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## Relationship between SNI ISO 31000:2018 and other standard documents

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### Abstract

The SNI ISO 31000:2018 standard on risk management — the guideline to the implementation of SNI ISO 31000:2018 in the public sector is a standardization document that provides risk management instruction — guidelines, in the public sector. This study aimed to see the relationship between SNI ISO 31000 and other standard documents. The research method used was descriptive qualitative with theoretical gap. The results show that there is a relationship between SNI ISO 31000 and SNI ISO 9001:2015 on Quality Management Systems; there is a relationship between SNI ISO 31000 and SNI ISO 45001:2018 on Occupational Health and Safety Management Systems Requirements with guidance for use; there is a relationship between SNI ISO 31000 and ISO 14001:2015 on Environmental Management Systems Requirements with guidance for use; and there is a relationship between SNI ISO 31000 and SNI ISO 37000:2016 on Anti-Bribery Management System

**Keywords:** Risk Management, Quality Management Systems, Anti-Bribery Management System

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### 1. Introduction

The SNI ISO 31000:2018 standard on risk management – the guideline to the implementation of SNI ISO 31000:2018 in the public sector is a standardization document that provides risk management instructions – guidelines, in the public sector, organized by public sector organizations, namely executive, legislative, judicial, and other state institutions or sectors whose main functions and duties are related to the administration of the state, the funds of which are partly or wholly sourced from the State Budget and/or the Regional Budget.

This standard is not intended for the public sectors organized by public sector organizations whose funds are sourced from separated state assets.

The purpose of implementing risk management in the organization is to create and protect organizational value to achieve the vision and missions that have been set. Achieving these objectives will provide benefits to public sector organizations, including—at least—the following:

- providing public services;
- ensuring the achievement of the main objectives;
- increasing chances to take advantage of opportunities;
- improving the quality of planning and performance achievement;
- improving good relations with stakeholders;
- improving the quality of decision-making;
- increasing the sense of security for the leadership and all employees;
- improving organizational accountability and governance; and
- reducing shocks

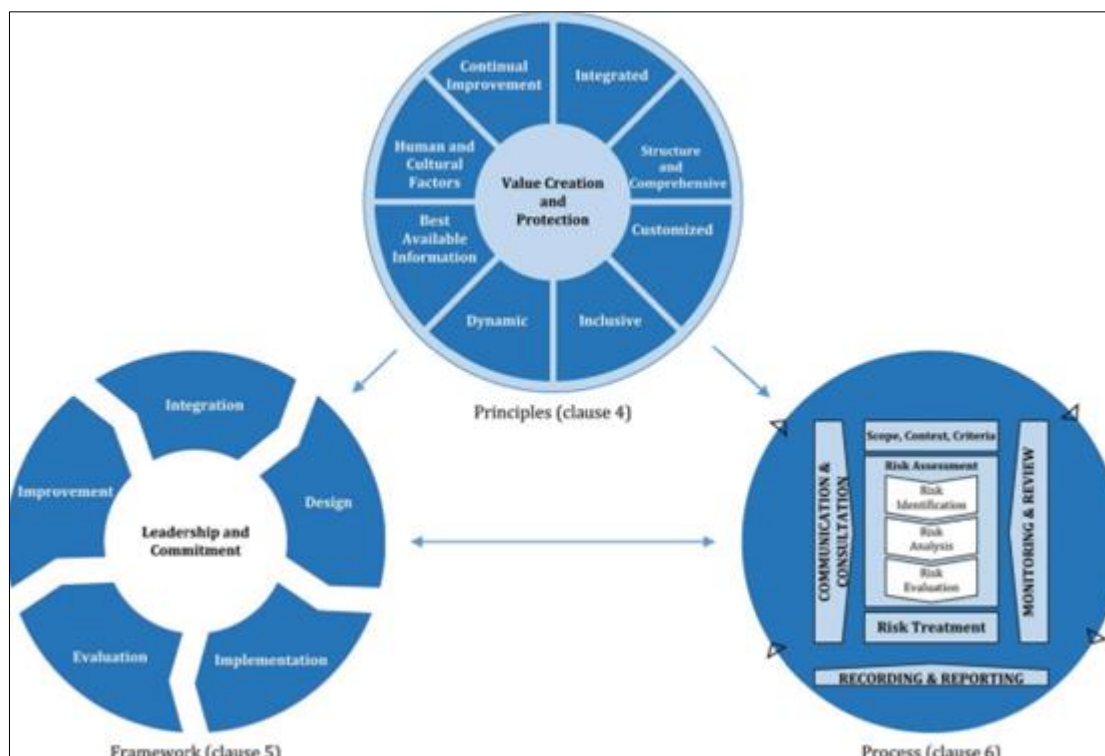
Furthermore, according to SNI ISO 31000:2018 Article 5.2, top management and regulatory body, where possible, should ensure that risk management is integrated into all organizational activities and demonstrate leadership and commitment by:

- Customizing and implementing all components of the framework;
- Issuing a statement or policy setting out a risk management approach, plan, or course of action;
- ensuring the necessary resources are allocated for risk management; and
- Defining the authority, responsibility required in the organization.
- The top management has accountability for managing risk, while the regulatory body has accountability for overseeing the implementation of risk management. The regulatory body is often expected or required to:
- Ensuring organization; risks are adequately considered when setting goals;
- Understanding the risks faced by the organization in achieving its goals

- Ensuring systems to manage these risks are applied and implemented effectively
- Ensuring the system fits the context of the organization's goals; and ensuring the availability of sufficient information about the risks faced and managed by the organization and ensuring proper communication.

Managing risk is part of governance and leadership and is the basis of how the organization is managed at all levels. These activities contribute to the improvement of the management system. Then, managing risk is also part of all activities related to an organization and includes interactions with stakeholders. Furthermore, managing risk takes into account the external and internal context of the organization, including human behaviour and cultural factors.

We can illustrate that managing risk is based on the principles, framework, and processes outlined in this implementation, as shown in Figure 1. These components may already exist in whole or in part within the organization, however, they may need to be adapted or improved so as to manage risk efficiently, effectively and consistently.



**Fig 1:** Principle, Framework, and Process of Risk Management

### Research Gap

A research gap is a condition that shows that there is an inconsistency between the results of the study that were formulated and all the supporting data. Research gaps usually occur because there are parts that are missed when conducting the study which then give different answers.

With a slightly different language, a research gap can also be interpreted as a research gap that comes from differences in the results of previous studies (covering concepts, theories, data, or problems in the field) which will be a gap for further studies.

In the business world, research gaps that arise can affect the profits to be obtained by the company. Research gaps can have a detrimental effect on business, where one of the disadvantages is a decline in customer satisfaction. Although

it can have a negative effect, conditions like this can be used as material for evaluating the company in running a business so it can continue to grow.

The research gap used in this study is the theoretical gap where the emphasis of the gap that occurs is on what theory is the basis for previous studies. There is a possibility that the previous basic theory has weaknesses or limitations that have not been able to support research. Or it could be that the research results obtained have not actually been explained by any theory.

Then, the grounded theory that is related to this study or that underlies this study and is used as reference material is standardization documents which are considered to be related to SNI ISO 31000:2018 on Risk Management, as follows:

**A. SNI ISO 9001:2015 on Quality Management Systems**

This standard can be used internally and externally. It is not intended by this Standard to:

- Uniform the structure of different quality management systems;
- Aligning documentation on the clause structure of this Standard;
- Using the terminology specific to this International Standard within the organization.

The quality management system requirements specified in this International Standard complement the requirements for products and services.

This standard applies a process approach, which combines the “Plan – Do – Check – Act” (PDCA) and “risk-based thinking” cycles.

The process approach helps organizations to plan processes and their interactions.

The PDCA cycle helps organizations to ensure that processes are managed with adequate resources, and opportunities for improvement are identified and implemented.

Risk-based thinking helps an organization to determine the factors that could cause its processes and quality management system to deviate from planned results, put in place preventive controls to reduce negative impacts and maximize the use of opportunities that arise.

Consistently meeting requirements and addressing future needs and expectations is a challenge for organizations in an increasingly dynamic and complex environment. To achieve this goal, organizations may find it necessary to adopt various forms of improvement in addition to continuous correction and improvement, such as breakthrough change, innovation and reorganization.

In this Standard, the following oral forms are used:

- “Must” indicates the requirements;
- “Should” indicates recommendation;
- “May” indicates permission;
- “Could” indicates possibility or ability.

**B. SNI ISO 45001:2018 on occupational health and safety management systems requirements with guidance for use**

This document complies with ISO requirements on management system standards. These ISO requirements include a high-level structure, identical core text and common terms in core definitions, which are designed to make it easier for users to apply multiple ISO management system standards.

This document does not cover requirements specific to other management subjects, such as quality, social responsibility, environment, safety and finance—although elements may be aligned or integrated with other management systems.

