

COLLEGE OF CLINICAL PHARMACY RISK MANAGEMENT PLAN 2019-2023



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Abbreviations

Abbreviation	Description
COCP	College of Clinical Pharmacy
DQAA	Deanship of Quality and Academic Accreditation
EIRS	Electronic Incident Reporting System
IAU	Imam Abdurrahman Bin Faisal University
ISO	International Organization for Standardization
KSA	Kingdom of Saudi Arabia
RM	Risk Management
RMC	Risk Management Committee
RMH	Risk Management Handbook
RMO	Risk Management Officer
RMS	Risk Management System
RMP	Risk Management Program
RMU	Risk Management Unit
RTAP	Risk Treatment Action Plan
RCA	Root Cause Analysis
VDQ	Vice Dean Quality

Glossary

Term	Description
Risk	Effect of uncertainty on the achievement of objectives.
Incident	Any accident, event or circumstance that led to harm, loss or damage to people (student, faculty, staff, visitors, and/or facility), property, reputation, or other occurrence that could impact on the university's ability to achieve its objectives.
Near-miss	Any process variation that did not affect an outcome but for which a recurrence carries a significant chance of a serious adverse outcome.
Adverse event	An unanticipated, undesirable, or potentially dangerous occurrence in an organization.
Sentinel event	Sentinel events are unexpected events that result in serious physical or psychological injury. Examples of the most commonly occurring sentinel events happening in university which ranges from person falling on premises leading to serious physical injuries /harassment /violence/death or even psychological injury – which signal the need for immediate investigation and response.
Incident report	An incident report is an official report taken by faculty, staff and students of college to document information about an incident.
Incident report system	A system used to document the details of an incident. It is a primary communication mechanism used to identify events or situations that may present liability exposure.
Risk Register	It is a record of the details of all risks that have been identified along with their analyses and plans for how those risks will be treated.
Risk Management	Planned and systematic approach to identification, evaluation and control of risk.
Risk Management policy	A statement which expresses the University's commitment to risk management and clarifies its general direction or intention. Typically, it includes a description of the risk management framework, roles and responsibilities, annual cycle, definitions etc.
Risk Identification	Process of finding, recognizing and describing risks.
Risk Analysis	Process that is used to understand the nature, sources, and causes of risk that is identified and to estimate the level of risk. It is also used to study impacts and consequences and to examine the controls that currently exists.
Risk Evaluation	Process that is used to compare the risk analysis results with risk criteria in order to determine whether a specified level of risk is acceptable or tolerable.
Risk Assessment	Overall process of risk identification, analysis and evaluation.

Risk Likelihood	The chance that something might happen-can be defined, determined, or measured objectively or subjectively and can be expressed either qualitatively or quantitatively (using mathematics).
Risk Consequence	It is the outcome of an event and has an effect on objectives. Single event can generate range of consequences which can have both positive and negative effects on objectives. Initial consequences can also escalate through cascading and cumulative effects.
Raw Risk	Risk score obtained before treatment of risk.
Residual Risk	Risk remaining after risk treatment.
Risk Severity- Heat Map Matrix	A matrix on which the level of risk consequence and likelihood are plotted to determine risk severity.
Risk Score	A score, based on a combination of consequence and likelihood and derived from the risk heat map, representing level or magnitude of risk, and used primarily to prioritize risks.
Risk Assessment Matrix	A tool that combines a heat map with criteria for risk analysis.
Root Cause Analysis	A process for identifying the basic or causal factors that underlies variations in performance, including the occurrence or possible occurrence of sentinel event (incident is severe risk in nature). An RCA focuses primarily on systems and processes and not individual performance
Risk Treatment	Process of selecting and implementing or modifying controls to manage risk.
Risk Control	Risk controls include any process, policy, device, practice, or other actions which modify risk. A control is any measure, operated by the organization, intended to modify a risk.
Risk Monitor	Process of continual checking, critically observing, or determining the status of a risk, control or risk management process in order to identify needed change.
Risk Review	An activity to determine the suitability, adequacy and effectiveness of what is being done by the entity to achieve risk management objectives.
Risk Owner	A person or entity with the accountability and authority to manage a risk.
Risk Manager	Person responsible for administering an organization's overall risk management framework. Specific person is assigned to monitor each risk (for example X will be responsible for all the health and safety risks while Y will be responsible for strategic risks) or more than one risk, based on the risk category.
Risk Coordinator	Person responsible for administering risk management activities for a specific risk on behalf of a risk owner.

Risk appetite	Amount and the type of risks that an organization is willing to pursue or retain.
Risk Management Plan	Scheme within the risk management framework specifying the approach, the management components and resources to be applied to the management of risk.
Risk Management Framework	Set of components that provide the foundations and organizational arrangements for designing, implementing, monitoring, reviewing and mitigating risks.
Risk profile	Description of any set of risks.
Risk Description	A structured description of a risk, which separates cause, event and consequences. It is an elaboration of the short-form risk event title, intended to provide a short summary of the risk.

1. INTRODUCTION

1.1 COLLEGE OVERVIEW

The College of Clinical Pharmacy (COCP) was established by the Royal Decree no. 5088/MB dated 7/8/1432H (8/7/2011CE). The College has since then strived to deliver the high-caliber PharmD program for pharmacy students in 1434/1435H (2013/14CE). The College has a six-year PharmD program. The program is structured in the semester system with the total of 177 credit hours and the medium of instruction is English.

The first cohort of pharmacy students was enrolled in the program in the academic year of 2013/2014 with 11 male and 26 female students. A total 193 graduates (i.e. 77 males and 116 females) from the program and most of them have been employed by academia, hospitals, community pharmacies and pharmaceutical industry. Currently the total number of students enrolled in the program is 319 students (i.e. 140 males and 179 females), in addition to 87 interns (i.e. 35 males and 52 females).

Department of Pharmacy practice

The Department of Pharmacy Practice seeks to be a leader in pharmacy education, research and community services. The department provides the basic and advanced coursework in clinical practice, social and administrative pharmacy and practical skills training components of the curriculum that makes Doctor of Pharmacy graduates able to deliver effective and cost-efficient pharmaceutical care. Students can acquire the knowledge and skills in different specialties of clinical pharmacy and pharmacy practice such as drug information, internal medicine, critical care, ambulatory care, cardiology, infectious disease and clinical pharmacokinetics pharmacoepidemiology, pharmacoconomics and pharmacy management.

The Department of Pharmacy Practice contributes to the Imam Abdulrahman Bin Faisal University's research missions through collaborations with colleagues from other departments in the college, other colleges at IAU and other health institutions inside and outside the KSA. Our faculty, interns and students are developing and conducting cutting edge research focusing on the improvement of patient care, medication safety and efficacy, adherence and the health-related quality of life.

The Department of Pharmacy Practice contributes to the community service mission through serving the community. The faculty, intern and students are engaged in different community services including promoting the awareness about different medications and other activities. These community campaigns targeted students in the schools, public in the malls and patients in the hospitals.

