

**IDENTIFICATION OF QUALITY RISKS, OPPORTUNITIES
& CONTROL MEASURES FOR QUALITY MANAGEMENT SYSTEM PROCESSES
ACADEMIC YEAR 2026**

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Unit: The Information – Library Center
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No	Process	Quality Hazard	Quality Risk	Quality Opportunity	Existing Control Measures	Related Documents	Risk Assessment			Significant	Improved Control Measures			Reassessment
							Fi	Si	Ri		Control Measure Content	Responsible	Support	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)			(9)	(10)			(11)
1	Library information resource acquisition													
	Develop a list of requested materials for acquisition	Misalignment with course syllabi and the University's academic programs	Insufficient materials, failing to meet library quality assurance criteria and standards as prescribed		Require faculties and units to review, compile, and submit requests for additional materials based on academic programs and course syllabi	Regulations on the development of Library information resources at HUB Course syllabi, academic programs	F3	S2	R6	X	Develop a course-based document database	BoM	Members	
		Limited budget for resource acquisition	Some material needs cannot be met in terms of number of titles and copies		Determine the priority level for material acquisition		F2	S3	R8	X	Allocate budget to meet the demand for material acquisition	UC, BoR, BoM	Acquisition Staff	
		Failure to acquire materials specified in the units' acquisition requests	Users do not have appropriate materials for use		Conduct inspection before, during, and after submitting asset procurement requests		F2	S3	R9	X	Continue monitoring the list of materials that have not yet been acquired as requested	Acquisition Staff, FAMD	BoM	
	Inspection/Feedback	Materials not available on the market	Materials are not fully acquired by the Library		Agree on substituting with equivalent materials	Regulations on the development of Library information resources at HUB	F3	S3	R9	X	Adjust textbooks and reference materials in course syllabi	Faculties, Academic Management Units, BoM	Acquisition Staff	
	Asset procurement request	Non-compliance with specifications	Not approved; must be redone		Comply with templates issued by the Facilities and Asset Management Department	Asset procurement request form	F1	S2	R2		Strengthen inspection and supervision	Acquisition Staff		
		Delay in acquiring materials; insufficient titles and copies compared to the Library's requested list	Users do not have timely materials for learning, teaching, and research		Coordinate between the Library and the Facilities and Asset Management Department.		F3	S3	R9	X	Request the Facilities and Asset Management Department to continue fully procuring materials as required	FAMD	ILC	
	Receive materials	Delivery of materials is incomplete or not in accordance with requirements due to inadequate inspection upon receipt	Insufficient materials for users Loss of the University's assets		Remind library staff to carefully inspect materials upon receipt Conduct internal checks among Library departments	Acquisition process of materials	F1	S1	R1					