This document contains requirements that an organization can use to implement and assess conformity of occupational health and safety management system.

**C. ISO 14001:2015 on Environmental Management Systems Requirements with guidance for use**

The purpose of this standard is to provide organizations with a framework for protecting the environment and being responsive to changing environmental conditions to balance socio-economic needs. This standard specifies the requirements that enable an organization to achieve the expected results that the organization has set for its environmental management system.

A systematic approach to environmental management can provide top management with information to build on long-term success and make choices to contribute to sustainable development by:

- Environmental protection by preventing or mitigating adverse environmental impacts;
- Mitigating the potential adverse effects of environmental conditions in the organization;
- assisting the organization in meeting compliance obligations;
- Improving environmental performance;
- Controlling or influencing the way the organization's products and services are designed, produced, distributed, consumed and disposed of, using a life-cycle perspective that prevents unwanted environmental impacts from moving elsewhere in the lifecycle;
- Obtaining the financial and operational benefits that can result from implementing environmentally friendly alternatives that strengthen the organization's market position;
- Carrying out the communication of environmental information to interested parties.

This Standard, like other National Standards, is not intended to add to or reduce an organization's legal requirements.

**D. SNI ISO 37001:2016 on Anti-Bribery Management System**

In practice, compliance with this standard does not guarantee that bribery will not occur, because the risk of bribery cannot be completely eliminated. However, this standard can help organizations implement reasonable and proportionate designs to prevent, detect and respond to bribery. There are six principles in Anti-Bribery Management, as follows:

**1. Procedure**

Existing policies and procedures must be proportionate to the Bribery Risk faced. They should be adapted to the culture and scope of application in order to achieve the organization's objectives of preventing bribery. Significant risks require more extensive procedures and detailed methods, including established risk analysis and due diligence procedures.

**2. Leadership Commitment**

Effective leadership on bribery prevention is tailored to the size of the organization, management structure and current circumstances. Leaders can keep policies implemented, communicate them to vendors and guarantee the results of risk analysis.

**3. Risk Management**

Based on the relevant stakeholders and internal and external issues, the organization analyses the risks and documents them. In general, external risks are categorized into country risk, sector risk, transaction risk, the risk from business opportunities and partner risk. The complexity of the methods adopted reflects the maturity of the organization

**4. Due Diligence**

Activities (have procedures) carried out on processes/personnel/work units that have a risk value above the low threshold to ensure that nothing goes wrong. Due Diligence to business partners needs to examine the correctness of the location, their compliance with the rule of

law and their anti-corruption policy.

## 5. Communication

Each standard requirement must be communicated according to its designation. If necessary, make a list of communications and those in charge. What must be communicated is the anti-bribery policy and documentation to internal and external parties. Training for or socialization with organizational personnel is needed to facilitate communication.

## 6. Monitor and Evaluation

Monitoring is carried out through a compliance team that reports to top management. Monitoring is done regularly. The results of monitoring and review can be in the form of changes in risk, procedures, or policies that show the effectiveness of the implementation of SMAP.

### Formulation of the problem

According to Suryabrata (2005) in his book entitled *Metodologi Penelitian* (Research Methodology), a research problem is the gap between expectation (das sollen) and reality (das sein), between needs and what are available, and between what should be and what is.

The problems in this study are included in the descriptive problem formulation which aims to present a complete picture of a problem, as follows:

1. Is there a relationship between SNI ISO 31000 and SNI ISO 9001:2015 on Quality Management Systems?
2. Is there a relationship between SNI ISO 31000 and SNI ISO 45001:2018 on Occupational Health And Safety Management Systems Requirements with guidance for use?
3. Is there a relationship between SNI ISO 31000 and SNI ISO 14001:2015 on Environmental management Systems Requirements with guidance for use?
4. Is there a relationship between SNI ISO 31000 and SNI ISO 37001:2016 on Anti-Bribery Management System?