Department of Pharmaceutics

Pharmaceutics is the discipline of pharmacy that deals with all aspects of the conversion of new effective drugs or old drugs to pharmaceutical forms to be used safely, effectively and appropriate for the patient, both in factories or pharmaceutical preparation laboratories, which is safe, effective

The Department of Pharmaceutics seeks to improve the educational process of the Pharm D program by contributing to the improvement of the quality of pharmaceutical education

The courses offered by the department focus on basic pharmaceutical knowledge and skills like, fundamental and physical pharmacy, dosage forms design, biopharmaceutics and pharmaceutical quality control. Advanced courses also delivered like pharmacokinetics, new drug delivery systems and pharmaceutical technology, as well as the study of the principles of good manufacture practice in pharmaceutical industry.

The department implements several teaching methods including the use of the Web Programs.

The department contributes to the research activities of the college by utilizing the state-of-the-art research laboratory which houses different instrumentation such as differential scanning calorimetry, particle sizer analyzer with zeta potential, automated dissolution system, tableting machine and automated Transdermal diffusion tester and covering the new research areas like nanoparticles.

The faculty members actively participate in community services and campaigns to increase the awareness of people about the rational drug use and the optimum use of medications.

Department of pharmaceutical chemistry

Since the date of its establishment, the Pharmaceutical chemistry department works with other college departments in preparing pharmacists working in all regions of the Kingdom and in all branches of the pharmaceutical and health profession including community, hospital, and industry.

In addition, courses at the chemistry department contributes to a high extent in developing the required skills for the college graduates especially those who aim to work in pharmaceutical industry and research and development.

The Pharmaceutical Chemistry department provides learning experiences based on the best educational practices for all students in different chemistry subjects including, organic chemistry, medicinal chemistry, drug design, pharmaceutical analytical chemistry. These courses emphasize fundamental understanding in the physical, chemical, and biological processes of drugs and drug-related systems, and innovated therapies as well as pharmaceutical analysis and quality control.

The department is dedicated to support excellence in pharmaceutical chemistry education. We are committed to teaching all pharmaceutical chemistry subjects through strong innovative teaching modules. The department is continuously reviewing its course specs and is always utilizing various teaching and learning strategies that make their students the hub of the learning process and that are integrated with properly aligned assessment plans.

Moreover, the department is well established with several laboratories equipped with state-of-the-art instrumentation. The faculty members have conducted cutting edge scientific research in the fields of medicinal chemistry, drug discovery, pharmaceutical analytical chemistry, and organic chemistry. The department has attracted funding from various organizations and is producing a high number of research articles published in distinct and high impact peer reviewed scientific journals.

Faculty members of the department are also contributing in the students' graduation projects.

Courses assigned by Pharmaceutical Chemistry department are important components of the PharmD curriculum and represent essential foundation for other courses in the Pharm D program in areas such as pharmacology and pharmacy practice.

Our faculty members actively participate in all community services and campaigns that are held by the college, and work hardly to implement consultancy services to the different pharmaceutical sector in the region.

Department of Pharmacology

Department of Pharmacology is the first department among the pharmaceutical sciences departments within the college, that serves in addition; college of medicine, applied medical sciences, nursing, and public health at an undergraduate and postgraduate levels. The department covers pharmacology courses, therapeutics and clinical toxicology as per program needs. Faculty are involved continuously with the latest advances in basic science research such as discovery of new therapeutic targets, and the mechanisms by which drugs produce responses in living cells, to a hospital-based clinical research. While it is thriving to recruit more qualified PhD holders with vast research background and teaching experience, the department continues to support demonstrators and lectures to pursue their postgraduate education abroad. The department is intending to expand with toxicology branch in the near future.

Department of Natural Products and Alternative Medicine

The department is involved in teaching and research activities related to extraction, isolation, analysis and method developments of herbal, pharmaceutical, cosmeceuticals, pesticides and nutraceuticals. Many research projects and articles have been completed and published by the department in high impact factor journals. The department is collaborating with pharmaceutics, Pharmacology and Pharmacy practice department for various projects where herbal nanoformulations are prepared, optimized, studied in various in vitro and in vitro animal models. Herbal formulations are tested for treatment of prevalent diseases in the kingdom i.e., diabetes, hypertension, cancer etc.

1.2 VISION, MISSION AND VALUES of COCP

VISION

A preeminent college of pharmacy recognized in pharmacy practice education, pharmaceutical services and research

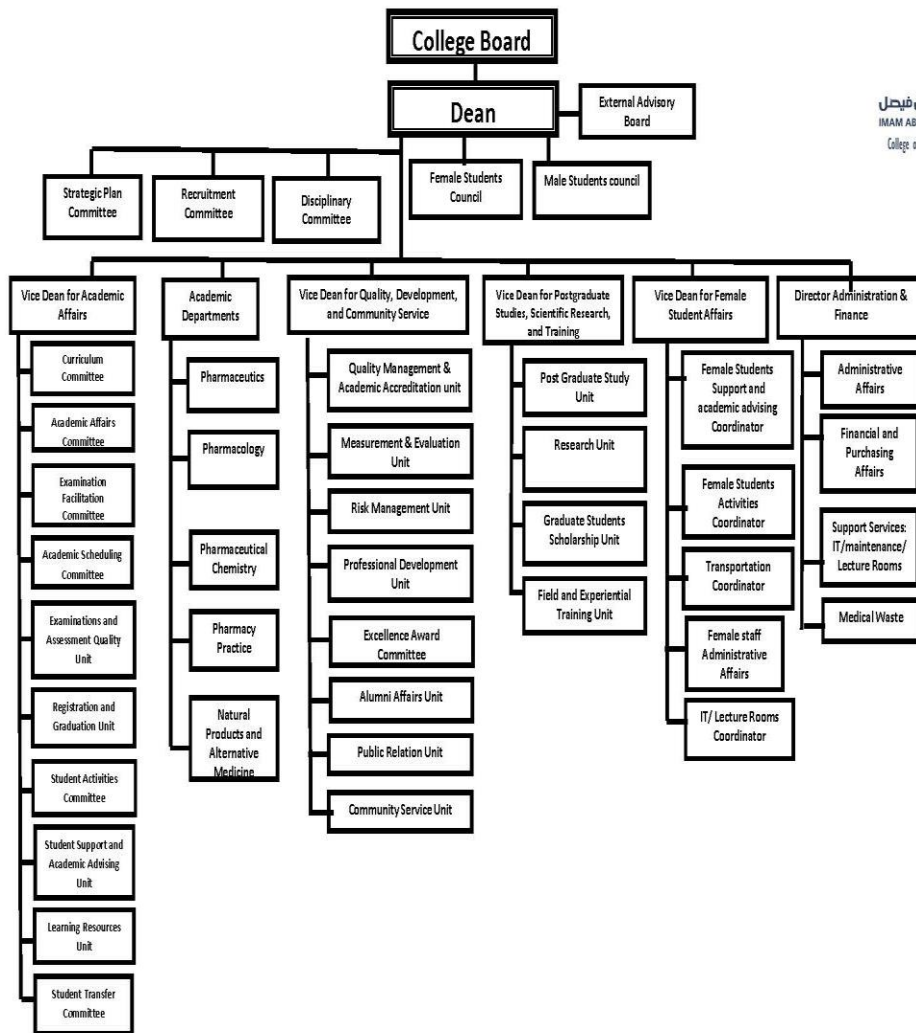
MISSION

Providing high quality pharmaceutical education and research to serve patients and the community

VALUES

**Equality, Diversity, Professional excellence, creativity and innovation,
Teamwork, Life-long and social responsibility**

1.3 ORGANISATIONAL STRUCTURE



2. RISK MANAGEMENT PROGRAM

2.1 PURPOSE

Risk Management is one of the key administrative function observed in the university and in its colleges and administrative units (RM Handbook IAU). In line with the university's Risk Management Program, COCP has adopted its RM Program. Therefore, the current document (RM Plan) describes the RM program of College of Clinical Pharmacy in detail.

