



INTEGRATED BIOREPOSITORY OF H3AFRICA UGANDA

**MAKERERE UNIVERSITY
COLLEGE OF HEALTH SCIENCES**

POLICY

TITLE: **RISK AND DISASTER MANAGEMENT POLICY**

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POL #: **IBRH₃AU-POL-007.1**

Effective Date: **06/01/2014**

Next Rev: **DEC 2015**

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VALIDATION AND RETIREMENT

	NAME	DATE
Validated by:		
Retired by:		

ACKNOWLEDGEMENT OF READING AND UNDERSTANDING

I have received and understood the training on this Policy. If I have not understood the training I have asked the trainer to retrain me to ensure that I completely understand all the requirements.

	NAME	SIGNATURE	DATE
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1 INTRODUCTION

Like every entity the IBRH3AU faces numerous risks. These risks have the potential to disrupt achievement of the IBRH3AU strategic and operational objectives if they are not managed sufficiently. The IBRH3AU aims to use risk management to take better informed decisions and improve the probability of achieving its strategic and operational objectives.

2 PURPOSE

This policy is a formal acknowledgement of the commitment of the IBRH3AU to risk management. The aim of the policy is not to have risk eliminated completely from IBRH3AU activities, but rather to ensure that every effort is made by the IBRH3AU to manage risk appropriately to maximize potential opportunities and minimize the adverse effects of risk.

Policy Objectives

- To confirm and communicate the IBRH3AU commitment to risk management to assist in achieving its strategic and operational goals and objectives.
- To formalize and communicate a consistent approach to managing risk for all IBRH3AU activities and to establish a reporting protocol.
- To ensure that all significant risks to the IBRH3AU are identified, assessed and where necessary treated and reported to the IBRH3AU management in a timely manner.
- To assign accountability to all staff for the management of risks within their areas of control.
- To provide a commitment that risk management is a core management capability.

3 SCOPE

This risk management and disaster recovery policy covers all operations of the IBRH3AU. Sound risk management principles shall become part of routine management activity across the IBRH3AU. The key objective of this policy is to ensure the IBRH3AU has a consistent basis for measuring, controlling, monitoring and reporting risk at all levels.

Definitions of terms

Risk The threat or possibility that an action or event will adversely or beneficially affect the IBH3AU ability to achieve its objectives.

Risk Identification.

The process of determining what might happen that could affect the objectives, why and how it might happen.



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Inherent (gross) risk refers to the status of the risk (measured through impact and likelihood) without taking account of any risk management activities that the organization may already have in place.

Residual (net) risk refers to the status of the risk (measured through impact and likelihood) after taking account of any risk management activities.

Risk assessment; The overall process of risk identification and evaluation.

Risk tolerance; refers to the extent of variation relative to the achievement of an objective that an organization is prepared to accept.

Risk management policy describes the organization's approach to managing risks and stipulates the standard in respect of risk tolerance. Risk will be measured in terms of impact and likelihood. **Impact** is the potential loss should the risk materialize.

Likelihood is the probability that an adverse event, which could cause materialization of the risk, may occur.

Risk analysis

The systematic use of available information to determine the likelihood of specified events occurring and the magnitude of their consequences measured in terms of impact and likelihood.

Risk management

An iterative process consisting of steps, which when taken in sequence, enable continual improvement in decision making. It is the logical and systematic method of identifying, analyzing, evaluating, treating, monitoring and communicating risks associated with any activity, function or process in a way that will enable organizations to minimize losses and maximize opportunities.

Risk Owner

This refers to the person primarily responsible for coordinating a response to a particular risk.



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4 POLICIES

- The IBRH3AUy considers risk management to be fundamental to good management practice and a significance of good governance.
- Effective management of risk will provide an essential contribution towards the achievement of the IBRH3AU strategic and operational objectives and goals.
- Risk management shall be an integral part of the biorepository, decision making and routine management, and shall be incorporated within the strategic and operational planning processes at all levels across the bio-bank.
- Risk assessments shall be conducted on new processes and systems and to the biorepository's business, operations and products and this shall include: Minimization and mitigation of those risks, Contingency plans, including business continuity plans, Roles and responsibilities of key staff in implementing the contingency plans, Risk assessment and detailed plans for biorepository legacy in short, medium and long term, addressing personnel, facilities and technology.
- The risk assessment and contingency plans shall be reviewed regularly and amended as needed.
- The biorepository shall document procedures for assessing the impact of unplanned events on its operations and the samples and data it holds.
- Any risks or opportunities arising from these assessments will be identified, analyzed and reported to the appropriate management level.
- The biorepository shall maintain a strategic risk register.
- The biorepository is committed to ensuring that all staff are provided with adequate guidance and training on the principles of risk management and their responsibilities to implement risk management effectively.
- The biorepository will regularly review and monitor the implementation and effectiveness of the risk management process, including the development of an appropriate risk management culture.
- There shall be a risk map indentifying all the possible risks, mitigating measures and consequences of inaction/omission.

Risk management process

The focus of the risk management system is to identify and treat risks. Its objective is to add maximum sustainable value to all the activities of the biorepository. The risk management system will exploit potential upside and downside of all the events that can affect IBRH3AU.



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It will increase the probability of success, and reduce both the probability of failure and uncertainty of achieving the overall objectives as set in the Strategic Plan for IBRH3AU.