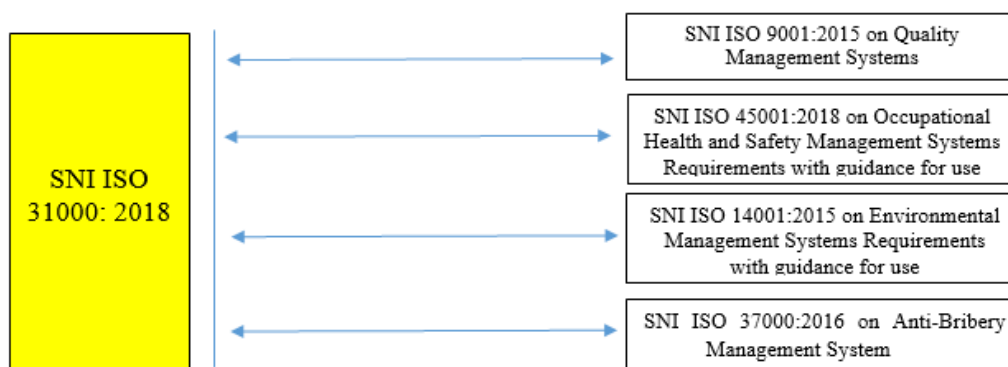


Fig 2: Research Framework

## C. Hypothesis

According to CR Kothari (2009), a hypothesis is a predictive statement that connects the independent variable to the dependent variable. Usually the research hypothesis contains at least one independent variable and one dependent variable. Meanwhile, according to Piergiorgio Corbetta (2003), a hypothesis is a proportion that shows the relationship between two or more concepts or the interconnection between concepts.

## 2. Research methodology

### A. Research Methodology

Research methodology is a scientific way to obtain valid data with the aim of being able to find, develop, or prove a certain knowledge so that in turn it can be used to understand, solve, and anticipate problems in a particular field. The types of research methodology can be grouped according to the field, objective, methodology, level of explanation and time. According to the field, research can be divided into academic, professional and institutional research. In terms of objective, research can be divided into pure and applied research.

In terms of methodology, it can be divided into survey research, experiment research, naturalistic research, policy research, evaluation research, action research, history research as well as research and development. From the level of explanation, it can be divided into descriptive, comparative and associative research. Meanwhile, in terms of time, it can be divided into cross sectional and longitudinal research.

This relationship study used descriptive qualitative research methodology. According to Sugiyono (2005), the descriptive method is a method used to describe or analyse a research result but is not used to make broader conclusions.

The purpose of this descriptive research is to make a systematic, factual and accurate description, picture, or painting of the facts, characteristics and relationships between the phenomena being investigated.

### B. Research Framework

The research framework is a concept that exists in a study by connecting the visualization of one variable to another, so when conducting research, it becomes systematically structured and can be accepted by all parties.

Furthermore, according to Sugiyono (2005), the meaning of the research framework is the flow of thinking by applying various conceptual models about how theory relates to factors that have been identified as problems in research topics with a systematic arrangement. The research framework for this study is as follows:

### The types of hypotheses are as follows

#### 1. Descriptive Hypothesis

Descriptive hypothesis is an allegation or provisional answer to a descriptive problem related to a single/independent variable.

#### 2. Comparative Hypothesis

Comparative hypothesis is an allegation or temporary answer to the problem formulation that questions the comparison between 2 research variables.



### 3. Associative Hypothesis

Associative hypothesis is an allegation or temporary answer to the problem formulation that questions the relationship (association) between 2 research variables.

For this research, the type hypothesis used is the Descriptive Hypothesis, as follows:

- 1) There is a relationship between SNI ISO 31000 and SNI ISO 9001:2015 on Quality Management Systems;
- 2) There is a relationship between SNI ISO 31000 and SNI ISO 45001:2018 on Occupational Health and Safety Management Systems Requirements with guidance for use; and
- 3) There is a relationship between SNI ISO 31000 and ISO

