

RISK REGISTER PUSTAKA NEGERI SARAWAK

ARCHIVES 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)	
Operational	Transfer and Receipt of Department/ Agency Records and Archives.	1) Opportunity to improve governance, accountability, and legal compliance through effective records transfer.	1) Lack of systematic early risk identification and inconsistent records management practices among agencies.	1) Public records and archival legislation, regulations, transfer guidelines, and compliance monitoring. 2) QP-AM-01 Transfer and Receive of Department/ Agency Records and Archives.	3 (Possible)	2 (Minor)	6 (MEDIUM)	Implement a standardised risk assessment checklist and pre-transfer audit process, supported by clear SOPs, regular training programmes, and digital monitoring system (in ARMS) to strengthen compliance and governance	Ayu Lestari Yahya	In progress
			2) Inconsistent compliance by agencies with retention schedule and transfer timelines.	1) Transfer guidelines, retention schedules, and monitoring procedures. 2) QP-AM-01 Transfer and Receive of Department/ Agency Records and Archives	3 (Possible)	4 (Major)	12 (MEDIUM)	Implement pre-transfer verification and monitoring procedures, supported by standardised SOPs, staff training, and tracking from ARMS to strengthen governance, compliance, and timely transfer of records.	Ayu Lestari Yahya	In progress
			3) Limited awareness or understanding by agencies of Pustaka's role as the authoritative custodian of public records.	1) Awareness programs, briefings, advisory services, and guidance materials for agencies.	2 (Unlikely)	2 (Minor)	4 (LOW)	Enhance awareness and engagement with agencies through structured workshops, clear guidance materials, advisory services, and tracking in ARMS to reinforce compliance and strengthen Pustaka's role as the authoritative custodian of public records.	Ayu Lestari Yahya	Open/Active
				2) Periodic reporting and follow-up with agencies	2 (Unlikely)	2 (Minor)	4 (LOW)	Enhance agency awareness and compliance through structured workshops, guidance materials, advisory support, to reinforce Pustaka's role as the authoritative custodian of public records.	Ayu Lestari Yahya	Active
				3) Rescue of at-risk records on request or discovery	3 (Possible)	3 (Moderate)	9 (MEDIUM)	Implement a formal rescue framework for at risk records	Ayu Lestari Yahya	In progress

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Operational	Transfer and Receipt of Department/ Agency Records and Archives.	2) Records from departments/ agencies are not transferred timely, completely, or securely, resulting in potential loss of records, legal non-compliance, and reduced archival value.	1) The department's weak monitoring and enforcement mechanisms at the departmental level.	1) Public records and archives legislations and regulations.	3 (Possible)	3 (Moderate)	9 (MEDIUM)	Strengthen departmental monitoring and compliance through pre-transfer verification, standardised SOPs, staff training, and a digital tracking system to ensure timely, complete, and secure transfer of records.	Ayu Lestari Yahya	Active
				2) Approved retention schedules and transfer guidelines	3 (Possible)	3 (Moderate)	9 (MEDIUM)	Strengthen monitoring and enforcement through pre-transfer audits, standardised compliance reporting, staff training, and a tracking system to ensure timely, complete and secure records transfer.	Ayu Lestari Yahya	Active
				3) Advisory services, briefings, and awareness programmes.	3 (Possible)	3 (Moderate)	9 (MEDIUM)	Establish a transfer monitoring mechanism (tracking register / dashboard)	Ayu Lestari Yahya	In progress
				4) Periodic follow-up with departments/ agencies.	2 (Unlikely)	2 (Minor)	4 (LOW)	Perform periodic records audits focusing on high-risk agencies and critical records series to strengthen monitoring, enforcement, and compliance.	Ayu Lestari Yahya	Active
				5) Ad-hoc emergency response and case-by-case coordination with agencies.	1 (Rare)	4 (Major)	4 (LOW)	Establish a formal rescue and emergency transfer framework and conduct rapid risk assessments to determine records value, condition, vulnerability, and urgency of intervention.	Ayu Lestari Yahya	Active

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Operational	Reference of records and archives collections at Pustaka Negeri Sarawak	Low usage of collection	1) Limited awareness and promotion of reference services among users.	1) QP-AM-02 Reference of Department/Agency Records and Archives at State Records Repository	2 (Unlikely)	2 (Minor)	4 (LOW)	Conduct promotional activities on reference services.	Rozana Octavia Raymond Umpu	Active
			2) Restrictive Operational Hours.	2) QP-AM-02 Reference of Department/ Agency Records and Archives at State Records Repository	2 (Unlikely)	2 (Minor)	4 (LOW)	Encourage user to use ARMS for reference service.	Rozana Octavia Raymond Umpu	In progress
			3) Limited access to restrictive departmental records.	3) QP-AM-02 Reference of Department/ Agency Records and Archives at State Records Repository	2 (Unlikely)	2 (Minor)	4 (LOW)	To appoint Pegawai Seranta Jabatan to refer to the departmental records.	Rozana Octavia Raymond Umpu	Active
Environmental	Archives storage facilities	Risk of fire, flood, water leakage, or natural disaster affecting archival collections.	Exposure to environmental and geographical hazards.	Routine building maintenance and periodic inspection of electrical and plumbing systems to reduce risk of fire, flooding, and water leakage.	2 (Unlikely)	4 (Major)	8 (MEDIUM)	Develop and implement a formal disaster preparedness and response plan, including fire, flood, water leakage, and natural disaster, with clear roles, responsibilities, and emergency procedures for archival collections.	Rozana Octavia Raymond Umpu	In progress
Operational	Archives preservation competency	Risk of insufficient conservator competency leading to inadequate conservation practices.	1) Limited availability of professionally trained conservators, resulting in reliance on general staff without specialised conservation qualifications or certifications.	1) On the job guidance by experienced staff, engagement of external conservation professional for specialised work, preventive conservation practices, and restricted handling of high-risk materials.	1 (Rare)	4 (Major)	4 (LOW)	1) Engage a professional conservator (local or overseas) to be stationed or regularly engaged at the State Records Repository to lead and supervise specialised conservation treatments and high-risk archival materials. 2) Attach selected staff to the professional conservator's organization for structured hands-on training, skills development, and exposure to recognised conservation standards.	Mohd Aizat Ajis	Active
			2) Dependence on external conservation professionals, limited internal capacity-building, and insufficient knowledge transfer to internal staff.	2) External and overseas conservation professionals are engaged for specialised conservation treatments and high-risk archival materials beyond internal capacity.	2 (Unlikely)	4 (Major)	8 (MEDIUM)	Formalise engagement of external and overseas conservation professionals with clear scopes, risk-based prioritisation, mandatory knowledge transfer, supervised staff involvement, and comprehensive documentation to support specialised and high-risk conservation treatments.	Mohd Aizat Ajis	Active