2.2 OBJECTIVES

The objectives of risk management of College of Clinical Pharmacy are to:

- Identify and manage existing and new risks in COCP
- Develop awareness of employees and students on risk management to encourage them to identify incidents leading to risks and report in Hemaya system.
- Ensure safety of students, faculties, staff and visitors.
- Protect and enhance academic reputation of COCP.

The goals and objectives of risk management of COCP are consistent with policy and procedure of Imam Abdurrahman Bin Faisal University on risk management.

2.3 SCOPE

The risk management plan of COCP covers the programs provided by the college. It is intended to identify and manage the risks that threaten the ability of COCP to meet its objectives. In line with RM policy of Imam Abdurrahman Bin Faisal University, the risks are in different categories viz., strategic, operational, compliance, financial, health, safety and environment, human resource and reputational risks will be identified, and appropriate measures would be initiated at COCP.

2.4 APPROACH

The following key principles outline the approach of COCP towards risk management:

- Embed risk management throughout the academic programs and professional services of COCP
 - Ensure that risks are identified and closely monitored on a regular basis at all levels.
 - Relate all risks with the goals and objectives of the college (strategic plan).
- Use a consistent and transparent approach towards risk management.

2.5 PROCESS

In line with risk management framework of Imam Abdurrahman Bin Faisal University, which is consistent with ISO 31000,2009, the risk management process at COCP is designed to ensure an informed decision-making and consistent assessments. The risk management process of COCP consists of five steps as outlined in (fig 1).

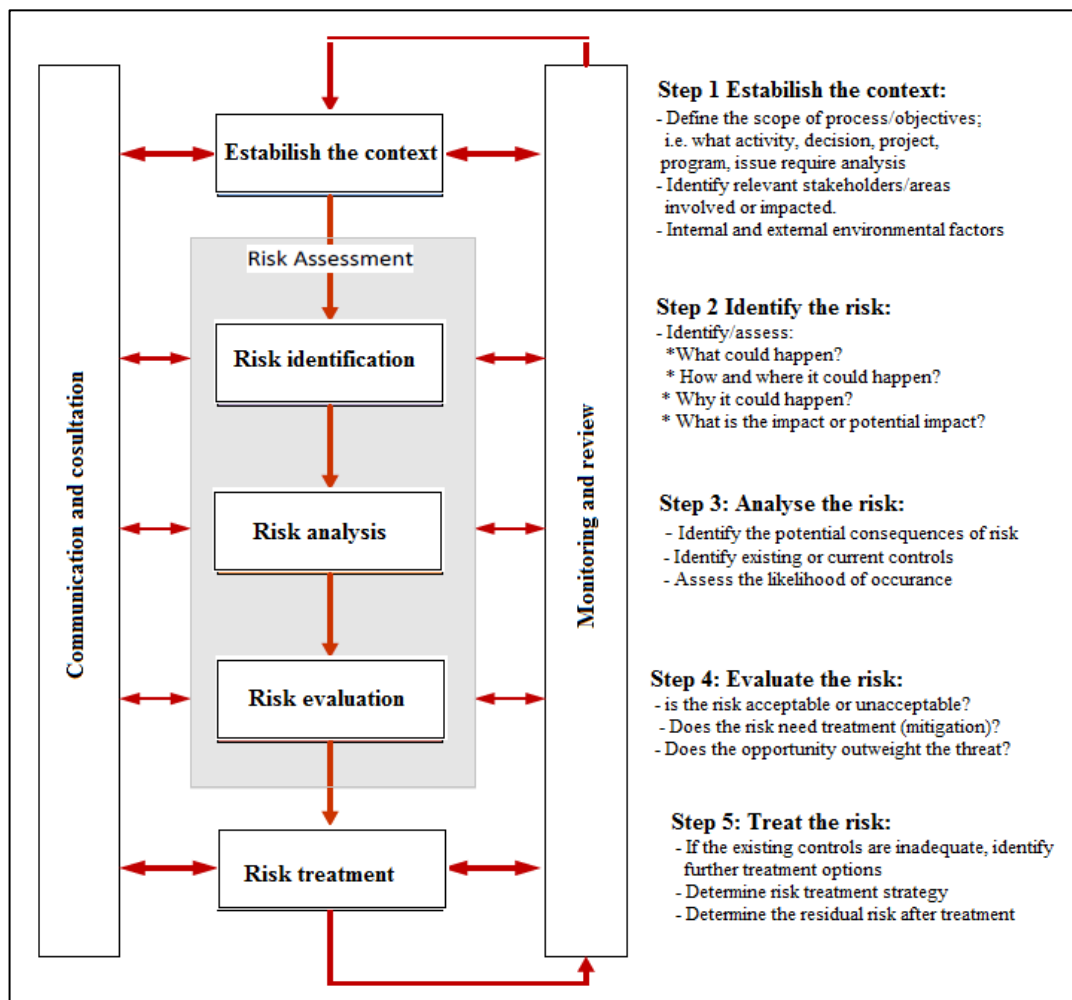


Fig 1. Risk Management Process

Step 1. Establishing the context

The COCP has drafted its RM Plan keeping the internal factors (Mission, vision, and strategic goals and objectives, academic programs and critical activities initiated) and external factors (includes external stakeholder perceptions and expectations and relevant social, cultural, political, financial, technological, economic, legal/regulatory, or competitive factors) that influence its objectives and functions. It aims to build its risk management system to deal with related issues in a standard manner.

Step 2. Risk Identification

In risk management process, an important stage is to identify the risks to be dealt by the RM system. In this regard, the COCP has decided to follow the seven risk categories, so that it will have better alignment with the university (fig 2).



Fig 2. Risks Categories Identified in COCP
(Source: RM Handbook IAU)

In understanding the risk categories, a clear description is necessary therefore given in table 1 below.