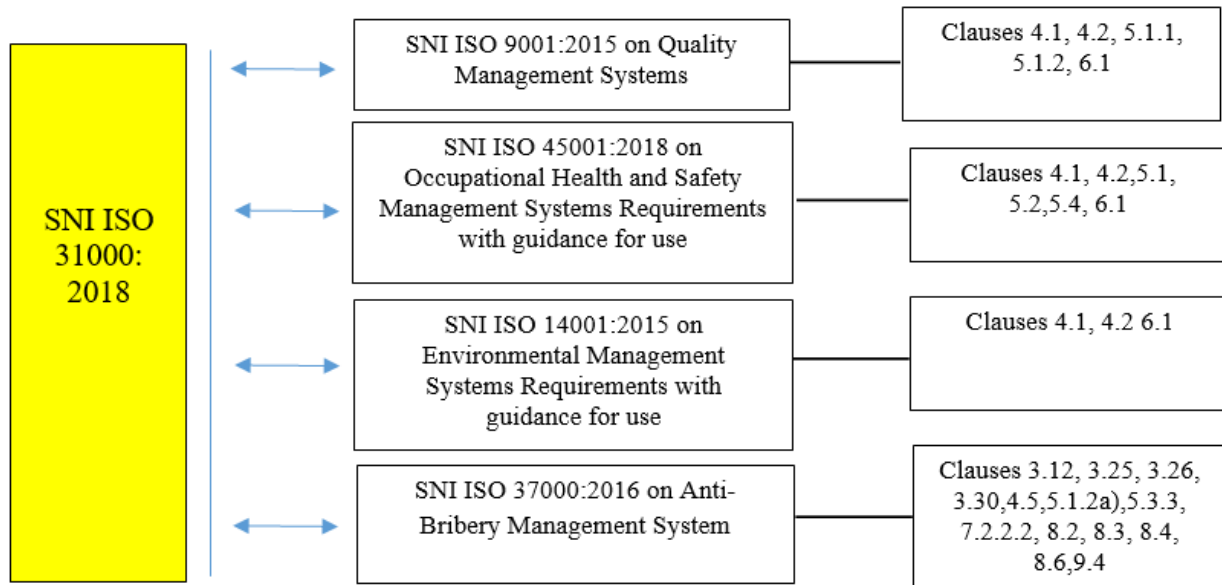
14001:2015 on Environmental Management Systems Requirements with guidance for use.

- 4) There is a relationship between SNI ISO 31000 and SNI ISO 37001:2016 on Anti-Bribery Management System.

### 3. Results and discussion

The results of this study contain the results of the analysis/implementation of the system equipped with pictures. Furthermore, the discussion of this study contains the suitability of the study results with the objectives and research theory in the previous chapter.

After conducting an in-depth qualitative descriptive analysis, the following research results were obtained:



**Fig 3:** Relationship between SNI ISO 31000 with Other Standard Documents

The discussion regarding the relationship between SNI ISO 31000 and Other Standard Documents is as follows:

1. Relationship with SNI ISO 9001:2015 Quality Management Systems document.

In this document, it is stated:

- a. Clause 4.1

#### 4.1 Understanding the organization and its context

The organization must determine internal and external issues relevant to its strategic objectives and directions that could affect its ability to achieve the desired results of the quality management system. The organization must monitor and review information on internal and external issues

- b. Clause 4.2

#### 4.2 Understanding stakeholder needs and expectations

Because of the impact or potential impact on the organization's ability to consistently provide products and services that meet customer and regulation and organizational statutory requirements, the organization must determine:

- a) Interested parties relevant to the quality management system
- b) Requirements of interested parties relevant to the quality management system.

Organizations should monitor and review information about these interested parties and their relevant requirements.

- c. Clause 5.1.1

#### 5.1.1 General

Top management must demonstrate leadership and commitment to the quality management system by:

- a. Taking responsibility for the effectiveness of the quality management system;
- b. Ensuring quality policies and objectives are established for the quality management system and are aligned with the context and strategic direction of the organization;
- c. Ensuring the integration of the quality management system requirements into the organization's business processes;
- d. Promoting a caring approach to risk-based thinking and processes;
- e. Ensuring that the necessary resources for the quality management system are available;
- f. Communicating the importance of effective quality management and compliance with quality management system requirements;

- g. Ensuring the quality management system achieves the intended results;
- h. Engaging, directing and supporting people to contribute to the effectiveness of the quality management system;
- i. Promoting improvement;
- j. Supporting other relevant management roles to demonstrate leadership in their area of responsibility.

d. Clause 5.1.2

5.1.2 Customer focus

Top management must demonstrate its leadership and commitment to customer focus by ensuring that:

- a. customer and regulation and organizational statutory requirements are fulfilled;
- b. risks and opportunities that have an impact on products and services as well as the ability to increase customer satisfaction are determined and communicated;
- c. focus on customer improvement is maintained.

e. Clause 6.1

6.1 Actions that address opportunities and risks

2. Relationship with SNI ISO 45001:2018 document on Occupational Health and Safety Management Systems Requirements with guidance for use.

In this document, it is stated:

a. Clause 4.1

**4.1 Understanding the organization and its context**

The organization must determine the external and internal issues that are relevant to its objectives and that affect its ability to achieve the expected results of the occupational health and safety management system;

**b. Clause 4.2**

4.2 Understanding the needs and expectations of workers and other interested parties. The organization must determine:

- a. Other interested parties, other than workers, relevant to the occupational health and safety management system;
- b. The relevant needs and expectations (i.e., requirements) of workers and other interested parties;
- c. Needs and expectations which constitute, or could become, statutory and other requirements.

