MALAWI BLOOD TRANSFUSION SERVICE
Risk Register

INTERNAL AUDIT DEPARTMET

RISK REFERENCE / NUMBER	RISK IDENTIFICATION			QUANTITATIVE RATING				RISK RESPONSE	
	RISK	RISK DESCRIPTION		PROBABILITY	IMPACT RATE/ ADVERSE EFFECT	RISK SCORE		RISK RESPONSE	RISK OWNER
IT 1	System access failure	System not available due to no network or server failure		Low (1.0)	High (3)	3		1. Perform daily backup of the database 2.Install redundant system 3. Install a fail-over network connection	IT Manager & IT Officer
IT 2	Hardware issues/ equipment failure	Hardware malfunction		Low (1.0)	High (3)	3		1. Perform daily database backup	IT Manager & IT Officer
IT 3	Network failure	Network not being available due to problems with ISP or internal problems which include non-payment and hardware failure		Low (1.0)	Low (1.0)	1		1. Create standard operating procedures and installation manuals	IT Manager & IT Officer
IT 3	Lack of critical documentation	User manual, SOP and installation guide		Low (1.0)	Low (1.0)	1		1. Create standard operating procedures and installation manuals	IT Manager & IT Officer
IT 5	Software compatibility	Compatibility of custom systems with third party software		Low (1.0)	Low (1.0)	1		Secure compatible software	
IT 6	Poor password practices	Weak passwords, using passwords that are difficult to remember or password sharing between users		High (3.0)	Medium (2)	6		1. Create strong passwords 2. Avoid sharing passwords 3. Create a password that is easy to remember	IT Manager & IT Officer
IT 7	Poor physical security	Security of equipment against thieves		Medium (2.0)	Medium (2)	4		1. lock offices when going out 2. Limit server room access to IT staff only	IT Manager & IT Officer
IT 8	Computer literacy levels	Lack of adequate IT competency		Medium (2)	Medium (2)	4		Conduct periodic IT competency trainings	IT Manager & IT Officer
IT 9	Lack of resources	Lack of IT equipment		Low (1)	Critical (3)	3		Request for resources	IT Manager & IT Officer
IT 10	Hardware loss	Risk of losing laptops due to theft enroute to the Head office and back for system updates		Low (1)	High	3		1.Devise alternative means of updating the system and travelling across the other centers for system updates in order to minimize transportation risk of losing hardware equipment	IT Manager & IT Officer
GF 1	Delay in quarterly fundings	Lack of funds to support blood						1. Timely submission of	

ID	Risk	Cause		Likelihood		Impact		Rating		Mitigation	Responsible
		donor recruitment and blood collection activities		**Medium**		1. Inability to achieve scheduled targets due to postponement or re-scheduling of activities 2. Delay in paying service providers on time				programmatic and financial reports to PIU / ministry of health program implementation unit.	Global Fund Project Manager
GF 2	<u>Activities Risks</u> 1. Incomplete records in activity reconciliations	Failure to update log books whilst attaching fuel Receipts		**High**		High				Reconciliations need to be reviewed for completeness and checked by the finance department as well as by the Global fund project manager	Global Fund Project Manager
GF 3	2. Delay of submission of activity reports	Overdue days taken to compile and submit a reconciliation after returning from field work; (normal being 3 working days for reporting)		**Medium**		Medium				There is a policy in place which states that reconciliations ought to be prepared and submitted within the 3 working days after returning from field work	Global Fund Project Manager
GF 4	Ineffective planning of activities	Delay in writing of activity memos		**Medium**		1. Insufficient reviews 2. Poor implementations of activity programs for example changes in departure days and rescheduling of activities				Centers advised to write memos for forth coming activities at least two weeks prior to actual activity dates of implementations	Global Fund Project Manager
GF 5	Fuel cards collusion fraud between MBTS staff and fuel attendants	Fake refueling with cards by refueling with less liters of fuel whilst pocketing some money by deducting more from the fuel cards which is very much possible through Collusion for equal benefits by the two parties		**High**		1. Loss of money by the Organization 2. Loss of donor trust in the process as funds are misused		**High**		Regular and thorough reviewing of log books and monitoring trends in fuel consumption of MBTS cars	Global Fund Project Manager
Q 1	Not complying to Training program as required	Training program		**High**		Implementation of the quality management system would be a challenge		**High**		To conduct trainings on all approved documents annually as specified in the quality manual.	Quality Manager
	Africa society step 1 Accreditation certificate	Not good at resolving non-compliances and complaints on time				Implementation of the quality management system would be a challenge		**High**		Staff reminded to conduct / resolve the complaints on time and to follow their SOPs for each departments in the way routine work is conducted at MBTS	Quality Manager
PRO 1	Natural causes	Flooding caused by heavy rains which result into		**High**		There is a high likelihood annually across the		**High**		1. Proactive planning to reserve some	PRO