Table 1. Risk Categories and Description (Source: RM Handbook IAU)

Risk Categories	Description
Compliance risks	Risks or opportunities related to violations of law, regulation, or university policy or procedure, may result in fines, penalties, lawsuits, settlements and cuts in the funding. IAU expects compliance with its policies and procedures by all staff.
Financial risks	Risks or opportunities arise in managing physical assets or financial resources, investments, fraud, cash management, insurance, accounting and reporting. It may arise due to failure to meet targets, developments happening internally and externally affecting its financial plans.
Health, Safety, and Environment risks	Risks or opportunities may arise with injury, damage, or health and safety of the campus population or the environment. The impacts may be caused by accidental or unintentional acts, errors or omissions, and external events such as natural disasters resulting in legal liabilities.
Human Resources risks	Risks or opportunities arise with managing human resources for instance in recruiting, decisions on compensation & benefits, implementing performance standards and in employee engagement practices. IAU places importance on a culture characterized by agility, collegiality, dignity, equality and diversity, focus on delivery, high performance, respect and timeliness.
Reputation risks	Reputation risks includes all the risks that can harm the reputation of the university and its strategic position at the national, regional and global level. University reputation risks include academic

	reputation risks; scientific research reputation risks; financial reputation risks and administrative reputation risks.
Operational risks	Risks or opportunities may arise while managing university programs, processes, activities, and facilities. Operational risks mainly associated with four core areas of university – teaching, research, learning and managing operations. Risks may arise while handling students.
Strategic risks	Risks or opportunities may arise in achieving mission, strategic goals and objectives of university. It may arise with positioning university in competitive market, enrollment management, ethical conduct and accreditation

Step 2 (a) HEMAYA: ELECTRONIC INCIDENT REPORTING SYSTEM

In identification of risks under seven categories, the IAU has introduced Hemaya (حماية) in Arabic, meaning 'to Protect', the Electronic Incident Reporting System (hemaya.iau.edu.sa), which allows faculty, staff and students to identify and report incidents/risks. The purpose of introducing Hemaya is to build a culture of safety and security across the university thereby reducing any deviations and protecting people and properties. The system ensures a consistent reporting, investigation and help in preventing the reoccurrence of incidents. All reported incidents in Hemaya are going to be kept confidential and free from blaming, and dealt appropriately by officials related to RM viz., RMO, VDQ, Dean at COCP.

Step 2 (b) HEALTH, SAFETY AND ENVIRONMENT MONITORING

To supplement the risk reporting system (Hemaya), the COCP has plans to focus on minimising hazards to students, faculty, staff and visitors, therefore will carry out a systematic and periodic inspection to health, safety and environment. It will carry out Health, Safety and Environment Monitoring with the help of Directorate of Security, Safety and Occupational Health, IAU. A checklist that includes hazard factors in environment, fire safety, first kits for accidents and personal protective equipment (PPE) is prepared for this purpose. (Annexure 5)

Step 3. Risk Analysis

After identifying risks under different categories of risks through Hemaya- Electronic Incident Reporting System (hemaya.iau.edu.sa), administrators of RM at COCP (RMO and VDQ) will analyse and evaluate each risk based on its probability of occurrence and consequences by adopting following formula*:

$$\text{Risk Score} = \text{Consequence of Impact} \times \text{Likelihood}$$

The COCP follows in this regard an assessment pattern in table 2 and 3 (Risk Management Handbook IAU).

Table 2. Assessment of Likelihood (Incident)

Likelihood (Probability)	Score	Description
Almost certain	5	<ul style="list-style-type: none"> The event is expected to occur in most circumstances There could be a history of regular occurrence If a NEW event, likelihood of occurrence regarded as almost inevitable
Likely	4	<ul style="list-style-type: none"> There is a strong possibility the event will occur Expected to occur this year There may be a history of frequent occurrence
Possible	3	<ul style="list-style-type: none"> The event might occur at some point in time May occur within the next three years There could be a history of casual occurrence Most of the team with knowledge that the risk might occur
Unlikely	2	<ul style="list-style-type: none"> High unlikely, but it may occur in exceptional circumstances Could occur at some point within the next five years No or very limited experience of a similar failure If it happened, there is sufficient controls
Rare	1	<ul style="list-style-type: none"> Has not occur before Could occur at some time in the next 10 years

Table 3. Risk Impact- Consequence Score

Score	Health and Safety	Financial	Reputation	Compliance	Operational	Human resources	Strategic	
Severe	5	Multiple fatalities and/or extensive injuries to students, staff, faculty, contractors and visitors within university campuses.	Serious one-loss of income/ causing loss greater than 500,000 SAR	Serious and sustained adverse media comments at national level with long term impact	Serious noncompliance leading to suspension or discontinuance of business or outsourcing/ privatization of core services and/or functions	Disaster- Severe disruption with prolong impact on the operational activities / service deliveries of the university	Severe impact on employee motivation leading to dissatisfaction and industrial unrest (causing reduction of students enrolment) University-wide	Disaster- Severe disruption to the strategic priorities / services of the university/ college/department with a prolong impact - Need to deal both internal and externally
Major	4	Individual fatality and/or serious injuries	loss of income/ causing loss greater than 100,000 but up to 500,000 SAR	Major short-term damage to reputation with adverse media comments at regional level	Noncompliance has major impact causing intervention, sanctions, and legal action.	Major disruption to service delivery -- duration is for more than 3 months -- effect limited to one college/ deanship/ department	Major impact on employee motivation resulting in poor quality service (causing reduction of students enrolment in a college/ department)	Major disruption to the strategic priorities / services of the university / college/department (impact confine on one college/ deanship/ department)-- dealt with internally
Moderate	3	Moderate number of injuries -- not like threatening	loss of income/ causing loss greater than 50,000 but up to 100,000 SAR	Moderate, adverse local media comment -- short term impact	Noncompliance has moderate impact resulting to reprimand or sanctions, legal action	Moderate impact on service delivery at professional service level -- duration is for a month -- dealt with internally	Moderate impact on employees' motivation (causing reduction of students enrolment in courses)	Moderate impact to the strategic priorities / services of the university / college/department with impact duration for a month
Minor	2	Minor injuries affecting relatively small number of individual	loss of income/ causing loss greater than 10,000 but up to 50,000 SAR	Minor local adverse media comment/ public perception	Noncompliance has minor impact leading to warning, threat of sanctions	Minor impact on service delivery - duration is for short time -- dealt with internally	Minor impact on employees' motivation - Affects motivation of small groups of employees-- (leading to dissatisfaction in students in a course).	Minor impact to the strategic priorities / services of the university / college/department with impact duration for short time
Low	1	Superficial injuries affecting very small number of individual	loss of income/ causing loss up to 10,000 SAR	Damage is much localized, does not result in adverse media comments	Noncompliance has low impact , no reprimand, sanction, or legal action	Low / temporary impact on service delivery- duration is very short	Low impact - limited to individuals	Low / temporary impact on service delivery- duration is very short

Step 4. Risk Evaluation

As per risk analysis and score obtained, the COCP identify the risk severity of each risk through administrative mechanism of RM in college.

The risk assessment matrix (fig 3) helps in prioritising the risks based on severity.

Likelihood	Almost Certain	5	5	10	15	20	25
	Likely	4	4	8	12	16	20
	Possible	3	3	6	9	12	15

	Unlikely 2	2	4	6	8	10
	Rare 1	1	2	3	4	5
		1	2	3	4	5
		Low	Minor	Moderate	Major	Severe
Impact						

Fig 3. Risk Assessment Matrix / Risk Heat Map

As shown in the Fig.3 above, the top right corner of the matrix includes risks with highest likelihood and impact and would tend to be the areas where action plans would need to be focused to either mitigate against a threat or maximize the opportunity.

