

ERL MAINTENANCE SUPPORT SDN BHD

Co. Reg. No. 199901023674 (498574-T)



CEO OFFICE

RISKS AND OPPORTUNITIES MANAGEMENT GUIDELINE


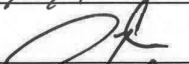
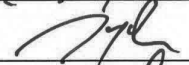
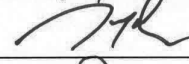

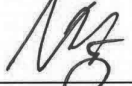

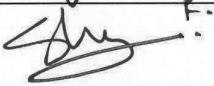



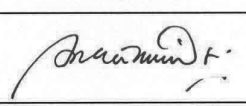


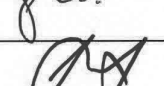
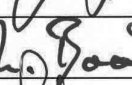


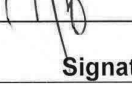
Ref. No. G00.OMQ.M11426.AF.1004.A

ERL Maintenance Support Sdn Bhd

Co. Reg. No. 199901023674 (498574-T)

<i>Location</i>	<i>Reference</i>	<i>Rev.</i>	<i>Date</i>	<i>Page No.</i>	<i>Document Title</i>
E-MAS Offices	G00.OMQ.M11426.AF.1004	A	21 April 2021	Page 2 of 11	Risks and Opportunities Management Guideline

Release

Released: f	Thomas Baake	Chief Executive Officer	04.06.21	
Checked: f	Ham Mow Wai	Maintenance	26.5.21	
Checked: f	Anthony Arokianathan	Wayside	26.5.21	
Checked:	Jayaraj Savarimuthu	Rolling Stock & Engineering	26.5.21	
Checked:	Noel Devan	Systems	5 MAY 21	
Checked:	Norazman bin Abu Hassan	Rolling Stock	05.05.21	
Checked:	Abdul Halim bin Baharom	Infrastructure	6/5/21	
Checked:	Muhamad Dzulfaqar Yusoff	Project & Engineering	05/05/2021	
Checked:	James L Boudville	Operations	29.4.21	
Checked:	Norhandee bin Nordin	Operations - Transportation	29.04.21	
Checked:	Omar bin Zakir	Operations - Control Centre	29.04.21	
Checked:	Suriani Farisa binti Md Isa	Human Resource	30.04.2021	
Checked:	Nauwalah Amat binti Mustakim	Finance & Administration	2/6/2021	
Checked:	Raefendy bin Ismail	Material Management	24.5.21	
Checked:	Gan Lee Hong	Procurement	24.05.21	
Checked:	Sukhbir Singh	Safety & Security	29/04/21	
Checked:	Thomas Baake	CEO Office	28/04/21	
Checked:	Muhammad Azim Abdullah	CEO Office	21/4/21	
Author:	Haryati Khalil	CEO Office	21 April 2021	
	Name	Department	Date	Signature

Amendments or additions to this procedure must be indicated with a vertical black line in the adjacent left margin.

<i>Location</i>	<i>Reference</i>	<i>Rev.</i>	<i>Date</i>	<i>Page No.</i>	<i>Document Title</i>
E-MAS Offices	G00.OMQ.M11426.AF.1004	A	21 April 2021	Page 4 of 11	Risks and Opportunities Management Guideline

TABLE OF CONTENTS**Page**

1	Introduction	5
2	Scope, Distribution & Access	5
3	Abbreviation	5
4	Understanding E-MAS's Interested Parties needs and expectation and its context.....	6
5	Risks and Opportunities Identification	6
6	Risks and Opportunities Analysis	7
6.1	Risks and Opportunities Evaluation	7
6.2	Risks and Opportunities Rating and Action Plan.....	7
7	Risks and Opportunities Monitoring and Review	10
8	Communication	10
9	Appendices	10
	Related procedures or documents reference number.....	10

<i>Location</i>	<i>Reference</i>	<i>Rev.</i>	<i>Date</i>	<i>Page No.</i>	<i>Document Title</i>
E-MAS Offices	G00.OMQ.M11426.AF.1004	A	21 April 2021	Page 5 of 11	Risks and Opportunities Management Guideline

1 Introduction

This guideline addresses the following:

- addressing risks and opportunities
- improving process output and prevent undesirable results
- determining the needs and expectations of relevant interested parties

This guideline serves as a reference for HODs, QEMRs, and relevant personnel producing departmental Risks and Opportunities Review List (RORL) and E-MAS's Risks and Opportunities Register (ROR).

2 Scope, Distribution & Access

Distribution is through EDMS and E-MAS Portal for all E-MAS employees.

