading to knowledge gaps.	1. Ad-hoc training sessions. 2. Circulation of guidelines and manuals. 3. Compliance and Risk Management Review.	3 (Possible)	4 (Major)	12 (MEDIUM)	1. Awareness & training programmes 2. Review training modules & procedures 3. Conduct Records Management Training	Nor Diana (Trainers: All staff in Records Management Division)	Ongoing
		2. Opportunity to strengthen organizational culture and compliance through structured training.			3 (Possible)	3 (Moderate)	9 (MEDIUM)			