Based on the risk score the Risks are assigned into one of the following three categories. Risks are assigned into one of the following three categories based on the risk score:

Severe (20 and above)	Moderate (7-19)	Low (< 7)
<ul style="list-style-type: none"> • Unacceptable level of risk • Immediate action 	<ul style="list-style-type: none"> • Unacceptable level of risk • consider action and have contingency plan 	<ul style="list-style-type: none"> • Acceptable level of risk • periodic review

Step 5. Risk Treatment and response

As per risk analysis, if the score obtained on risk (reported Hemaya), categorised as moderate or severe, the two officers (RMO and VDQ) of COCP will involve in the risk treatment. The COCP adopts the procedural guidelines prescribed in the RM Handbook IAU on Hemaya – Electronic Incident Reporting System (annexure 1) and Incident Reporting System Workflow Chart (annexure 2).

Table 4. Risk Rating Action Guide (Treatment of Action)

Risk Rating	Risk Evaluation Descriptor	Suggested Action
1 – 6	Low risk	<ul style="list-style-type: none"> • Acceptable level of risk • No treatment action is required • Monitor and review the risk annually
7 – 19	Moderate risk	<ul style="list-style-type: none"> • Unacceptable level of risk • Escalate to the VDQ • Develop and implement additional control measures to reduce the risk • Assign a responsible person to evaluate the efficiency of existing controls • Specify the timeline to review and monitor (for moderate risk, a quarterly monitoring is accepted to reduce the level of risk)
20 – 25	Severe risk	<ul style="list-style-type: none"> • Unacceptable level of risk • Escalate to the VDQ, Dean , DQAA and Vice-president. • Implement corrective actions immediately. • Assign a responsible person to monitor the risk and ensure that the required controls are in place and working effectively. • Specify the timeline to review and monitor (for a severe risk ongoing monitoring is required until the risk is brought to within acceptable levels). • Mitigation actions should be documented to reduce the occurrence of the risk in the future.

Step 6. Monitoring and Review

The Administrators of Risk Management such as RMO, VDQ and Dean will primarily involve in monitoring the analysis and evaluation process followed in handling incidents reported in Hemaya. In addition to Hemaya system, a risk register (annexure 6) will also be maintained in the COCP. Based on severity of incidents, for instance if the incident fall under –severe risk – the Dean will constitute a team to conduct Root

Cause Analysis (RCA). Based on the report of RCA team, the risk treatment will be adopted by the RM administrators.

Step 7. Communication and Consultation

Apart from administrators of risk management (RMO, VDQ, Dean), the COCP has formulated Risk Management Committee (in line with the RM Handbook IAU). The RMC will play key role in consolidating the RM at college and report to the College Council / Board. The council / board in the college review the functioning of RM system and offer suggestions if any required.

2.6 ADMINISTRATION OF RISK MANAGEMENT

With reference to administration of risk management, the COCP adopts the administrative structure suggested in RM Handbook IAU (fig 4). In line with the guidelines, Dean of College constituted a Risk Management Committee (annexure 3)



Fig 4. Organogram of Risk Management

The organisational structure of college is as per the RM Handbook of Imam Abdurrahman Bin Faisal University.

The roles and responsibilities of administrators of risk management at the College of Clinical Pharmacy are described in the section follows.

2.6.1 ROLES AND RESPONSIBILITIES

The roles and responsibilities of officials related to Risk Management are as below.

DEAN

- Ensure that risk management is embedded in existing management processes.
- Constitute and support VDQ and RMO to conduct Root Cause Analysis (RCA) and prevent or minimize the chances of reoccurrence of incidents.
- Approve the recommendations and action plan generated by the root cause analysis Team.

VICE DEAN for QUALITY

- Be the operational head on implementing Risk management in college.
- Take active role in preparation of Risk management plan.
- Ensure incidents are reported centrally, conduct an appropriate investigation where appropriate and ensure actions are taken.
- Manage and mitigate against risks.

RISK MANAGEMENT OFFICER

- Receive and organize data from Hemaya.
- Report and discuss adverse events or trends regarding potential risk management/loss prevention and control issues with the VDQ to take appropriate action.
- Assist in the facilitation and completion of the investigation of a Sentinel event, ensuring that findings are submitted in a timely manner. Address the root causes of the Sentinel Event, and that an appropriate action is identified and implemented, as directed, by the VDQ/Dean/DQAA.
- Organize and submit a quarterly summary on Risk Management to VDQ/ College of Clinical Pharmacy's Council, and Risk Management Unit, DQAA.
- Organize education and training programmes to the staff and students about the responsibilities related to the Risk Management Program.

RISK MANAGEMENT COMMITTEE

In line with administrative system prescribed in the RM Handbook IAU, the college has formed Risk Management Committee (RMC) with following functional responsibilities:

- Identification and prioritization of risks.
- Prepare risk management plans for College in line with its strategic plans.
- Support the implementation of Hemaya -Electronic incident reporting system.
- Approve the periodical reports on RM.
- Monitor and review of risk management program.
- Nurture RM culture in COCP through education and training.

COLLEGE FACULTY, STAFF AND STUDENTS

The roles and responsibilities of College faculty, staff and students are to:


- Understand their accountability for individual risks.
- Report systematically and promptly in Hemaya any perceived new risks.
- Cooperate with administration of risk management in college.

2.7 BUILDING RISK MANAGEMENT CULTURE

Apart from having risk management frameworks, one of the major challenges is creating a sustainable risk management culture. In this regard, the importance of human and behavioural factors carries an immense value. Risk management is an ongoing process and it should be instilled in people as a culture (RM Handbook IAU). In line with the purpose and objectives of RMP, the COCP attempted to build risk management culture with the help of RMU-DQAA. The COCP has built awareness in department heads, faculty, staff and students by arranging interactive training by RMU-DQAA. A few workshops were organized with the help of Risk Management Unit, DQAA to understand the importance of risk management. Consequence of the risk management workshops, department heads, faculty and employees ready to take responsibility of implementing risk management across the functions and activities of COCP.

Annexures

Annexure 1: Hemaya - Electronic Incident Reporting Form


Hemaya - حمايه

Logout

Home
Forms
My Incidents

Personal information / المعلومات الشخصية

* Your personal information will be kept confidential.
* Asterisk(*) fields are mandatory.

Name / الاسم:

Contact Number / رقم التواصل:

Mobile / رقم الهاتف المحمول:

Email / البريد الإلكتروني:

Alternate Phone / رقم الهاتف البديل: Update

Incident information / معلومات الحادثة

Nature of Incident - (Check Max '2' only)

Additional Information / معلومة اضافية

Include anything you think is relevant to the investigation (maximum 2000 characters)
(this might include possible cause of the incident, actions taken to prevent reoccurrence/make safe?, recommendations, etc)
(المحتمل للحادثة ، والإجراءات المتخذة لمنع تكرارها وجعل المنطقة آمنة؟ ، والتوصيات ، وما إلى ذلك)

Save

Suggested Corrective Action / اجراء تصحيحي

Suggested corrective action to be taken to prevent reoccurrence of the incident
(maximum 2000 characters)

Injury / إصابته

Were you or another person injured? هل أصبت أنت أو أي شخص آخر?

