JARAMOGI OGINGA ODINGA UNIVERSITY

OF SCIENCE AND TECHNOLOGY

BUSINESS CONTINUITY MANAGEMENT POLICY

MARCH, 2024

JARAMOGI OGINGA ODINGA UNIVERSITY OF SCIENCE AND TECHNOLOGY

Business Continuity Management Policy, 2024

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Policy Title:	Business Continuity Management Policy
Policy Theme:	To provide a framework for resumption and continuity of business operations in the face of disruption for continued effective and efficient service delivery.
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Signed:	--- **Prof. Emily Achieng' Akuno, PhD, OGW** **Vice-Chancellor and Secretary to Council** Date: 24.01.2025
Signed:	--- **Chairman of Council** **Prof. Shem Oyoo Wandiga** Date: 25/01/2025

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ABBREVIATIONS AND ACRONYMS

BC	Business Continuity
BCM	Business Continuity Management
BCMS	Business Continuity Management System
BCP	Business Continuity Policy
BIA	Business Impact Analysis
BU	Business Unit
ICT	Information Communication Technology
ISO	International Standardization for Organizations
ISMS	Information Security Management System
JOOUST	Jaramogi Oginga Odinga University of Science and Technology
QMS	Quality Management System

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DEFINITION OF TERMS:

Business Continuity: Business continuity is "the uninterrupted availability of all key resources supporting essential business functions"

Business Continuity Plans: A collection of procedures/ information developed, compiled and maintained to ensure business processes continue or resume quickly following a major disruptive event. (Associated terms: Business Recovery Plan, Disaster Recovery Plan, and Recovery Plan)

Business Continuity Management: A system that provides for the availability of processes and resources to ensure the continued achievement of critical objectives.

Business Unit: Functional unit within the University (Campus, Division, School, Directorate, Department)

Business Impact Analysis: Evaluation of the nature and extent of disruptions and the likelihood of the resulting consequences considering business functions, people, processes, infrastructure, resources, information, interdependencies, and the nature and extent of capability loss over time.

Crisis: An untoward event that potentially or results in disruption of the normal functioning of a part or the whole of the University, sufficient to require management to divert a portion of their attention, time, energy, and resources from business-as-usual activities.

Essential Service/ Function: An activity that is critical to the core mission of the University and one that must be continued through, or resumed soon after, a major disruptive event, to ensure the

viability of the University is maintained, and its ability to continue to serve its key stakeholders. (Associated terms "critical functions/ services")

Major disruptive event: May be natural (e.g. flood, earthquake), Accidental (e.g. fire, contamination), Commercial (e.g. loss of supply of critical services), or Willful (e.g. sabotage, vandalism, arson, terrorism). Associated terms: "major crisis', 'disaster'.

Risk: Effect of uncertainty on a set objective or goal
ISO 31000: 2018, Risk Management Guidelines

Stakeholders: People, institutions, and organizations that affect, and are affected by activities and decisions of the University.

University: Refers to Jaramogi Oginga Odinga University of Science and Technology

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1.0   Introduction

The University acknowledges the need to build and strengthen the resilience of its business functions, structures, processes, and resources (people, infrastructure, information) and their interdependencies; to internal and external threats. The stability of business operations may be compromised by new or evolving threats, both natural and man-made including health pandemics, extreme weather events or natural disasters; and political, economic, and social instability. Good governance practices, changing customer expectations, and increasing regulatory requirements necessitate proactive plans and procedures to enable the University to respond to and manage a major incident or business interruption based on the scale, nature, and complexity of the disruption.

The Business Continuity Management Policy complements the Risk Management Policy as well as the Enterprise Risk Management (ERM) system and is intended to give assurance of the capacity and continuity of operations of the University in the face of a crisis. This Policy provides for the development of procedures for recording, assessing, and managing business continuity risks; identifying and prioritizing essential activities; responding to business disruptions or incidents, regardless of the cause; and maintaining essential services (or restoring services to a minimum acceptable level).

The Policy covers the following areas: Purpose, policy statement, scope, objectives, roles and responsibilities, business continuity guiding principles, and policy review process.

1.1   Mission
To provide transformative University education through integrated quality training, research, and community engagement for sustainable development.

1.2   Vision

A beacon of excellence in University Education, Research, Innovation and Community Engagement

1.3   Core Values

- Customer focus
- Efficiency
- Impartiality
- Professionalism
- Responsiveness
- Integrity
- Meritocracy

1.4 Philosophy

The University is anchored on the philosophy of a holistic approach to the service of humanity and other related areas of scholarship mediated through wisdom, science, and technology.

