Jacob Proficiency Testing Provider Services - Sole Proprietorship LLC

Risk assessment and opportunity sheet

Updated on : 1 September 2025

Sr. No.	Threats / Area of risk	Risk	Risk level				Present controls / Mitigation plan (Opportunity) - Action plan	Target completion	Actual completion
			Attributes		Magnitude of Risks	Significance level			
			A	B					
Impartiality									
1	Use of subcontracted personnel or subcontractor in PT item production as well as PT item homogeneity.	Threats to the impartiality as well as confidentiality	1	1	1	Low	As a policy decision, the subcontracted personnel or sucontractor are controlled and monitored by PT Coordinator to control the activities.	**1-Dec-26**	
2	Common person work as Marketing of PT and as a PT Coordinator, threats to the impartiality	Threats to the impartiality	1	4	4	Low	Impartiality policy is implemented and is conveyed to all. In day to day operation the Marketing personnel, never interfear in PT scheme execution. All personnel are requested to act impartially to maintain integrity.	**1-Dec-26**	
3	PT Provider person might be relative or friend of participant or corporate customer and may compromise the result and threat to impartiality	Threats to the impartiality	1	5	5	Low	During selection of employee relationship with any existing PT Item producer or regular participant or corporate customer is identified and the work is accordingly segregated. During impartiality committee meeting, if it is find-out, then furter action is planned	**1-Dec-26**	
4	Receipt of gifts etc. from the corporate customer / PT Item producer etc.	Threats to the impartiality	1	5	5	Low	As a policy decision, it is informed to all epmployees, not to take any gift from the corporate customer / PT Item producer etc. Also agreement is signed by all employees to maintain impartility during their tenure of work.	**1-Dec-26**	
5	Use of PT personnel having relation with the decision making position, such as Technical Manager or PT Coordinator	Threats to the impartiality	1	5	5	Low	As a policy decision, PT Provider is not going to recruit / engage any personnel having such relationship	**1-Dec-26**	
6	Commision or favour given to the interested parties or the PT Provider engaged in the similar activities	Threats to impartiality due to commission for referal	1	5	5	Low	No commision is given. If such incidence occurred than the impact will be evaluated.	**1-Dec-26**	
7	Operating any other conflicting services other than its core business of proficiency testing activities	Threats to the impartiality	2	4	8	Low	As a policy decision, PT Provider is not going to do any activities other than proficiency testing.	**1-Dec-26**	
8	Marketing of PT services in the market by personnel engaged in PT item production or assessment activities	Threats to the impartiality	1	5	5	Low	Dedicated personnel are engaged for marketing of PT scheme and for handling of corporate customers.	**1-Dec-26**	
9	Financial transaction by the PT personnel to the corporate customers / PT Item producers	Threats to the impartiality	1	5	5	Low	As a policy decision, financial transaction will be done by separate and dedicated personnel only.	**1-Dec-26**	
10	Overloading on the proficiency testing personnel	Threats to the impartiality and inaccuracy in the results and data evaluated	3	5	15	Medium	Adequate numbers of personnel are employed considering the volume of work.	**1-Dec-26**	
11	Not fulfilling the dicipline by PT Provider employees	Threats to the impartiality	1	5	5	Low	If such things observed then the person will be relieved from the job immediately.	**1-Dec-26**	
12	Corporate customer's confidential information is given to outsider or to others by employee	Increase in dissatisfaction level of corporate customer	1	5	5	Low	All employees have signed confidentiality agreement. Regular communicaiton is done with employee to keep such informaiton secrete	**1-Dec-26**	

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13	PT personnel carries-out any information related to corporate customer.	Threats to the impartiality and confidentiality of corporate customer's information	1	5	5	Low	As a policy decision, proficiency testing personnel are kept away from the corporate customer. Also they have signed confidentiality agreement.	**1-Dec-26**	
Other proficiency testing related activities									
14	During introduction of significant changes to activities affect the validity of the PT scheme	Failure in PT evaluation	2	5	10	Low	All such changes are reviewed and validated before being implementation to maintain integrity of PT scheme.	**1-Dec-26**	
15	Maintaining homogeneity and stability of PT item throughout the scheme duration	Failure in PT evaluation	2	5	10	Low	Homogeneity and stability is assessed for PT item before distribution of PT item to participants / customers.	**1-Dec-26**	
16	Delay in PT scheme due to non-production of PT item on time	Dis-satisfaction to corporate customer / participants	5	3	15	Medium	For each of PT item production, two or more producers are developed as a alternate sources to execute PT scheme in timely manner.	**1-Dec-26**	
17	Failure or damages to PT item during transportation	Delay in reporting	2	5	10	Low	Proper packing is done considering the type of PT scheme to avoid any damages to PT item during transportation	**1-Dec-26**	
18	Loss of PT item during transportation to participant	Delay in reporting	1	5	5	Low	PT item will be delivered again to participant from the buffer PT item maintained.	**1-Dec-26**	
19	Dominance of corporate customer in case of special PT scheme executed for them	Threat to impartiality and PT results	1	5	5	Low	Corporate customers are informed in advance for non-involvement in the execution of PT scheme.	**1-Dec-26**	