	Process acquired materials	Incorrect data entry of material information	Users cannot find materials Materials exist but are underutilized		Detect issues during the loan/return process Remind library staff	Acquisition process of materials	F1	S1	R1					
		Incorrect barcode assignment	Users cannot borrow materials		Comply with Library operational procedures	Acquisition process of materials	F1	S1	R1					
	Handover of materials	Damage to materials during transportation	Damage to materials		Goods receipt note	Acquisition process of materials	F1	S1	R1					
2	Cataloguing of materials													
	Receipt of materials	Insufficient materials compared to the goods receipt note	Insufficient materials		Verify materials against the goods receipt note	Cataloguing process of materials	F2	S3	R6	X	Verify materials against the goods receipt note	Cataloguing Staff	Acquisition Staff	
	Handover of materials	Damage to materials during transportation	Library users cannot find materials	Staff training	Detect issues during the loan/return process Remind library staff	Cataloguing process of materials	F2	S3	R6	X	Provide training and professional development for cataloguing staff.	Cataloguing Staff	BoM	
	Create and print material labels	Software errors	Incorrect labeling Incorrect shelving placement Materials cannot be located when needed		Update and upgrade software	Cataloguing process of materials	F2	S2	R4					
		Printer malfunction	Reprinting required, causing delays		Carefully check before labeling and during service provision		F1	S3	R3					
		Print quality does not meet requirements	Rapid deterioration		Carefully check before labeling		F3	S2	R6	X	Replace printing ink to ensure quality	Cataloguing Staff	FAMD	
	Labeling	Labels not appropriate for the materials	Materials cannot be located when needed.		Carefully check before labeling and recheck after labeling	Cataloguing process of materials	F1	S3	R3					
		Improper adhesion	Rapid deterioration		Carefully check before labeling and during service provision		F1	S1	R1					
	Warehouse handover	Missing materials due to lack of careful handling	Insufficient materials for users Loss of the University's assets		Recheck by the Circulation Department	Cataloguing process of materials	F1	S4	R4	X	Inspect the delivery and handover process	Cataloguing Staff	irculation Staff	
3	Processing of newspapers and journals													
	Receipt of newspapers and journals	Insufficient materials compared to the delivery note	Insufficient materials		Periodic statistics and reporting.	Library operational procedures	F2	S3	R6	X	Maintain complete delivery records for post-audit	Circulation Staff	Acquisition Staff	
	Registration and shelving allocation	Non-compliance with the shelving classification table	Users do not have materials for use		List of subscribed newspapers and journals	Library operational procedures	F2	S2	R4					
	Cataloguing of newspapers and journals	Incorrect data entry of material information	Materials cannot be found Users do not have necessary materials. Materials are underutilized, causing waste.		Review and correct information accurately	Library operational procedures	F1	S3	R3					
	Storage of newspapers and journals	Excess storage	Waste		Comply with Library operational procedures	Library operational procedures	F1	S2	R2					
		Insufficient storage	Users do not have materials for use		Comply with Library operational procedures	Library operational procedures	F1	S2	R2					
4	Processing of electronic and digital materials													
	Processing of files	Staff handling limitations in IT skills	Library users do not receive materials of appropriate quality		Provide guidance and training for staff	Library operational procedures	F3	S2	R6	X	Strengthen training and capacity building	Digitization Staff	BoM	
	File organization	Staff handling limitations in IT skills	Materials cannot be found		Provide guidance and training for staff	Library operational procedures	F1	S4	R4	X	Strengthen training and capacity building	Digitization Staff	BoM	

	Cataloguing	Incorrect data entry of material information	Materials cannot be found		Review and correct information accurately	Library operational procedures	F2	S3	R6	X	Enhance coordination in inspection	Digitization Staff	Cataloguing Unit	
	Storage	Storage devices damaged, lost, or infected by viruses	Loss of materials	Technology investment	Repair, propose upgrades or replacement.	Library operational procedures	F2	S4	R8	X	Regular and periodic data backup	Digitization Staff	IT Dept	
	Distribution	Limitations in information technology	The Library website has not effectively distributed digital materials		Enhance website features.		F3	S3	R9	X	Upgrade the website to ensure compliant and secure data distribution	BoM	BoR, Units	
5	Digitization of materials													
	Identification of materials for digitization	Not aligned with the University's academic programs and curricula	Library users do not have appropriate materials for use		Comply with Library operational procedures	Library operational procedures	F2	S3	R6	X	Propose adjustments and select materials to promptly develop digital collections	Digitization Staff	BoM	
		Lack of clarity on funding sources	Library users do not have appropriate materials for use		Comply with Library operational procedures	Library operational procedures	F1	S2	R2					
		Not based on the needs of library users	Library users do not have appropriate materials for use		Comply with Library operational procedures	Library operational procedures	F1	S4	R4	X	Survey and analyze user needs	BoM	ILC	
		Lack of understanding of copyright law	Violation of copyright		Comply with Library operational procedures	Library operational procedures	F2	S4	R8	X	Train library staff to understand and comply with copyright regulations	BoM	ILC	
	Scanning of materials	Equipment malfunction	Library users do not receive materials of appropriate quality	Technology investment	Conduct periodic equipment inspection	Library operational procedures	F2	S2	R4					
	Cataloguing of materials	Incorrect data entry of material information	Materials cannot be found		Comply with Library operational procedures	Library operational procedures	F2	S3	R6	X	Provide training and professional development for cataloguing staff. Remind library staff.	Digitization Staff	ILC	
	Publishing and distributio	Limitations in information technology	The Library website has not effectively distributed digital materials	Staff training. Website upgrade.	Upgrade and expand features.	Library operational procedures	F3	S3	R9	X	Upgrade the website to ensure compliant and secure data distribution	BoM	BoR, Units	
6	Organization and preservation of printed materials storage													
	Inspection	Careless handling by staff when receiving materials	Insufficient materials		Comply with Library operational procedures	Library operational procedures	F1	S3	R3					
	Shelving	Incorrect placement of materials	Materials cannot be found		Inspect and reorganize the storage of materials.	Library operational procedures	F3	S2	R6	X	Regularly inspect and reorganize the storage of materials	Circulation Staff	Users	
		Careless shelving causing damage (tearing) to materials	Materials provided to users do not meet quality requirements		Exercise caution	Library operational procedures	F1	S3	R3					