		impassable roads. Cancellation of clinics and low availability of blood.		floods prone districts and this affects blood availability at the centre level and national in general		districts to be visited during the rainy season. 2. Ensuring adequate collections during BDAW to make up for lost clinics
PRO 2	Staff sickness/Funerals	Members of staff do fall sick and sometimes attend to funerals for relatives which reduces staff available for duty calls	Low	Due to such risks being inevitable; they end up causing cancellation of clinics due to shortage of staff		Borrowing nursing staff from donor department to conduct PRO motivational talks
PRO 3	Stakeholders	Patrons, the Media, traditional and religious leaders can stop blood donors from donating blood to MBTS or hinder MBTS from accessing blood donors and even conducting an activity	Medium	Strained relationships with stakeholders lead to cancellation of clinics and low availability of blood and blood products. Low supplies to the hospitals lead to putting patients' lives at risk	Medium	Maintaining a good working relationship with various stakeholders to ensure that blood collection activities/ operations are sustained all the time which in turn ensure the availability of sufficient stock (blood) for supply. PRO This is done through ADC meetings , media workshops and patrons meetings
Don 1	Waste disposals	1. Transportation of Biohazardous waste for disposal using clinic vehicles. 2. Disposal of waste by the main road side	High	1. TTI transmission, lack of Hygiene 2. Spreading of infections		1. All biohazardous waste to be incinerated 2. Monitoring on whether waste by the road side is indeed collected for disposal by the city staff Blood Donor Manager
Don 2	Cold chain boxes	Heavy lifting problems especially after clinics from vehicle to laboratory	High	Slipped disc cuts	High	Compliance is to be emphasized as MBTS put trolleys in place for better usage/lifting of heavy items Blood Donor Manager
Don 3	Trolleys	Use of trolleys for all items (Blood. Laboratory & stores)	High	Cross infection as this involves food items at times	High	There is a need to demarcate on the usage of trolleys between blood donor, Laboratory and store department Blood Donor Manager
Don 4	Activity reconciliations	1. Untimely presentation of activity reconciliations 2. Lack of proper hand overs especially on fuel arrangements	Medium	1. Improper program implementations 2. Activities come to a halt due to delays on fuel arrangements especially when fuel cheques are ready on fridays and program implementations are bound to begin over the	Medium	Compliance to two weeks prior planning on memos according to MBTS' policy on activity implementations Blood Donor Manager