Yes / نعم No / لا

If Yes, describe the injury(burn, laceration, etc)the part of body injured and any other information you can provide regarding the injury:

(maximum 2000 characters) إذا كانت الإجابة بنعم ، صف الإصابة (الحرق ، التمزق ، إلخ) الجزء المصاب في الجسد وأي معلومات أخرى يمكنك تقديمها بشأن الإصابة

Was medical treatment provided هل تم تقديم العلاج الطبي :

Yes / نعم No / لا

If Yes, where was medical treatment provided? إذا كانت الإجابة بنعم، أين تم تقديم العلاج الطبي :

On-site, First Aid / في الموقع ، إسعافات أولية Clinic/Healthcare center / عيادة / مركز صحي Hospital / مستشفى

Strategic Risks المخاطر الاستراتيجية

- Programs not aligned with local job market. // عدم اتساق البرامج مع سوق العمل المحلي
- Lack of collaborations with reputed external institutions(local/regional/international). // ضعف التعاون مع المؤسسات الخارجية المرموقة (محلياً/إقليمياً/عالمياً)
- Lack of suitable programs to attract good number of students. // عدم وجود برامج مناسبة لجذب عدد مقدر من الطلاب
- Lack of sufficient postgraduate/PhD programs. // عدم وجود عدد كاف من برامج الدراسات العليا
- Lack of community partnerships. // عدم وجود الشراكات المجتمعية
- Lack of research culture. // ضعف ثقافة البحث العلمي

Financial Risks المخاطر المالية

- Decline in internal funding from previous semesters/ year. // نقص التمويل المالي مما كان عليه في الفصول الدراسية / السنة السابقة
- Fixation of high students tuition fees (unrealistic). // تخصيص رسوم دراسية مرتفعة للطلاب (عدم الواقعية)
- Decline in research grants to college. // نقص منح البحث المقدمة للكلية
- Procurement of infrastructure and equipment with huge investments. // تأمين بنية تحتية وأجهزة ومعدات بمبالغ ضخمة
- Lack of income from research/patents(eg: Sale of bespoke softwares). // قلة الدخل الناتج من الأبحاث / براءات الاختراع (مثل: مبيعات نسبية البرامج المعدة حسب الطلب)

Others أخرى

Others / أخرى

(إذا لم تكن مدرجة في طبيعة الحادثة)

Reputational Risks مخاطر السمعة

- Irresponsible handling of social media by employees /students. // التناول والتداول غير المسؤول لوسائل التواصل الاجتماعي من قبل الموظفين / الطلاب
- Negative image preventing joining of good faculties and students. // الصورة السلبية تحول دون الالتحاق بالكليات الجيدة وجذب واستيعاب الطلاب الأكفاء
- Falling from previous rank in institutional ranking. // الحصول على تصنيف مؤسسي أقل من التصنيف السابق
- Adversive media coverage on college/university. // التغطية الإعلامية السلبية المؤثرة على الكلية أو الجامعة
- Fall in faculty research output. // انخفاض مخرجات أعضاء هيئة التدريس فيما يتعلق بالبحث العلمي
- Decrease in the Employability skills of students. // انخفاض مهارات توظيف الطلاب
- Decrease in the International student admissions. // انخفاض قبول الطلاب الدوليين
- Decrease in the number of students(going for higher education). // انخفاض عدد الطلاب الذين يلتحقون ببرامج الدراسات العليا
- Lack of interest in students on volunteering. // عدم اهتمام الطلاب بالعمل التطوعي

Human Resource Risks مخاطر الموارد البشرية

- Insecurity of job. // انعدام الأمان الوظيفي
- Inappropriate communication with colleagues. // التواصل غير اللائق مع الزملاء
- Showing discrimination among employees. // إظهار التفرقة والتمييز بين الموظفين
- Harassment culture. // التحرش الجنسي
- Failure to attract / recruit qualified faculty/staff. // الإخفاق في استقطاب أعضاء هيئة تدريس مؤهلين
- Vague policies of human resources. // سياسات الموارد البشرية غير الواضحة
- Faculty/Staff have limited Awareness on role and responsibilities. // وعي أعضاء هيئة التدريس/ الموظفين المحدود بالأدوار والمسؤوليات
- Discrimination based on gender. // التمييز على أساس الجنس
- Exploitation of weaker gender(Women). // استغلال ضعف الجنس (المرأة)

Health, Safety and Environment Risks المخاطر الصحة والسلامة والبيئة

- Lack of disaster and emergency plans. // عدم وجود خطط خاصة بالكوارث والطوارئ
- Poor infrastructure. // ضعف البنية التحتية
- Fall(on stairs, from high). // سقوط (على الدرج ، من مكان مرتفع)
- Poisoning/Infection. // تسمم / عدوى
- Slip, trip, fall// إنزلاق ، تعثر ، سقوط
- Spillage, discharge, or disposal of hazardous materials// انسكاب أو تفريغ أو التخلص من المواد شديدة الخطورة
- Needle, medical sharp, scalpels etc. // إبرة ، أداة طبية حادة ، مشارط الخ
- Extreme Temperatures (too hot /Cold). // درجات الحرارة القصوى (البرودة/الحرارة العالية)
- Inadequate Ventilation(Indoor Air quality issue). // التهوية السيئة (مشكلة جودة الهواء داخل المباني)
- Arson/Fire. // الحريق الجذائي / حريق
- Explosion. // انفجار
- Improper management of waste and disposables. // التعامل غير السليم مع النفايات والمستهلكات
- Smoking. // تدخين
- Property damage. // إضرار بالملكات
- Property loss. // خسارة الممتلكات
- Water cut-off / Wastage of water. // قطع/هدر المياه
- High infestation of Pests. // آفة غزو الحشرات
- Electricity Fluctuations/Breakdown. // تردد / تمطل التيار الكهربائي
- High carbon footprints in campus -Automobile emissions. // البصمة الكربونية العالية في الحرم الجامعي ، انبعاثات السيارات

