

IDENTIFICATION OF RISKS, QUALITY OPPORTUNITIES & CONTROL MEASURES FOR QUALITY MANAGEMENT SYSTEM PROCESSES
Academic Year 2024–2025

Validity Code: TTTV-CH&RR

Issue No: 01

Effective Date: 9/1/2024

Unit:

Reviewed by

Approved by:

The Information - Library Center

Tran Vinh Nguyen

Ha Thi Thieu Dao

No	Process	Quality Hazard	Quality Risk	Quality Opportunity	Current Control Measures	Related Documents	Risk Assessment			Significance	Improvement Actions (BPKS)			Re-evaluation
							Fi	Si	Ri		BPKS Content	Responsibility	Support	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)			(9)	(10)			(11)
1	Library Information Resources Supplement													
	Prepare a list of requested additional materials	Misalignment with course syllabi and training program content of the University	Lack of materials, failing to meet library quality assurance standards as regulated		Faculties/departments review, prepare and submit requests for additional materials based on training programs and course syllabi	Regulation on Development of HUB Library Information Resources; Course syllabus, Training program	F3	S2	R6	X	Build a database of course-based materials	Board of Directors	Members	
		Limited budget for additional materials	Some material demands cannot be met in terms of number of titles/copies		Determine the priority level for material supplementation		F2	S3	R8	X	Allocate budget to meet material supplementation needs	Academic Council, University Board, Board of Directors	Supplement Division	
		Requested materials not supplemented according to unit proposals	Users have no suitable materials to use		Check before, during, and after submitting the request for asset procurement.		F2	S3	R9	X	Continue monitoring the list of unpurchased requested materials	Supplement Division, Admin Dept.	Board of Directors	
	Check / Feedback	Materials unavailable on the market	Materials not fully supplemented into the Library		Agree on substitution with equivalent materials	Regulation on the Development of HUB Library Information Resources	F3	S3	R9	X	Adjust course books and reference materials in course syllabi	Faculties, Training Management Units, Board of Directors	Supplement Division	
	Asset procurement request	Non-compliance with specifications	Not approved, must be resubmitted		Comply with the form of the Administration Department	Asset Procurement Request Form	F1	S2	R2		Enhance monitoring	Supplement Division		
		Delayed procurement of additional materials; missing titles or insufficient copies compared with the Library's request list	Users do not have timely access to materials for study, teaching, and research		Coordination between the Library and the Administration Department		F3	S3	R9	X	Request the Administration Department (P.QTTS) to continue procuring additional materials in full as requested	Administration Department	The Information - Library Center	
	Receiving materials	Delivering incomplete or incorrect materials due to careless checking upon receipt	Lack of materials for users; Loss of the university's assets		Remind library staff to carefully check when receiving materials; Cross-checking by library divisions	Procedure for Material Acquisition	F1	S1	R1					
	Processing supplementary materials	Incorrect cataloging / data entry of materials	Users cannot find the materials; Materials exist but are rarely used		Detection during borrowing/return process; Remind cataloging staff	Procedure for Material Acquisition	F1	S1	R1					