	Preservation	Termite infestation	Damage to materials Loss of materials		Conduct periodic termite control.		F2	S3	R6	X	Conduct timely and periodic termite control.	Circulation Staff	HR Dept.	
		Fire hazards	Damage to materials Loss of materials		Inspect fire prevention and firefighting equipment periodically.	Fire prevention and firefighting regulations	F1	S4	R4	X	Regularly maintain fire prevention and firefighting systems	Circulation Staff	BoM, FAMd	
		Heat exposure	Damage to materials		Install curtains to avoid direct sunlight exposure to materials		F1	S4	R4	X	Invest in air conditioning systems, fans, and blinds	Circulation Staff	BoM, FAMd	
		Virus	Loss of materials		Update antivirus software		F1	S4	R4	X	Perform periodic data backup	Circulation Staff	BoM, IT Dept	
7	Provision of information – library products and services													
	Receiving user requests	Lack of understanding of library operational procedures	Materials cannot be found as requested by users		Review, reorganize, and refine the collection storage	Library operational procedures	F2	S3	R6	X	Provide staff training and professional development	Circulation Staff	Users	
	Information retrieval	Inaccurate bibliographic information	Materials cannot be found	Enhancement of search tools	Provide training on information retrieval skills and improve search tools	Library operational procedures	F2	S3	R6	X	Provide staff training and professional development	Circulation Staff	Users	
	Circulation (loan/return/renewal)	Loss or damage of materials due to users' awareness	Materials must be supplemented and reinforced	Provision of security and safety systems for materials	Disseminate Library regulations.	Library operational procedures	F3	S2	R6	X	Guide and train library users	Circulation Staff	Users	
		Users keep borrowed materials for an extended period	No reference materials available for other users		Notify users when loan due dates are approaching.		F3	S2	R6	X	Handle overdue materials periodically	Circulation Staff	Users	
8	Inventory of materials													
	Inventory planning	Lack of understanding of library operational procedures	The plan cannot be implemented The plan must be redone		Comply with Circular No. 21/2012/TT-BVHTTDL dated December 28, 2012 on criteria and procedures for weeding library materials.	- Circular No. 21/2012/TT-BVHTTDL dated December 28, 2012 on criteria and procedures for weeding library materials. - Library operational procedures	F1	S3	R3					
	Inventory implementation	Inventory tools malfunction	Inventory cannot be conducted or is delayed	Technology investment	Ensure sufficient technological equipment before implementation		F1	S2	R2					
		Lack of understanding of library operational procedures	Incorrect inventory results	Staff training	Comply with Library operational procedures	Library operational procedures	F1	S3	R3					
9	Weeding of materials													
	Weeding list of materials	Inaccurate	Users no longer have materials for use Materials must be replenished		Review borrowing history and usage demand when compiling lists	Library operational procedures	F1	S3	R3					
	Weeding implementation	Inaccurate	Loss of materials; Library database is inaccurate		Strengthen monitoring and review during processing	Library operational procedures	F1	S3	R3					
10	Library account issuance													

	Receiving user requests	Inaccurate personal information	Library accounts are issued incorrectly		Carefully verify information upon receipt	Library operational procedures	F1	S4	R4	X	Verify user information data	Circulation Staff	Users	
	Account issuance	Incorrect data entry of user information	Users cannot log in		Check and promptly update information	Library operational procedures	F1	S3	R3					