1.5 Motto

Oasis of Knowledge

1.6 Policy and Regulatory Framework

i. Constitution of Kenya, 2010 (Articles 10, 201, and 232)
ii. Mwongozo Code of Governance for State Corporations
iii. Public Sector Risk Management Guidelines 2022
iv. Public Service (Values and Principles) Act, 2015
v. National Disaster Risk Management Policy, 2017
vi. ISO 31000:2018 - Guidelines for Risk Management
vii. ISO 22301:2019 Business Continuity Management System and its Guidelines BS ISO 22313:2012
viii. ISO/IEC 27001:2022- Information Security Management System
ix. JOOUST Revised Statutes 2024
x. JOOUST Strategic Plan 2023-2027
xi. JOOUST Risk Management Policy, 2024
xii. JOOUST Security Policy,2024

2.0 The Policy

2.1 Purpose

The purpose of the policy is to provide the standards and guidelines that will ensure the resilience of University operations, minimize disruptions, and support the restoration of critical businesses and functions (academic, research, and administrative) as soon as possible following emergencies or critical incidences.

2.2 Policy Statement

The University is committed to the implementation of a Business Continuity Management Framework to ensure the recovery of critical business activities in case of disruptions. It will safeguard its reputation; the integrity of processes; the welfare of staff and students; stakeholders, and resources. To achieve this commitment, the University will avail the

requisite resources for its implementation, communication; regular monitoring, and review for effective and efficient implementation.

2.3   Scope

This policy applies to all systems, processes, structures, resources, and stakeholders of the University.

2.4   Objectives

The Business Continuity policy seeks to:

(a) Guarantee good corporate governance through continued planning and review of BCM

(b) Provide a framework for the development, implementation, and monitoring of Business Continuity Management (BCM) plans and Business Impact Analysis (BIA);

(c) Ensure reduction of risk exposure;

(d) Ensure identification, assessment, and minimization of business continuity risk;

(e) Support the delivery of the University Strategy;

(f) Safeguard the University's reputation and integrity;

(g) Protect the assets of the University in the event of business interruptions;

(h) Assign responsibilities for the effective implementation of the Business Continuity Management Plan; and

2.5   Guiding Principles

The following guiding principles shall determine BCM priorities:-

2.5.1   Suite of Business Continuity Plans

This policy provides a framework for the development and implementation of BC including:

(a) Crisis Management plans (for overall crisis management),

(b) Unit-specific BC plans (for timely continuity of core services, functions, operations, and processes)

(c) Special event-focused plans (e.g. Graduation)

(d) ICT Disaster Recovery plans (Technology-focused planning),

(e) Emergency Response Plan (for the safety of staff, students, and stakeholders during emergency events).

2.5.2 Risk Management

This BCM policy will provide for the minimization of the risks associated with disruptive events. Risk assessment of the associated disruption scenarios will be consistent with the Risk Management Policy.

This policy is focused on major crises, emergencies, disasters, and other untoward events that create potential impacts on:

(a) Delivery of core outcomes and achievement of University goals,

(b) Key operational processes and activities,

(c) Staff, students, systems, resources, and structures,

(d) Customers and other key stakeholders,

(e) Reputation, revenue, and other key factors identified from time to time.

The University will offer adequate, prioritized, and periodic attention to:

(a) Risks of potential business-disruptive impact events,

(b) Opportunities to be capitalized upon arising from risks and crises,

(c) Preparedness for timely response and recovery,

(d) Appropriate and adequate treatment of unacceptable risks, e.g. reduction of vulnerabilities, as and when justifiable.

2.5.3 Criticality

Business Continuity Management will be guided by the criticality of outcomes, services, functions, and underpinning processes in terms of the potential financial, reputational, and other impacts on the University and its stakeholders.

2.5.4 Continuity

The Business Continuity Plan is particularly focused on potential business impacts created from a broad range of higher-consequence risks, as well as high-likelihood risks. As a result, the suite of plans addresses a suitable mix of generic and impact-specific continuity plans.

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2.5.5   Intent and Priorities

In the event of a disruption or incident, the following business continuity intent and priorities will apply:

i.   **People:** Safety and well-being of Staff and their dependents, Students, Contractors and Visitors within its premises

ii.   **Education:** (Education and Research Processes)

iii.   **Assets:** (Data (soft and hard), Financial, ICT, Physical Infrastructure)

iv.   **Reputation:** (Communication with Internal stakeholders and External stakeholders)

2.5.6   Service Delivery Obligations

The University will undertake its obligations of service delivery within the context of its mandate in the event of a crisis or disruption. This will include timely response to increased demand for specific services, functions, operations, and processes.

2.5.7   Stakeholder and Community Obligations

The University is committed to meeting its social and community obligations by communicating and working closely with relevant stakeholders to offer services in the event of disruptions and any other emergency.

2.5.8   Maintenance

This policy supports suitable integration of maintenance practices within regular schedules and activities to strengthen a business continuity culture for organizational resilience.

