



جامعة الإمام عبد الرحمن بن فيصل
IMAM ABDULRAHMAN BIN FAISAL UNIVERSITY
كلية العلوم الطبية التطبيقية بالجبيل
College of Applied Medical Sciences in Jubail

Risk Management Handbook



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بِسْمِ اللَّهِ الرَّحْمَنِ الرَّحِيمِ

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Abbreviation List

CAMSJ	College of Applied Medical Sciences in Jubail
DQAA	Deanship of Quality and Academic Accreditation
EIRS	Electronic Incident Reporting System
ETEC	Education and Training Evaluation Commission
IAU	Imam Abdulrahman Bin Faisal University
IOS	International Organization for Standardization
RCA	Root Cause Analysis
RMU	Risk Management Unit
RMC	Risk Management Committee
SITS	System Information Technology System

Introduction

Many changes have lately been made to the Kingdom under the light of Vision 2030 and the National Transformation Program 2020. Where the socioeconomic changes have incurred with less reliance on the oil-based economy as among the major developments. In response to the world market's declining oil prices, the government has asked its agencies to examine and develop new revenue streams. The education industry, along with other private and public sectors, have been influenced by these changes. Although this new period offers numerous opportunities, there are also significant threats.

All academic, administrative, and business operations at Imam Abdulrahman Bin Faisal (IAU) involve some level of risk, and each student, staff member, and administrator are accountable for implementing effective risk management procedures in their respective spheres of authority. IAU understands that the goal of risk management is to provide the institutional framework to effectively manage the risks inherent in all university activities, the unrealistic attempt of total elimination of risk. IAU recognizes the importance of risk management as a component of strong corporate governance and management practices. A systematic and formal approach to risk management will increase responsibility, promote convenient results, and enhance decision-making. Therefore, IAU encourages all within the institution to consider risk factors when formulating this risk management manual based on and guided by IAU's Risk Management Handbook.

The strategic planning team considered all potential hazards that might have an impact on the college's effectiveness and productivity while creating this strategy. College of Applied Medical Sciences in Jubail (CAMSJ) is highly aware of the local, national, and international variables impacting the institutions and the nation. Thus, identifying, assessing, minimizing, and managing risks constitutes a crucial part of our risk management strategy. Identification of potential risks is a key component of risk management, along with preventing or minimizing waste. By ensuring that any risk taken is based on realistic decision-making, measurable objectives, and good analysis of potential consequences, it enables the college to seek out and take advantage of possibilities to achieve improved outcomes and outputs.

CAMSJ risk management plan entails a planned and systematic approach to the identified risks that could hinder the accomplishment of the college's strategic goals.

All policies and procedures are guided by IAU's Risk Management Handbook. This manual provides an overview of CAMSJ's risk management process and related systems.

CAMSJ Vision Mission, and Values

Vision

Excellence in health professions education, research, and social responsibility nationally and internationally.

Mission

To graduate qualified professionals in health care striving for development and life-long learning, through distinguished education and commitment to scientific research and community service.

Values

- Social Responsibility
- Collaboration
- Transparency
- Excellence
- Innovation
- Diversity
- Compassion

CAMSJ Strategic Goals

CAMSJ has eight strategic goals approved by the University Council number (98) on June 13, 2022 (14-11-1443H).

Goal 1: Provide excellence in health professions education.

Goal 2: Promote the culture of scientific research and innovation.

Goal 3: Enhance social responsibility and community relationships.

Goal 4: Foster growth of the college community.

Goal 5: Maintain vibrant working environment.

Goal 6: Strengthen the college administrative system.

Goal 7: Develop the college financial resources.

Goal 8: Enhance communication and information technology services.

Risk Management Committee

The CAMSJ Dean has formed a dedicated Risk Management Committee, led by a Risk Management Head and consisting of 7 members. This committee operates under the oversight of the Vice Dean for Development and Community Partnership (VDDCP), as illustrated in Figure 1.

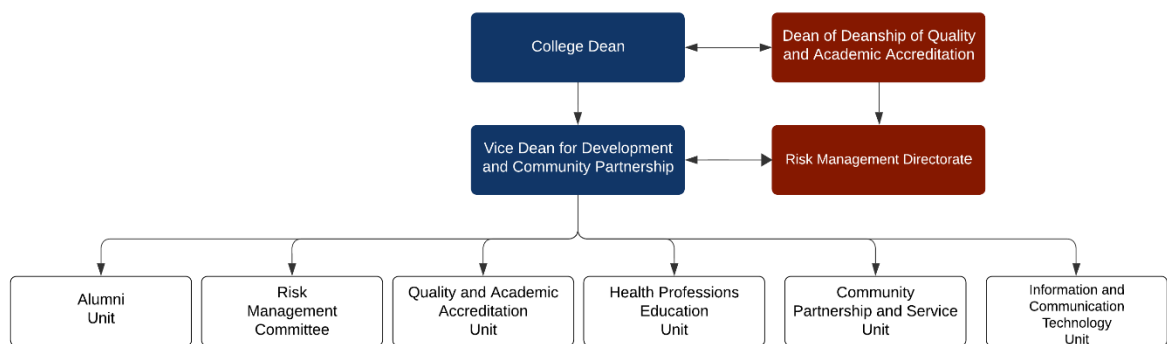


Figure 1: CAMSJ Vice Deanship for Development and Community Partnership Organizational Structure