Compliance Risks مخاطر الالتزام

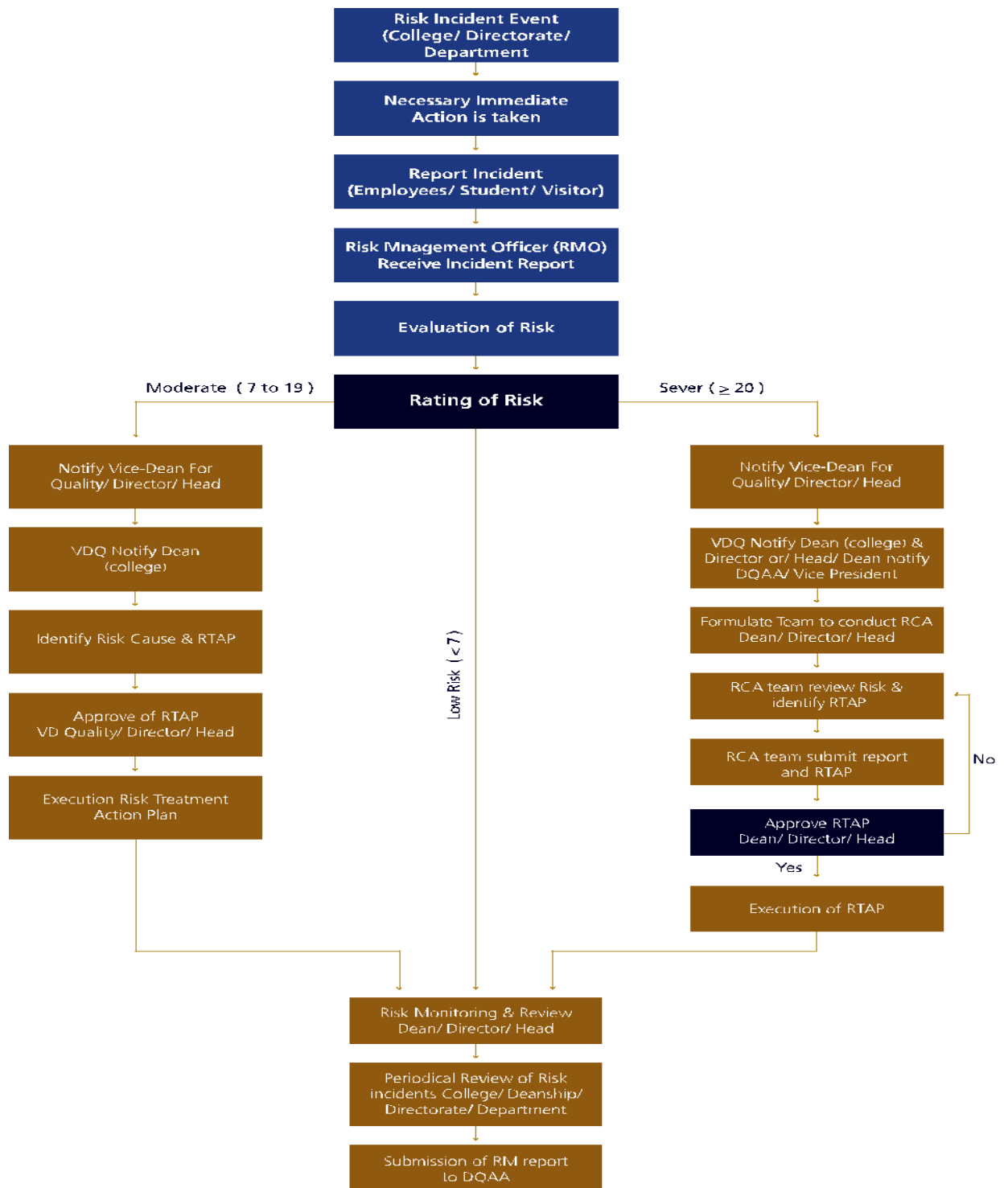
- Fail to submit application to concerned agencies on-time. // الإخفاق في تقديم طلب إلى الجهات المعنية في الوقت المناسب
- Noncompliance - receiving directions from regulatory / local bodies. // عدم الامتثال - تلقي التوجيهات من الهيئات التنظيمية / المحلية
- Violation of intellectual property rights in publishing. // انتهاك حقوق الملكية الفكرية في النشر
- Noncompliance of students` code of conduct complaints from regulatory body // عدم الالتزام بقواعد سلوك الطلاب - الشكاوى الواردة من الهيئة التنظيمية
- Disobedience: failure to abide by college rules. // العصيان: عدم الالتزام بقواعد الكلية
- Unauthorised use of college or university name. // الاستخدام غير المصرح به لاسم الكلية أو الجامعة
- Unauthorised entry or occupancy of college facilities // دخول أو إشغال مرافق الكلية بطريقة غير مصرح بها
- Failure to use proper channel of communication. // عدم استخدام القنوات الصحيحة للتواصل
- Abuse(verbal, physical or behavioural). // الإساءة (اللفظية أو البدنية أو السلوكية)
- Violation of college or university code of ethics. // انتهاك قواعد أخلاقيات الكلية أو الجامعة
- Strike. // الإضراب

المخاطر التشغيلية (Including Academic Risks) Operational Risks

- Misuse of keys // سوء استخدام المفاتيح
- Misuse of computer or computer resources // سوء استخدام الحاسب الآلي أو موارده
- E-learning system shutdown // إغلاق نظام التعلم الإلكتروني
- Malfunction // عطل
- Data Loss // فقدان البيانات
- Unauthorized access // دخول غير مصرح به
- Plagiarism // سرقة أدبية
- Forgery, alteration, lost or misuse of documents // التزوير أو التغيير في المستندات أو فقدها أو سوء استخدامها
- Cheating in exams -Buying, selling or stealing information // الغش في الامتحانات - شراء أو بيع أو سرقة المعلومات
- Disruption of college activities // تعطيل أنشطة الكلية
- Disruption of teaching/classroom environment // اضطراب التدريس / البيئة الصفية
- Teaching quality is not to the expectations. // جودة التدريس ليست على مستوى التوقعات
- Student enrollment management is weak. // ضعف إدارة تسجيل الطلاب
- Fall in students number compared to previous semesters. // انخفاض عدد الطلاب مقارنة بالفصول السابقة
- Deficiency in the teaching-learning infrastructure. // قصور في البنية الأساسية للتعليم والتعلم
- Discrimination(Denial of services or access to an individual due to their race, religion, etc) // التمييز (الحرمان من الخدمات أو الوصول إلى فرد بسبب عرقه أو دينه ، أو خلاف ذلك)
- Enrollment of incompetent students. // استيعاب طلاب غير مؤهلين
- Suspension of classes without notice. // تعطيل الدراسة دون سابق إنذار
- Negligent of staff/faculty in duties. // إهمال أعضاء هيئة التدريس/الموظفين في الواجبات
- Low faculty-student ratio. // انخفاض نسبة أعضاء هيئة التدريس إلى الطلاب

Personal information المعلومات الشخصية	
Incident information / معلومات الحادثه	
Date of the Incident / تاريخ الحادثه *:	<input type="text" value="mm/dd/yyyy"/>
Hours / Minutes الساعة / الدقيقة :	<input type="text" value="00"/> <input type="text" value="00"/>
Incident Location / موقع الحادثه *:	<input type="text" value="--Select--"/>
Upload Image / تحميل الصور :	<input type="button" value="Choose File"/> No file chosen
Describe the incident in details (exact location, what happened, factors leading to the event, etc) وصف الحادثه بالتفصيل (الموقع بالتحديد ، وماذا حدث ، والحوامل المؤدية إلى الحادثه ، وما إلى ذلك) وكل شيء يكون محدداً بقدر الإمكان (maximum 2000 characters)	
<input type="text"/>	
Nature of Incident - (Check Max '2' only)	
Injury / إصابه	
Suggested Corrective Action اجراء تصحيحي	
Additional Information معلومه اضافية	
<input type="button" value="Save"/>	

Annexure 2: Hemaya –Electronic Incident Reporting System-Flow Chart



Annexure 3: Appointment of Risk management Committee



جامعة الإمام عبد الرحمن بن فيصل
IMAM ABDULRAHMAN BIN FAISAL UNIVERSITY

المملكة العربية السعودية
Kingdom of Saudi Arabia

وزارة التعليم
Ministry of Education
043

قرار إداري

- إن عميد كلية الصيدلة الإكلينيكية
- بناء على الصلاحيات والاختصاصات المخولة له نظاماً لأداء المهام ولحسن سير العمل بالكلية،
- ونظراً للحاجة إلى لجنة لإعداد خطة المخاطر في كلية الصيدلة الإكلينيكية.
- وبناء على ما تقتضيه مصلحة العمل.