IBRH3AU will formalize preventative controls and other measures that ensure the risks do not adversely impact the achievement of the biorepository's strategic objectives and reduce the impact if they do occur. These events may be economic, environmental, technological, or driven by the process of dealing with the users, providers and suppliers of data and personnel.

The process of assessing risk and mitigating assessed risk is the responsibility of the teams set out as champions for risk management. This process contains key stages;

- Risk identification,
- Risk assessment including risk analysis and evaluation
- Risk ranking
- Risk mitigation including treatment and controlling
- Risk reporting and communication; and
- Monitoring

This cycle of risk management procedures will provide a framework for managing adhoc risks as they arise.

Sufficient documentation is necessary at all levels of the Risk Management Process including explanations and evaluations that allows a competent third party to understand the nature of the risk.

The two prominent risks Identified and addressed by IBRH3AU below are Fire and Power failure

Risk management approach to Power and Fire

Fire prevention plan

The biorepository shall have a written fire prevention plan. The plan shall include a list of major fire hazards, potential ignition sources, proper handling and storage procedures for hazardous materials, and the type of equipment necessary to control each major hazard. The plan shall address procedures for regular maintenance on equipment used to prevent or control sources of ignition or fires and name or job title of employees responsible for maintaining the equipment.

Fire detection Systems

Automatic fire detection systems shall be used to quickly identify a developing fire and alert occupants and emergency response personnel before extensive damage occurs. Automatic fire detection systems that use electronic sensors to detect the smoke, heat, or flames from a fire shall be installed to provide an early warning. Fire detection systems shall be tested regularly to maintain proper reliability and operating condition by a trained person knowledgeable in the



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operations and functions of the system. Fire detectors shall be selected based on the burning characteristics of the materials present and the nature of location they will be used to protect.

Fire Extinguishing/Suppression Systems

Sprinkler Systems

A sprinkler system that sprays water upon activation shall be installed. The system shall not have water in the pipes at all times. The system shall be automatically set to activate, spraying water into the area whenever the fire detection system detects fire.

With computer equipment and electrical systems are in place, a “pre-action” sprinkler system will be employed. The sprinkler pipes are dry until a fire is detected. This type of system prevents water damage from accidental activation of the sprinkler system. Special consideration shall be used with sprinkler systems that are deployed in proximity to cold rooms where slip hazards could be an issue.

Non-Water-Based Fire Retardants

Due to the nature of certain equipment and stored materials, water may be an unsuitable tool for fire suppression. In these instances, other chemicals will be employed. The chemicals used in these systems generally smother the fire by cutting off the supply of oxygen. While these systems can be very effective and may be critical for valuable collections adversely affected by exposure to water, they present safety hazards. Although the majority of these suppressants do not represent a health risk to staff upon activation, personnel shall receive appropriate safety training.

Most facilities will be provided with dry chemical fire extinguishers. The suppressant is somewhat corrosive. If used in proximity of mechanical freezers the dry chemical released can be pulled into the compressor area and damage the unit. There is also risk of specimen contamination as it is difficult to fully remove and clean up the powder in these areas. Therefore extinguishers that contain a non-corrosive gaseous suppressant will be deployed in the biorepository area.

Power

All freezers shall be backed up with carbon dioxide tanks of the size that can maintain operational temperatures for a minimum of twenty four hours. On top of the CO₂ a backup generator with automatic response of three minutes will be maintained with fuel reserves that can keep it running for 48hours in case of loss of commercial power.

A beeper system with temperature probes installed in freezers to detect temperature drops and capable of sending out calls to key personnel shall be maintained operational at all times.



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All equipment and computers shall have power surge protectors to guard against power fluctuations.

The database shall be backed up regularly and copies kept offsite with a data company and another copy in the Directors office for proper and complete restoration of the data in case of any disaster. Further all computers shall be protected with power surge protectors (UPS).

Emergency Response Planning

Power failure and fire

Due to the risk of fire and power shortages the Integrated Biorepositoy of H3Africa Uganda that maintain a Memorandum of Understanding with the National TB Reference Laboratory to maintain 10% appropriate storage space at operational levels at all times to ensure that in case there is need to relocate part of the collection there are available facilities ready for the exercise.

The biorepository shall have a check list of activities for “on call” staff to follow during an emergency. “On call” staff shall be familiar with the location and operation of certain key equipment and controls (i.e., circuit boards) that may need to be checked during an emergency. Telephone numbers for professional assistance shall be clearly posted in the repository and accompanying administrative areas e.g., engineering or facilities personnel, power companies, fuel supply companies and transportation services. Biorepository staff shall ensure that shippers, carriers and drivers follow all regulations for movement of hazardous and infectious materials.

With an LN2 plant on site, enough liquid nitrogen to last at least three days will be maintained in Dewar’s incase of any problem with the plant.

5 ATTACHMENTS

Refer to;

Temperature Limits and Alarm Response **SOP IBRH₃AU-SOP-EQT-001**

Emergency Procedures for Freezer & Refrigerator Failure **SOP IBRH₃AU-SOP-EQT-003**



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6 REFERENCES

- Best Practices for Repositories I. Collection, Storage and Retrieval of Human Biological Materials for Research, International Society for Biological and Environmental Repositories (ISBER), <http://www.isber.org>



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7 REVISION HISTORY

Revision No	Effective Date	Description of Changes Made from Preceding Revision	Approved by/ Date

ANNEX 1: DOCUMENTATION OF SUGGESTED CHANGES TO THIS SOP

CLAUSE	SUGGESTION	BY	DATE