				weekend so loading is always a problem					
Don 5	Memos approval	Untimely submission of all the required documents within the memo for approval		**Medium**	Delays program/activity implementation (s)	**Medium**		Need for compliance with donor requirements before submittingmemos for approval by authorized personnel via the project coordinators	Blood Donor Manager
Don 6	Static Clinic	Blood donors disguise themselves and come to donate blood sooner than required (3 months) due to the transport refund of K 1000.00		**Medium**	1. Quality of blood products gets affected 2. Misuse of resources as blood donors are already in the system and are only identified after pasing through the process of screening	**Medium**		eDelphyn detects same names of blood donors and deters this	Blood Donor Manager
Lab 1	- Lack of fridge blood carrier disinfection	Fridge Blood carrier rac ks are not disinfected		**90%**	This can act as carrier for bacteria / fungi which can withstand low temperature such as psychrophiles.	**90%**		Disinfection cleaning the fridge blood carriers	Laboratory manager
Lab 2	Poor fire escape arrow direction point to wrong direction	Fire escape arrow does not point right direction		**90%**	This can bring confusion during evacuation process especially to visitors.	**90%**		Putting right escape arrow and should point to right direction.	Laboratory manager
Lab 3	Lack of safety drawers/lockers	We don't have safety drawers/lockers where we can be keeping ordered or unfinished reagents, or secured documents		**100%**	This lead thefy of reagents and working materials (paper towel) during the week, we cannot trace who stole due to unsecured lockers.	**100%**		Provision of secured lockers/drawers	Laboratory manager
Lab 4	Lack of coat stand or hooks	We don't have enough hooks where we can be putting clean and dirty coats.		**100%**	Can lead to contamination	**100%**		Provision of enough coat stand/hooks	Laboratory manager
	Lack of enough working materials such as protective glasses, scissors, forceps, bikers	We don't have enough materials as listed.		**90%**	This will compromise quality	**90%**		Provision of enough materials	Laboratory manager
Lab 5	Lack water proof table in the issuing area.	We don't have enough materials		**80%**	We fail to put blood directed on wood tables since they get wet	**80%**		Provision of waterproof table	Laboratory manager
	Lack of rotational workflow of gen-set fuel management duty roaster	There is no gen-set fuel management duty roaster		**90%**	There is no track down of how fuel is being managed	**90%**		To develop duty roaster and it should be rotational for proper fuel management.	Laboratory manager
Lab 6	Shortage of machines/equipment such as heat sealer, weighing scale, enough fridges	We don't have enough equipment		**100%**	Compromise quality and delay service delivery	**100%**		Provision of adequate equipment	Laboratory manager
	Understaff	We don't have adequate staffing level to meet the workload since we process blood for Balaka and O'dala		**100%**	This lead to work delay and compromise quality	**100%**		Provision of enough staff	Laboratory manager
Lab 7	Unsafe footwear shoes	Handling of infections fluids and biohazard chemicals that can affect our shoes		**30%**		**Medium risks**		Provide shoes to be put while working in the lab	Laboratory manager
	Electric wires	Loose electric wires entangled on extension		**50%**	Shock fire burns	**High risk**		Provide fire extension and top plugs, ensure that	Laboratory manager

						the extension aren't overloaded	
Lab 8	Biohazard waste bins	We have few waste bins in the laboratory that easily get full. We have open biohazard waste bins instead of closed bins	20%	This can cause/bring infection to the staff around the bins	**Medium risk**	Need for proper closed waste (biohazard) bins that are closed than poles.	Laboratory manager
							Laboratory manager
Lab 9	Inadequate uniforms	We only have laboratory coats for use in the lab	50%	This can bring harm when the staff handle chemicals e.g. alcohol, chlorine and blood samples with unknown TTI status	**High Risk**	Need for proper footwear and full covered uniforms	Laboratory manager
Lab 10	Unsafe electric appliances/gadgets	We have so may open electric cables and unsafe plugs and extensions	100%	This can cause fire accident in the lab or electric shock to staff members An incident that once happened	**High Risk**	Need to cover the cables and get new strong plugs and sockets	Laboratory manager
							Laboratory manager
Lab 11	Waste sink	There is an open sink that drains biohazard waste from machines	50%	It can bring some infections to the staff working around the sink	**Medium**	Need to fix the sink linkage and fix the pipes underground where it can be treated regularly with disinfectant	Laboratory manager
	Blood receiving area table	The table is not stable and has other legs broken	20%	It can either fall and harm someone or drop blood	**Low risk**	Need to fix the table	Laboratory manager
Lab 12	High workload of malaria screening	We have high level of work load in terms of malaria screening	80%	This can bring an impact or effect on eye sight	**High risk**	Need for rapid malaria test kits and each positive sample can be screened further on microscope.	Laboratory manager
Lab 13	Trespassing in the lab by non-lab members	Getting infected and theft	75%	Due to lack of personal protective wear those trespassing can contract infections. Stealing items from the lab.	**High risk**	Complete exclusion of un authorized personnel to the lab.	Laboratory manager
							Laboratory manager
Lab 14	Issue room set up	Issue room set up does not provide privacy and safety	90%	Some clients who are not medical personnel such as drivers when they have come to collect blood they misunderstand when we say there is inadequate stock while they can see blood in our banks.	90%	To provide a barrier wall as it is in banks where clients normally stay outside the service room.	Laboratory manager