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20	Mistake in statistical calculations used in various evaluations / analysis	In-accuracy of the PT item evaluations	1	5	5	Low	Excel is validated periodcally and all formula entered in the excel are locked to avoid this types of incidence.	**1-Dec-26**	
21	Improper handling of PT item	Damages to PT item	1	5	5	Low	Appropriate equipments are provided for proper handling of the PT item throughout the execution to avaoid any problem to the PT item.	**1-Dec-26**	
22	False reporting of performance evaluation to the participant	Dis-satisfaction to corporate customer / participants	1	5	5	Low	Interim report is generated prior to delivery of final report. Also before evaluation the results reported by participants are confirmed for data or reporting mistakes, if any.	**1-Dec-26**	
23	Use of different method for testing of PT item by different participants	In-accuracy of the PT item evaluations	2	4	8	Low	At the begning itself the participants are informed for the test method to be followed for testing of various parameters of PT item.	**1-Dec-26**	
24	Delay in receipt of inputs to PT item	Delay in execution	3	5	15	Medium	Advance planning is done and purchase order is made well in advance. Alternate suppliers are developed to avoid shortages of any item.	**1-Dec-26**	
25	Higher employee turnover	Poor competence level	2	5	10	Low	Continual employees development plan is prepared and development work is going on. All employees are motivated on day to day basis to retain competent personnel. New employee is given adequate training and not deputed for job until required competence is achieved	**1-Dec-26**	
26	Less participants then addressed in PT desing plan	In-accuracy of the PT item evaluations	1	5	5	Low	PT will be re-scheduled in such case and all confirmed participants will be informed for the same well in advance.	**1-Dec-26**	

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General proficiency testing activities									
27	Employee's competence / dissatisfaction / over work load etc.	Loss to maintain business integrity	1	5	5	Low	Employee's competence is maintained by periodic training and motivation programmes. Proper employee wise plan is made to ensure person is availble to perform the specific tasks. Employee development and skill upgradation practices are followed.	**1-Dec-26**	
28	Health and safety of the proficiency testing personnel due to handling of hazardous chemicals	Sickness causes absenteism	2	5	10	Low	Adequate PPEs are provided alongwith the safety related things. Also all activities are carried-out with protection to avoid any health related issues. Periodic safety related training is provided to maintain safe working atmosphere. Multi-tasking is estblished to get substitute arrangments in such emergency	**1-Dec-26**	
29	Employing the external experts in the proficiency testing activities for knowledge sharing	Threats to the impartiality	2	4	8	Low	Control is exercised on such external experts to maintain integrity of PT scheme.	**1-Dec-26**	
30	Involvement of individual from the corporate customer during execution of PT scheme	Threats to the impartiality	1	5	5	Low	As a policy decision such things are not allowed during execution of PT scheme.	**1-Dec-26**	

A	Occurance (1 - 5)
B	Severity (1 - 5)
Magnitude of Risk : A*B	
(*) Changes / addition made w.r.t. earlier issue	

Prepared by:Quality Manager
Date: 05.02.2026

Approved by: Director
Date: 05.02.2026

A	Occurrence (1 – 5) of issue in the period of
5	More than one time in a month
4	Once in a month
3	Once in a quarter
2	Once in six months
1	Once in a year

B	Severity (1 – 5) of identified risk against the issue
5	Stoppage of Proficiency Testing activities, such as accreditation process etc.
4	Partial operation, lead to major dis–satisfaction to the regular as well as new corporate customers / participants
3	Impact on the Proficiency Testing Provider activities, but can be controlled by deputing the extra efforts to complete the corporate customer requirements. However, this may lead to severity shown in 4 and 5, if extra resources are not provided in time
2	Negligible effect on the Proficiency Testing Provider activities and does not link with the corporate customer satisfaction. The issues can be handled internally without any additional resources
1	Not affecting the Proficiency Testing Provider activities at all

Risk level based on analysis and actions	
Magnitude of risk	**Action**
High – (20 and above)	If magnitude of risk (multiplication of A*B) is 20 and above, then take necessary action to reduce the risk. Record the mitigation plan in the Risk assessment and opportunity sheet.
Medium – (Above 10 and below 20)	If magnitude of risk (multiplication of A*B) is above 10 and below 20, then monitor it and consider risk as medium. Record the present controls in the Risk assessment and opportunity sheet.
Low – (Below 10)	No action is required