**c. Clause 5.1**

5.1 Leadership and Top management commitment must demonstrate leadership and commitment with respect to the occupational health and safety management system;

d. Clause 5.2

5.2 Occupational health and safety policy;

Top management must establish, implement and maintain an occupational health and safety policy;

f. Clause 5.4

5.4 Consultation and worker participation

The organization must establish, implement and maintain processes for the consultation and participation of workers at all applicable levels and functions, and, where applicable, workers' representatives, in the development, planning, implementation, performance evaluation and corrective action of an occupational health and safety management system;

Clause 6.1

6.1 Actions for managing risks and opportunities

3. Relationship with SNI ISO 14001:2015 document on

Environmental Management Systems Requirements with guidance for use.

In this document, it is stated:

a. Clause 4.1

4.1 Understanding the organization and its context

The organization must determine internal and external issues that are relevant to its objectives and which may affect its ability to achieve the expected results of the environmental management system. The issue should include environmental conditions that are affected by or capable of affecting the organization.

b. Clause 4.2

4.2 Understanding stakeholder needs and expectations

The organization must determine:

- a. Interested parties relevant to the environmental management system;
- b. The relevant needs and expectations (requirements) of the interested parties;
- c. The relevant needs and expectations of interested parties are a compliance obligation for the organization.

c. Clause 6.1

6.1 Actions that address risks and opportunities

4. Relationship with SNI ISO 37000:2016 on Anti-Bribery Management System

SNI ISO 31000:2018 can be used as the basis for management system standards, the better the analysis the more it will determine the maturity of the organization. The SNI ISO 37000:2016 can be used as a complement to the existing management system to strengthen the effectiveness/efficiency of the business wheel as a 'door' for incoming and outgoing information. So, it can be concluded that SNI ISO 31000:2018 is the foundation of ISO 37000:2016.

a. Clause 3.12 Risk

3.12 Risk is the impact of uncertainty on objectives.

b. Clause 3.25 Personnel

3.25 Personnel can be directors, employees, temporary staff or workers and volunteer workers of the organization. Different types of personnel pose different types and degrees of bribery risk and may be treated differently by bribery risk assessment and bribery risk management procedures.

c. Clause 3.26 Business Partners

3.26 business partners are external parties to which the organization has, or plans to establish; several forms of business relationships have different types and degrees of bribery risk, and the organization will have different degrees of ability to influence different types of business partners.

d. Clause 3.30 Due Diligence

3.30 Due diligence is a process to further assess the nature and extent of bribery risk and assist the organization to make decisions relating to specific transactions, projects, activities, business partners and personnel.

e. Clause 4.5 Bribery Risk Assessment

f. Clause 5.1.2 Top Management

a) Ensuring that an anti-bribery management system, including policies and objectives, is established, implemented, maintained and adequately reviewed which is intended to address bribery risks to the organization.

g. Clause 5.3.3 Delegated Decision Making

Given that the risk of bribery is above the low threshold, the organization must establish and maintain a decision-making process.

a. Clause 7.2.2.2

With respect to all positions exposed to bribery risk above the

low threshold as specified in the bribery risk assessment and for the anti-bribery compliance function, the organization must implement appropriate procedures.

#### Clause 8.2 Feasibility test

When a bribery risk assessment in the organization is carried out and the bribery risk has been assessed as being above the low threshold.

#### Clause 8.3 Financial controls

The organization must implement financial controls that manage bribery risks.

#### Clause 8.4 Non-financial controls

Organizations must implement non-financial controls to manage bribery risk associated with areas such as procurement, operations, sales, commercial, human resources, legal and regulatory activities.

#### Clause 8.6 Anti-bribery commitment

For business partners who pose a bribery risk above the low threshold, the organization must carry out the required procedures.

Clause 9.4 Review on anti-bribery compliance function must assess on an ongoing basis whether the anti-bribery management system:

a) adequately Manage the bribery risks faced by the organization

## 4 Conclusion

**The conclusions of this study are as follows:**

1. There is a relationship between SNI ISO 31000 and SNI ISO 9001:2015 on Quality Management Systems;
2. There is a relationship between SNI ISO 31000 and SNI ISO 45001:2018 on Occupational Health and Safety Management Systems Requirements with guidance for use;
3. There is a relationship between SNI ISO 31000 and ISO 14001:2015 on Environmental Management Systems Requirements with guidance for use; and
4. There is a relationship between SNI ISO 31000 and SNI ISO 37000:2016 on Anti-Bribery Management System.

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