Risk Management Committee Responsibilities

Through proactive planning and response mechanisms, the risk management committee contributes significantly to maintaining a safe and conducive learning atmosphere through fulfilling the following responsibilities:

1. Identify and prioritize risks.
2. Prepare risk management plans in line with CAMSJ's strategic plan.
3. Log-in incidents via Hemaya, IAU reporting system.
4. Log-in incidents in CAMSJ's reporting Excel sheet.
5. Create awareness on the risk management culture - via campaigns, education and training on the importance of risk management.
6. Create periodical reports on risk management plans for CAMSJ.

Risk Management Head Responsibilities

Roles and responsibilities of the risk management officer include the following:

1. Be the first level officer in receiving notification on the incident reported in Hemaya system.
2. Review the incident reported for completeness and accuracy (i.e., date of occurrence, location, and incident description).
3. Adopt risk assessment criteria to classify the incident into one of the three categories (low/moderate/ severe) based on its likelihood and impact.
4. Notify VDDCP or/and the Dean if the severity of incident is moderate to severe.
5. Assist the Root Cause Analysis (RCA) team in completing the investigation.
6. Assist the college in monitoring and reviewing the process of Electronic Incidence Reporting System (EIRS).
7. Generate quarterly and annual reports on implementation of Hemaya system and share same it with Deanship of Quality and Academic Accreditation (DQAA).

Risk Management System

Risk Category	تصنيف الخطر
Compliance risks	مخاطر الحوكمة
Financial risks	مخاطر مالية
Reputation risk	مخاطر السمعة
Health, safety, and environmental risks	مخاطر الصحة والسلامة البيئة
Human resources risks	مخاطر الموارد البشرية
Operational risks	مخاطر التشغيلية
Strategic risks	مخاطر استراتيجية

Risk management system is the responsibility of all members at CAMSJ. Thus, CAMSJ follow IAU's EIRS (Hemaya) which aims to maintain a safe and healthy environment by correcting situations that caused or could cause injury. When any incident occurs at CAMSJ, it is reported via the Hemaya system by the risk management head. The occurrence of such risk will include actions such as an investigation that may be taken to make sure that a similar or more serious incident does not occur again. The system is registered and completely processed via an electronic system, where requests are placed, and are anonymous. All information in the system remains confidential unless follow-up is required. The types of reported incidents can be categorized as either: academic or health incident accordingly. The head or others can contact the Risk Management Directorate at DQAA via their e-mail: dqaa.rmu@iau.edu.sa.

Risk Management Process

Risk management process in CAMSJ consists of five elements as identified in the risk management standard of IOS 31000, 2009 (2018 revised).

Step 1: Communication and Consultation Table 1: Risk Classification

To ensure the effectiveness of the process of risk management and its results, implementation of an active communication and consultation chain within CAMSJ or outside the college should be provided. As well as the understanding of duties and responsibilities that is related to risk management by every member at CAMSJ and how they can contribute to resolution of main issues.

Step 2: Risk Identification

With appropriate communication and consultation of CAMSJ members, this should enhance the prevention of risks and the likelihood of occurrence. For that, Risk Management Unit (RMU) will be able to identify the risks and categorizing it (as illustrated in Table 1).

Addressing potential risk will be provided to RMU by the following, and those risks will be evaluated by the following personnel:

1. Program Chairpersons.
2. Vice Dean for Academic Affairs
3. Vice Dean for Clinical Affairs
4. Vice Dean for Development and Community Partnerships
5. Vice Dean for Scientific Research and Innovation
6. Director of Administrative and Financial Affairs

Towards the end of each academic year, the DQAA issues an annual report to each college based on all Hemaya requests. Corrective action plans are created and placed for further enhancement and refinement. Below are the types of risks in the incident reporting system categorized followed by an elaboration on the nature of risks (shown in Table 1 and Table 2).

Table 2: Nature of Incidents in Hemaya System

Operational Risks (Including Academic) Risks	Health, Safety & Environment Risks
<ol style="list-style-type: none">1. Misuse of keys2. Misuse of computer or computer resources3. E-learning system malfunction4. Data Loss5. Unauthorized access (Plagiarism)6. Forgery, alteration, lost or misuse of documents	<ol style="list-style-type: none">1. Lack of disaster and emergency plans2. Poor infrastructure3. Fall (on stairs, from high areas)4. Poisoning or infection5. Slip, trip, fall6. Spillage, discharge, or disposal of hazardous materials.7. Needle, medical sharp, scalpels etc.