نقرر ما يلي

أولاً: تشكيل لجنة إعداد خطة المخاطر في كلية الصيدلة الإكلينيكية برئاسة عميد الكلية وعضوية كل:

١. سعادة الدكتور ظافر بن مهدي آل شيبان - عضواً
٢. سعادة الدكتورة منال بنت محمد عالم - عضواً
٣. سعادة الدكتورة سوسن بنت محمد كردي - عضواً
٤. سعادة الأستاذ الدكتور محمد بن جمال الصقار - عضواً
٥. سعادة الدكتور أحمد بن محمد مصطفى - عضواً
٦. سعادة المحاضرة هاجر بنت صالح الغامدي - عضواً

ثانياً: تعني هذه اللجنة بإعداد خطة المخاطر للكلية.

والله الموفق،،،

عميد كلية الصيدلة الإكلينيكية



د. عاصم بن عبدالرحمن الأنصاري

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الرقم: ٢٠٧٨٨
التاريخ: ٤ / ٨ / ١٤٤٥ هـ
المنشورات:

Risk Management Committee (English Translation. Annexure 3 supplement)
(College of Clinical Pharmacy)

No.	Name	Designation
1	Dr. Asim Al-Ansari	Dean and Head of the committee
2	Dr. Manal Alem	Vice Dean for Academic Affairs and Head of Pharmacology Department
3	Dr. Dhafer Al-Shayban	Vice Dean for Postgraduate Studies, Scientific Research and Training – Head of Pharmacy Practice Department
4	Prof. Mohamed El-Sakkar	Acting Head of Pharmaceutical Chemistry Department
5	Dr. Sawsan Kurdi	Head of Pharmaceutics Department
6	Dr. Ahmed Mostafa	Vice Deanship for Quality, Development and Community Service Coordinator
7	Dr. Hajer Alghamdi	Risk Management Officer

Annexure 4: Appointment of Risk Management Officer



جامعة الإمام عبد الرحمن بن فيصل
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المملكة العربية السعودية
Kingdom of Saudi Arabia

وزارة التعليم
Ministry of Education
043

قرار إداري

- إن عميد كلية الصيدلة الإكلينيكية
- بناء على الصلاحيات والاختصاصات المخولة له نظاماً لأداء المهام ولتحسين سير العمل بالكلية.
- وبناء على ما تقتضيه مصلحة العمل.

نقرر ما يلي

أولاً: تكليف سعادة المحاضرة هاجر بنت صالح الغامدي، مديرة لوحدة إدارة المخاطر (Risk Management Officer).

ثانياً: على سعادة منسق وكالة الجودة والتطوير وخدمة المجتمع تكليف سعادتها بالمهام اللازمة لأداء العمل، وإفادتنا بها خطياً.

ثالثاً: يتم العمل بموجب هذا القرار من تاريخه وحتى إشعار آخر.

والله الموفق،،،

عميد كلية الصيدلة الإكلينيكية


د. عاصم بن عبد الرحمن الأنصاري

الرقم: ٢٠٧٩٣
التاريخ: ١٤ / ٤ / ١٤٣٥
الصفوحات:

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Annexure 5: Health, Safety and Environment (Checklist)

This checklist is designed to enable identifying hazards and for inspection and audit of health, safety and environment

Items	Please Tick ✓			Findings and comments
	Yes	No	N/A	
Health and environment				
Have all hazardous substances and tools been identified and a written assessment carried out (medical, biological, chemical, etc.)				
Are appropriate washing and sanitary facilities provided and work effectively for (Please tick):				
▪ Students				
▪ Faculty and staff				
▪ Disabled persons				
▪ Subcontractors, visitors, etc.				
Health and safety notices are displayed in place. They are :				
▪ First aid signs (First aid, emergency shower, emergency breathing apparatus)				
▪ Fire safety signs (fire alarm, exits and evacuation signs, fire hydrant and hose reel)				
▪ Fall and Trip Hazards signs (wet or slippery, watch your step)				
▪ Danger signs(Electrical Hazards signs, no smoking, flammable material signs, hazardous substance)				
▪ Prohibition (No entry, no smoking, authorized persons only)				
▪ Construction site signs (Keep out signs, hard hat or PPE area)				
▪ Maps and directions (Emergency exits, stair case way)				
Are all areas ventilated sufficiently				
Are all lights sufficient, good and repaired within a reasonable time				
Do you have waste management policy and procedure.				
Fire safety				
Fire alarm system is tested and well-functioning				
Is the fire alarm and smoke detection are tested periodically and the records are available				
Fire extinguishers are properly provided/installed				

Items	Please Tick ✓			Findings and comments
	Yes	No	N/A	
Fire extinguishers are tagged with current inspection				
Fire extinguishers and fire hoses are unobstructed				
Have all staff received adequate instruction, training and information on using fire extinguishers and first aid kit?				
Has fire evacuation drill been carried out within the last 12 months				
Has records of all fire drills been kept				
Are stairs and slopes in good condition and have secured hand rails fitted				
Accidents and first aid				
Do you have first aid box that is correctly stocked and readily available				
Are all electrical sockets, switches and wiring in good repair				
Are all corridors and passageways free from obstruction, slips, trips and fall hazards				
Personal Protective Equipment (PPE)				
Do all staff have suitable and sufficient PPE to deal with infectious and hazardous substances				
Are staff and involved students provided with any PPE: if yes please tick				
▪ Gloves				
▪ Overall				
▪ Safety footwear				
▪ Safety helmets				
▪ Safety goggles				
▪ Face/dust masks				
▪ Respiratory equipment				
▪ Other (please state)				
Are arrangements for storage, cleaning, or disposal of contaminated PPE adequate				
Are all staff and students involved aware of when and how to use PPE				
Has anyone has been identified to monitor PPE use				

Annexure 6: Risk Register

Risk Code	تصنيف الخطر Risk Category	وصف الخطر Risk Description	عواقب حدوث الخطر Risk Consequences	التدابير الحالية Current controls	الخطر المبدئي Raw Risk			Severe, Moderate or Low
					Likelihood	Impact	Raw Risk	

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- NCAAA Institutional Accreditation Standards
- Risk Management Handbook, Imam Abdurrahman Bin Faisal University
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