Proposed maintenance activities include:

(i)   Periodic updating and documentation of factual and assessed information,

(ii)   Periodic exercising, testing, and reviews of plans against appropriate criteria, to maintain and manage expectations, intentions, and competencies for response and recovery,

(iii)   Individual (one-time) risk treatment projects, activities, and tasks to reduce unacceptable vulnerabilities to adverse risks and events.

(iv)   Consideration of BC implications associated with:

- Organizational policies, during their development and maintenance,
- New projects during the planning and approval phases

- Change management

2.5.9 Linking Risk and BC Management to Performance Appraisal Targets

Employee job descriptions and performance appraisal targets will adequately reflect the nature and extent of key roles and responsibilities, to strengthen the coordination of risk and business continuity management.

2.5.10 Communication

All Heads of Business Units shall ensure that BCM is communicated, understood, implemented, and achieved. There shall be continual promotion and communication of BCM principles and arrangements together with specific BC plans as appropriate, to build and maintain a culture of commitment and ownership by way of participation and buy-in.

2.5.11 Auditing the BCM Process

Periodic auditing based on recognized professional standards shall be determined and conducted as guided by the Business Continuity Management Committee.

3.0 Policy Administration

3.1 Roles and Responsibilities

The roles and responsibilities of the administration of the policy are outlined in Appendix 1.

3.2 Monitoring and Evaluation

The RMMC shall ensure that periodic BCM monitoring, evaluation, and reporting is undertaken, e.g. quarterly, through all levels to track the maintenance and ensure continual improvement of the University's Business Continuity Management Plan.

3.3 Implementation

Effective implementation of this policy shall be vested in the office of the Vice-Chancellor.

4.0 Review Date

The Policy shall be reviewed after every four (4) years and/or as advised by the Council.

Appendix 1: Roles and Responsibilities

Organ	Responsibility during regular business operations (Pre-Incident)	Responsibility during a Disruption	Responsibility post Incident
The Council	i. Approve the policy for implementation ii. Allocate the requisite resources for business continuity management implementation	i. Sets policy and direction. ii. Ratify the use of resources for the management of a disruption	i. Provide oversight and give direction. ii. High-level liaison
The University Management Board	i. Implement the business continuity management policy ii. Assign roles and responsibilities for the implementation of the plan iii. Communicate the Business Continuity Plans iv. Support capacity building for the implementation of the business continuity plan v. Receive and consider the reports on the implementation of the BCM Policy as appropriate	i. Constitute the Business Continuity Management Committee/Strategic Response team depending on the nature of the disruption. ii. Provide leadership and guidance on strategy implementation. iii. Assign resources for incident management. iv. Appraise the Council and Communicate with staff/public on behalf of the University in the face of a disruption	i. Appraise the Council on the incident. ii. Assess the impact of the incident, and monitor and coordinate recovery.
Business Continuity Management Committee	i. Ensure the development and cascading of the BCP at Unit levels ii. Monitor, evaluate, and report to Management on the implementation of the Business Continuity Management Plan within the University.	i. Implement stated strategies. ii. Assess the impact and plan response and recovery; and report to Management. iii. Support the affected Departments and Schools to manage resources	i. Receive and consolidate recovery reports for Management decision-making ii. Provide technical support for recovery

	iii. Periodically review the Business Impact Analysis (BIA) report and report to Management. iv. Maintain the Business Continuity Management Plan v. Building the University's risk capability and defining the University's business continuity management practices and framework; vi. Provide guidance and training on business continuity management processes; vii. Escalate identified or emerging risks exposures to the Management		iii. Monitor, evaluate and report on the recovery/resumption process. iv. Facilitate the implementation of mitigation measures
Planning Department	i. Support the operationalization of the Policy ii. Monitor compliance with the business continuity management policy; iii. Collate BCP and maintain risk registers. iv. Ensure that plans are developed; and are fit for purpose through regular training, updating, and testing to agreed standards.	i. Provide technical and strategic support for the management of incidences ii. Coordinate implementation with affected departments	
Heads of Directorates/ Departments/ Units/Sections	i. Develop and maintain Unit-specific business continuity plans. ii. Allocate tasks to staff members.	i. Activate the Business Continuity Plans	i. Implement strategies for recovery of core activities

iii. Nominate Business Continuity Champions. iv. Review the BCP regularly and annually at their relevant levels under the following conditions: • Following a change in the structure of the University and/or Unit; • Following a change in staffing including critical staff; • In response to a signification new threat and risk assessment; • Changes in customer, statutory, and regulatory requirements as applicable.	ii. Execute continuity arrangements for their specific functions in case of disruptions. iii. Report to Management on the implementation of plans	ii. Handle Work-in-progress. iii. Liaise with key clients and prepare reports for Management considerations
Staff, Students, and Stakeholders	i. Familiarize themselves with the policy. ii. Understand their roles and contribute to the implementation of the Business Continuity Plan	Participate in response and recovery actions following a crisis, emergency or disaster event.	Support recovery based on the Management directives and guidelines.