7. Cheating in exams -buying, selling, or stealing information
8. Disruption of College activities (Disruption of teaching/classroom environment teaching quality is not to the expectations)
9. Student enrolment management is weak
10. Fall in students number compared to previous semesters
11. Deficiency in the teaching-learning infrastructure. Discrimination (Denial of services or access to an individual due to their race, religion, etc.)
12. Enrolment of incompetent students.
13. Suspension of classes without notice
14. Negligence of staff/faculty in duties
15. Low faculty-student ratio
8. Extreme temperatures (hot /cold); (Inadequate ventilation; indoor air quality issue)
9. Improper management of waste and disposables.
10. Smoking
11. Property damage
12. Property loss
13. Water cut-off
14. High infestation of pests
15. Electricity fluctuations/breakdown
16. High carbon footprints in campus - automobile emissions

Compliance Risks

1. Fail to submit application to concerned agencies on time
2. Noncompliance - receiving directions from regulatory / local bodies
3. Violation of intellectual property rights in publishing
4. Noncompliance of students` code of conduct complaints from regulatory body
5. Disobedience: failure to abide by college rules
6. Unauthorized use of college or university name
7. Unauthorized entry or occupancy of college facilities
8. Failure to use proper channel of communication
9. Abuse (verbal, physical or behavioural)
10. Violation of college or university code of ethics
11. Strike

Reputational Risks

1. Irresponsible handling of social media by employees /students
2. Negative image preventing joining of good faculty and students
3. Falling from previous rank in institutional ranking
4. Adverse media coverage on college/university
5. Fall in faculty research output
6. Decrease in the employability skills of students
7. Decrease in the international student admissions
8. Decrease in the number of students (going for higher education)
9. Lack of interest in students on volunteering

Human Resource Risks	Strategic Risks
<ol style="list-style-type: none"> 1. Insecurity of job 2. Inappropriate communication with colleagues 3. Showing discrimination among employees 4. Harassment culture 5. Failure to attract / recruit qualified faculty/staff 6. Vague policies of human resources 7. Faculty/Staff have limited awareness of roles and responsibilities 8. Discrimination based on gender 9. Exploitation of weaker gender 	<ol style="list-style-type: none"> 1. Programs not aligned with local job market 2. Lack of collaborations with reputed external institutions(local/regional/international) 3. Lack of suitable programs to attract suitable number of students 4. Lack of sufficient postgraduate/PhD programs 5. Lack of community partnerships 6. Lack of research culture

Financial Risks	Other Risks If not listed in Nature of Incident
<ol style="list-style-type: none"> 1. Decline in internal funding from previous semesters/ year 2. Fixation of high students' tuition fees (unrealistic) 3. Decline in research grants to college 4. Procurement of infrastructure and equipment with huge investments 5. Lack of income from research/patents (e.g.: Sale of bespoke software) 	

Step 3: Risk Analysis

Each risk is analyzed based on two main parameters as shown in Table 3.

Table 3: Parameters for analyzing the risk and its assessment.

Parameters	Definition	Assessment	
Impact (consequence)	The outcome of an event should consider factors like performance, cost, timescale, quality of services and reputation.	5	Severe
		4	Major
		3	Moderate
		2	Minor
		1	Low
Likelihood (probability)	The chance of something happening	5	Almost certain
		4	Likely
		3	Possible
		2	Unlikely
		1	Rare

Note: Detailed explanations of the assessments can be found at IAU Risk Management Handbook.

Step 4: Risk Evaluation

In evaluating the risk level, a score is obtained with formula:

$$\text{Risk Score} = \text{Impact} \times \text{Likelihood}.$$

After obtaining a risk score, the college assesses the severity level of risk with the help of matrix (See Figure 1). 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.

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
		Low 1	Minor 2	Moderate 3	Major 4	Severe 5
Impact						

 Low	 Moderate	 Severe
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Figure 1: Risk Assessment Matrix

Risks are assigned into one of the following three categories based on the risk score shown in Figure 2.

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

Figure 2: Risk Assessment Categories

Step 5: Risk Response/Treatment

The purpose of risk response is to identify options for treating and/or controlling risks. Often, actions for improvement will become obvious during risk assessment and can be captured at this stage. This makes it easy to monitor progress, as all the participants have agreed to what is required to be performed, to reduce the impact or likelihood of a given risk.

An action plan must be decided, and an overall risk owner should be assigned to each risk to manage the action plan implementation.

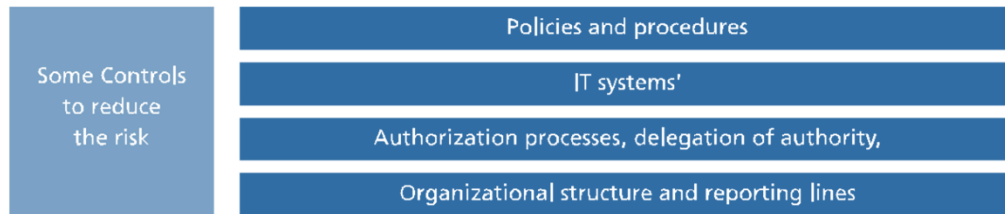


Figure 3: Risk Control Strategy



Figure 4: Action Plan Strategy

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Deanship of Quality and Academic Accreditation. (2022). IAU Risk Management Handbook.

International Organization for Standardization ISO 31000: 2009, Risk Management Principles and Guidelines.

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