		Assigning incorrect barcode	Users cannot borrow the materials		Comply with the Library's operational procedures	Procedure for Material Acquisition	F1	S1	R1					
	Document Handover	Document damage during transportation	Document Damage		Warehouse Receipt	Document Supplementation Procedure	F1	S1	R1					
2	Cataloging of materials													
	Receiving documents	Insufficient materials compared to warehouse receipt	Missing documents		Check documents against warehouse receipt	Cataloging procedure	F2	S3	R6	X	Check documents against warehouse receipt	Cataloging Dept	Acquisition Dept.	
	Describing document format and content	Catalogers lacking library expertise	Library users cannot find materials	Staff training	Detected during the document borrowing/return process; Remind staff	Cataloging procedure	F2	S3	R6	X	Training and retraining of cataloging staff.	Cataloging Dept	Board of Directors	
	Creating and printing document labels	Software error	Incorrect labels; Misplaced materials; Cannot find documents when needed.		Software update/upgrade	Cataloging procedure	F2	S2	R4					
		Printer error	Reprinting causes time loss		Carefully check before attaching labels and during service provision		F1	S3	R3					
		Ink quality not up to standard	Ink wears out quickly		Carefully check before attaching labels		F3	S2	R6	X	Replace ink with quality one	Cataloging Dept.	Asset Management Dept	
	Labeling	Label not suitable for the document	Unable to locate the document when needed..		Carefully check before labeling, re-check after labeling	Document Cataloging Procedure	F1	S3	R3					
		Careless labeling	Easily damaged		Carefully check before labeling and during service provision		F1	S1	R1					
	Handing over to circulation dept.	Document shortage due to carelessness	Document shortage for users; Loss of university assets		Re-check by the Circulation Department	Document Cataloging Procedure	F1	S4	R4	X	Verify the handover process	Cataloging Dept.	Circulation Department	
3	Processing of newspapers and journals													
	Receiving newspapers/magazines	Insufficient materials compared to delivery note	Missing documents		Periodic reporting, statistics.	Library Operation Procedure	F2	S3	R6	X	Fully archive delivery slips for verification	Circulation Dept	Acquisition Dept.	
	Registering, shelving	Non-compliance with shelving scheme	Readers have no access to required materials		Newspaper/Magazine Subscription List	Library Operation Procedure	F2	S2	R4					
	Cataloging newspapers/magazines	Incorrect data entry	- Materials not found - Readers can't access necessary materials - Wasted due to low usage		Review and correct information	Library Operation Procedure	F1	S3	R3					
	Storing newspapers/magazines	Over-stocking	Wastage		Follow library procedures	Library Operation Procedure	F1	S2	R2					
		Under-stocking	Readers have no materials to use		Follow library procedures	Library Operation Procedure	F1	S2	R2					
4	Processing of electronic and digital documents													
	File handling	Staff have limited IT skills	TV users do not receive quality documents		Guidance and training for staff	Library professional procedures	F3	S2	R6	X	Enhance training and professional development	Digitization Department	Board of Directors.	
	File organizing	Staff have limited IT skills	Cannot locate documents		Guidance and training for staff	Library professional procedures	F1	S4	R4	X	Enhance training and professional development	Digitization Department	Board of Directors.	

	Cataloging	Incorrect document metadata input	Cannot locate documents		Review and correct metadata	Library professional procedures	F2	S3	R6	X	Strengthen interdepartmental review and cooperation	Digitization Department	Cataloging Dept	
	Archiving	Storage devices are damaged, lost, or infected with viruses	Data loss	Invest in technology	Repair or request for upgrade.	Library professional procedures	F2	S4	R8	X	Regular and scheduled data backup	Digitization Department	IT Management Dept	
	Distribution	Limitations in information technology	Library website fails to distribute digital documents		Upgrade website features		F3	S3	R9	X	Upgrade website for proper distribution, compliance, and data safety	Board of Directors.	Board of Rectors & Units	
5	Digitization of materials													
	Digital Resource Identification	Not aligned with the University's training programs	Library users cannot access relevant resources		Comply with Library Professional Procedures	Library Professional Procedures	F2	S3	R6	X	Propose adjustments and selection of materials for timely digital collection development	Digitalization Department	Board of Directors	
		Unclear funding sources	Library users cannot access relevant resources		Comply with Library Professional Procedures	Library Professional Procedures	F1	S2	R2					
		Not based on users' needs	Library users cannot access relevant resources		Comply with Library Professional Procedures	Library Professional Procedures	F1	S4	R4	X	Survey and collect user needs	Board of Directors	The Information - Library Center	
		Unclear copyright law	Violation of copyright		Comply with Library Professional Procedures	Library Professional Procedures	F2	S4	R8	X	Train library staff to understand and comply with copyright regulations	Board of Directors	The Information - Library Center	
	Document Scanning	Equipment malfunction	Library users do not receive quality documents	Invest in technology	Conduct periodic equipment checks	Library Professional Procedures	F2	S2	R4					
	Cataloging	Incorrect data entry	Document not found		Comply with Library Professional Procedures	Library Professional Procedures	F2	S3	R6	X	Train cataloging staff; remind library personnel	Digitalization Department	The Information - Library Center	
	Publishing & Distribution	Limited IT capabilities	Library website does not distribute digital resources	Staff training; website upgrade.	Upgrade and expand functionalities	Library Professional Procedures	F3	S3	R9	X	Upgrade website to ensure compliance and data security	Board of Directors	Board of Management and Departments	
6	Organization and preservation of the printed document storage													
	Inspection	Staff receiving documents are careless	Missing documents		Follow Library's operation procedures	Library operations procedure	F1	S3	R3					
	Shelving	Misplaced document shelving	Unable to locate documents		Check and rearrange storage	Library operations procedure	F3	S2	R6	X	Regular and periodic inspection and rearrangement	Circulation Dept	Library users	