3 Abbreviation

CEO	Chief Executive Officer
DOE	Department of Environment
EDMS	Electronic Document Management System
E-MAS	ERL Maintenance Support Sdn. Bhd Co. Reg. No. 199901023674 (498574-T)
HOD	Head of Department as per E-MAS General Organization Chart, ref no: G00.OMG.M11110.BB.0005.*
Interested Parties	Stakeholders who receive E-MAS product or services or who may be impacted by them or those parties who may otherwise have a significant interest in E-MAS, e.g., ERLSB, Government Agencies, Suppliers, E-MAS's staff, etc.
NCR	Nonconformity: Non-fulfillment of requirements (i.e., ISO Standards, O&M Contract, QEMS procedures, suppliers technical specifications, applicable statutory and regulatory) negatively affect the E-MAS business process activity

<i>Location</i>	<i>Reference</i>	<i>Rev.</i>	<i>Date</i>	<i>Page No.</i>	<i>Document Title</i>
E-MAS Offices	G00.OMQ.M11426.AF.1004	A	21 April 2021	Page 6 of 11	Risks and Opportunities Management Guideline

OFI	Opportunity For Improvement: A potential nonconformity of requirements (i.e., ISO Standards, O&M Contract, QEMS procedures, suppliers technical specifications, applicable statutory, and regulatory) to be closed not exceeding three months from the issuance date.
O&M	Operation and Maintenance
QEMR	Quality and Environmental Management Representatives, refer to Quality, Environment Management Representative (QEMR) Working Chart, reference no: G00.OMQ.M11110.BA.1002.*
ROR	Risks and Opportunities Register
RORL	Risks and Opportunities Review List

4 Understanding E-MAS's Interested Parties needs and expectation and its context

E-MAS has reviewed its external and internal issues that are relevant to its O&M Contract obligations. Appropriate Interested Parties' needs and expectations are listed in the E-MAS's Interested Parties Needs and Expectations¹.

Issues identified that might impact E-MAS achieving its O&M obligation are reviewed, rated, and monitored. The issues taken into consideration can include positive and negative factors or conditions. Relevant significant issues in E-MAS are listed in the Risks and Opportunities Register¹.

5 Risks and Opportunities Identification

The identification of risks and opportunities can be made in several methods as listed below;

- Documentation review
- Information gathering
- Checklist analysis
- Expert judgment
- Consequences of process
- Feedback

¹ Refer to Appendices for documents reference numbers

<i>Location</i>	<i>Reference</i>	<i>Rev.</i>	<i>Date</i>	<i>Page No.</i>	<i>Document Title</i>
E-MAS Offices	G00.OMQ.M11426.AF.1004	A	21 April 2021	Page 7 of 11	Risks and Opportunities Management Guideline

All E-MAS's identified risks and opportunities listed in ROR and for Department level; RORL. If there is a change in E-MAS's Interested Parties' needs and expectations, it shall be communicated to the Management. If there is a need, the MR will update the ROR; relevant QEMR for RORL.

6 Risks and Opportunities Analysis

A continuous risks and opportunities analysis allows Management/ HOD to identify, analyze, plan and control potential risk while taking advantage of any opportunities that may arise. By setting controls and guidelines, Management can reduce potential adverse impacts to the Organisation.

6.1 Risks and Opportunities Evaluation

The Management/ HOD will review and evaluate the ROR/RORL as and when required, or at least once a year.

6.2 Risks and Opportunities Rating and Action Plan

Risks and opportunities identified shall be rated against set criteria as detailed in the table below:

Rating	Definitions		
	Severity	Likelihood	Opportunity
Low	<p>Safety</p> <ul style="list-style-type: none"> No injuries, or Minor abrasion, bruises, cuts, first-aid type of injuries, or Disabling but not permanent injuries <p>Financial (for Overtime only)</p> <ul style="list-style-type: none"> Minimal financial loss <p>Quality</p> <ul style="list-style-type: none"> Existing control measures are in place and sufficient, or Trigger OFI or no impact, or No impact on customer satisfaction <p>Environment</p> <ul style="list-style-type: none"> Pollution easy to control and/or able 	<ul style="list-style-type: none"> No previous record that it did occur (within three years), or It has not been known to occur after many years/ > three years, or Practically impossible or has never been occurred 	No perceived value for improvement.

