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RISK Assessment Of Quality Management System ISO 9001:2015

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Integrated Management System (IMS) Project (ISO 9001:2015 QMS, ISO 14001:2015 EMS & ISO 45001:2018 OH&SMS) [View project](#)



RISK IDENTIFICATION OF XYZ ORGANIZATION' QUALITY MANAGEMENT SYSTEM

Activity	Risk	Impact	Risk Analysis				Mitigation /Control
			Consequence (C)	Likelihood (L)	Risk Score (L X C)	Risk Rating	
INFORMATION/ TECHNOLOGY	Male ware/Spam						
	Computer Breakdown						
	Data Security						
	Software /Human Error						
HR & PERSONNEL	Employ dissatisfaction/dispute						
	Insufficient technical skills						
	Inadequate training						
	Absence of a constructive company climate						
	Poor talent management						
	High staff turnover						
	Psychosocial risks, like stress, bullying and harassment						
DISASTERS WHICH EFFECT SENIOR AND KEY STAFF	Accidents while Traveling						
	Key individual losses						



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OPERATIONAL	Rejected product					
	Contaminated / unsafe /defected products (Rework)					
	Unexperienced Staff					
	Planning and scheduling conflicts					
	Late Deliveries/Poor Time & Efficiency Management					
	Improper scheduling for maintained equipment and/or infrastructure					
	Contaminated/damage raw materials					
	Equipment – breakdown – unavailability of parts – no preventive maintenance – no calibration					
	Superseded equipment					
	Raw Material delays/Supplier Non conformance					
CONTRACTUAL/ LEGAL	Breach of contract (either site)					
	Product liability					
	Statutory breaches					
	Changes in Government					
	Legislative changes					



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MARKETING/ CUSTOMER	Defective products/loss of orders					
	Export competition					
	Limited range of products (Contractors)					
	Over-reliance on a small Customers/ Dependence on few ordering parties					
	Loss of marketing channels /buying house					
	Undetected changes in market/customer					
NATURAL AND MAN-MADE DISASTER	Arson					
	Electrical					
	Fire					
	Flooding					
	Industrial accidents					
	Power breakdown					
	Sabotage					
	Malicious damage/vandalism/terrorism					
	Staff exposure to long-term hazards and pollution					
	Water cuts					



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FINANCIAL	Industrial strikes					
	Interruption of supply					
	Loss of records					
	Exchange rates					
	Fines/judgment orders					
	Fraud					
	Inaccurate accounting and/or reporting systems					
	Inadequate costing systems (leading to unsustainable pricing)					
	Inadequate insurance					
	Inventory risk – Old/uselessness stock - Stock losses					
	Negligence of staff					
	Poor cash flow					
	Asset/liability management					
	Credit rating					



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MANAGEMENT SYSTEM	Ineffective training about QMS and Its requirements					
	Lack of Continuous Improvement Process					
	Lack of documented information control					
	Poor communication (internal/external)					
	Lack of customer satisfaction					
	Supplier Performance not monitoring/					
	Ineffective internal /external audit					
	Ineffective corrective action on ➤ Internal audit ➤ MRM ➤ Customer Complaint ➤ Product Non Conformity ➤ Analysis of Data					
	MRM not scheduled timely					
	Resources not provided					
	Objectives not SMART					
	Risk with Product not monitored regularly					
	QMS not formalized effectively					



RISK IDENTIFICATION OF XYZ ORGANIZATION' QUALITY MANAGEMENT SYSTEM

1.0 Risk Analysis

1.1 Likelihood (L) score

Score	Frequency	Description
1	Rare	This will probably never happen or recur
2	Unlikely	Do not expect it to happen or recur but it is possible it may do so
3	Possible	Might happen or recur occasionally
4	Likely	Will probably happen or recur, but it is not a persisting issue / circumstance
5	Almost Certain	Will undoubtedly happen or recur, possibly frequently.

1.2 Consequence(C) score

Consequence	
Catastrophic	5
Major	4
Moderate	3
Minor	2
Negligible	1

1.3 Risk Scoring = Likelihood score (L) x Consequence score (C)

Risk Assessment Matrix						Risk Category		
<-----CONSEQUENCE-->	5	5	10	15	20	25	17-25	<u>Unacceptable/High Risk</u> Stop Activity & Make Immediate Improvements
	4	4	8	12	16	20	10-16	<u>Tolerable/Moderate</u> Look to Improve within specified time scale
	3	3	6	9	12	15	5-9	<u>Adequate/Low Risk</u> Look to Improve at next review
	2	2	4	6	8	10	1-4	<u>Acceptable/Very Low Risk</u> No Further Action Required but ensure controls are maintained
	1	1	2	3	4	5		
		1	2	3	4	5	<----- LIKELIHOOD----->	