		Careless shelving causing document damage	Documents provided to users are of poor quality		Be careful	Library operations procedure	F1	S3	R3					
	Preservation	Termites	Document damage or loss		Periodic termite extermination		F2	S3	R6	X	Timely and periodic termite treatment	Circulation Dept.	P.TCCB	
		Fire	Document damage or loss		Periodic fire safety equipment check	Fire safety regulations	F1	S4	R4	X	Regular fire safety equipment maintenance	Circulation Dept.	BoG, Infrastructure Dept.	
		Heat	Document damage		Install curtains/systems to block direct sunlight		F1	S4	R4	X	Invest in air conditioning, fans, blinds	Circulation Dept.	BoG, Infrastructure Dept.	
		Virus	Data loss		Update antivirus software		F1	S4	R4	X	Regular data backup	Circulation Dept.	BoG, IT Management Dept.	
7	Provision of information and library products and services													
	Receiving library users' requests	Unfamiliar with library professional process	Unable to find materials as requested by readers		Disseminate library professional procedure	Library professional procedure	F2	S3	R6	X	Staff training and capacity building	Circulation Dept.	Library Users	
	Searching for materials	Inaccurate material information	Unable to find materials	Improve search tools	Train users on information search skills, enhance search tool	Library professional procedure	F2	S3	R6	X	Staff training and capacity building	Circulation Dept.	Library Users	
	Borrowing/Returning/Renewing material	Loss, damage due to user's awareness	Need to replace or reinforce materials	Equip with security and safety systems for library materials	Disseminate Library Rules	Library professional procedure	F3	S2	R6	X	User guidance and training	Circulation Dept.	Library Users	
		Users borrow materials for too long	No reference materials available for other readers		Notify users when due date is approaching		F3	S2	R6	X	Regular overdue debt handling	Circulation Dept.	Library Users	
8	Inventory of materials													
	Inventory planning	Unclear about library professional procedures	The plan cannot be implemented Need to redo the plan		Compliance with Circular No. 21/2012/TT-BVHTTDL dated December 28, 2012 regulating criteria and procedures for weeding library materials..	- Circular No. 21/2012/TT-BVHTTDL dated December 28, 2012 regulating criteria and procedures for weeding library materials. - Library professional procedures	F1	S3	R3					
	Inventory implementation	Inventory tools are damaged	Unable to conduct inventory or delayed progress	Investment in technology	Check that all technological equipment is ready before implementation		F1	S2	R2					
		Unclear about library professional procedures	Inventory errors	Staff training	Comply with library professional procedures	Library professional procedures	F1	S3	R3					
9	Deselection of materials													
	Weeding document list	Inaccurate	Users no longer have access to needed documents <u>Must replenish materials</u>		Check borrowing/return history and usage demand when compiling the list	Library operational procedure	F1	S3	R3					
	Implementing disposal	Inaccurate	Loss of materials, inaccurate library database		Strengthen inspection and review of processing steps	Library operational procedure	F1	S3	R3					
10	Issuance of library accounts													

	Receiving user needs	Inaccurate personal information	Library account issued incorrectly		Verify information carefully upon receiving	Library service procedure	F1	S4	R4	X	Verify user data	Circulation Department	Library users	
	Account registration	Incorrect user data input	User cannot log in		Check and update user information promptly	Library service procedure	F1	S3	R3					