<i>Location</i>	<i>Reference</i>	<i>Rev.</i>	<i>Date</i>	<i>Page No.</i>	<i>Document Title</i>
E-MAS Offices	G00.OMQ.M11426.AF.1004	A	21 April 2021	Page 8 of 11	Risks and Opportunities Management Guideline

	to mitigate the environmental issues within the premises and/or no impact on the environment		
Medium	<p>Safety</p> <ul style="list-style-type: none"> • Medical treatment required, or • Non-fatal injury, or • Permanent disability <p>Financial(for Overtime only)</p> <ul style="list-style-type: none"> • High financial loss <p>Quality</p> <ul style="list-style-type: none"> • Trigger NCR, or • Indirectly affect customer satisfaction, or • Existing control measures are available but need to be monitored closely /enforced <p>Environment</p> <ul style="list-style-type: none"> • Cause minor pollution impact on the environment and within premises, or • Spillages < 50 litres or 50 kg, or • Depletion of renewable resources, e.g., paper, water 	<ul style="list-style-type: none"> • Occur at some time (almost once in three months), or • It might occur in the future, or • The most likely result of the hazard/ failure being realized 	Pursuing the opportunity will considerably improve good governance.
High	<p>Safety</p> <ul style="list-style-type: none"> • Death <p>Financial(for Overtime only)</p> <ul style="list-style-type: none"> • Massive financial loss, or <p>Quality</p> <ul style="list-style-type: none"> • No control measures available; received complaints in the past, or • Direct effect on customer satisfaction <p>Environment</p> <ul style="list-style-type: none"> • Cause significant pollution impact on the environment and spread out of the boundary, or • Depletion of non-renewal resources 	<ul style="list-style-type: none"> • Occurs often, continuously experienced (almost every month), or • It has a good chance of occurring and is not unusual 	<ul style="list-style-type: none"> • Pursuing the opportunity will positively improve good governance • Increase company value.

Location	Reference	Rev.	Date	Page No.	Document Title
E-MAS Offices	G00.OMQ.M11426.AF.1004	A	21 April 2021	Page 9 of 11	Risks and Opportunities Management Guideline

The Likelihood and Severity Matrix below will be used as guidance for Risk and Opportunities Action Plan ratings;

Likelihood \ Severity	Likelihood		
	Low (1)	Medium (3)	High (5)
Low (1)	1	3	5
Medium (3)	3	9	15
High (5)	15	15	25

The action plan for the risks and opportunities rated as Low, Medium, and High are as per the table below:

Rating	Actions	
	Risk	Opportunity
Low (1-3)	No further action required	No further action required
Medium (5 to 9)	Action needed when there are resources available or there are no high risks identified	Action required when there are resources available or there is no high opportunity identified
High (15)	Counter measure and implement improvement or new control as a priority. Set as Key Performance Indicators with approval by top Management	Action needed and to be pursued with approval by Top Management. If existing control measures are in place and sufficient to pursue the opportunity, no further action is required.
Very High (25)	Action needed and to be pursued within a maximum three months' period with approval by top Management	Nil

<i>Location</i>	<i>Reference</i>	<i>Rev.</i>	<i>Date</i>	<i>Page No.</i>	<i>Document Title</i>
E-MAS Offices	G00.OMQ.M11426.AF.1004	A	21 April 2021	Page 10 of 11	Risks and Opportunities Management Guideline

Management/ HOD shall consider and prioritize risk-rated Very High, followed by any with High ratings. If there is no 'High' rated risk, 'High' rated opportunities shall be considered for implementation as it will be beneficial to the company for improvements. All details of ratings and approved action to be taken shall be recorded in the Risks and Opportunities Register.

7 Risks and Opportunities Monitoring and Review

The effectiveness of all approved actions listed in the ROR/RORL shall be evaluated by HOD at least six months of its implementation, or after any significant incident/changes/audit findings (internal or external) that will affect its results. The tracking, analysis, and monitoring of results for the action taken shall be on-going until the risk/s has been significantly controlled or eliminated. HOD shall document the conclusion and report to the Management. The results of the effectiveness of action taken shall be presented during the next Management Review Meeting.

If the action plan is in-effective, justification is required; the respective HOD should propose a new action plan to the Management; to reduce the negative impact of risk.

Relevant interested parties such as ERLSB, DOE e.t.c, shall be informed if there is no suitable action available to reduce the risk by the respective Department and request advice if necessary.

8 Communication

ROR shall be communicated to all in E-MAS. Changes shall be informed via e-mails or other identified communication medium.

9 Appendices

Related procedures or documents reference number

Document	Reference Code	Document #
Risk and Opportunity Register:		
External Issues	G00.OMQ.M11426.AH.1043.*	142109
Internal Issues	G00.OMQ.M11426.AH.1042.*	142108
Significant list	G00.OMQ.M11426.AH.1041.*	142107

<i>Location</i>	<i>Reference</i>	<i>Rev.</i>	<i>Date</i>	<i>Page No.</i>	<i>Document Title</i>
E-MAS Offices	G00.OMQ.M11426.AF.1004	A	21 April 2021	Page 11 of 11	Risks and Opportunities Management Guideline

Internal Audit, Nonconformity and Corrective Action Procedure	G00.OMQ.M11421.AF.1018.*	148616
E-MAS's Interested Parties' Needs and Expectations	G00.OMQ.M11426.AH.1050.*	143055
Note : * Refers to the latest revision		