

# Business Processes Continuity Management Mechanisms and Action Plan of LEPL Samtskhe-Javakheti State University

## 1. Business Processes Continuity Management Mechanisms

The purpose of developing business processes continuity management mechanisms is to provide a fast and effective way in crisis situations to restore the learning / scientific process in a short period of time.

Developing businesses continuity management mechanisms and business continuity planning involves developing plans and procedures and monitoring the implementation of planned activities for identifying, analyzing, preventing and mitigating threats, risks and causes of various factors.

Business processes continuity management also involves business processes continuity planning to minimize all the major risks that are identified. Business processes continuity planning is a dynamic and collaborative process that allows for adaptation to changing circumstances or risks and ensures further development of the university.

The business continuity plan is primarily for the safety of people. Protecting the building / structure at a later stage and carrying out appropriate reinforcement activities and finally protecting the university's infrastructure and critical business processes, ensuring smooth operation.

## 2. Business Processes Continuity Management Mechanisms includes:

- **Identifying and assessing business continuity risks**

Identification involves identifying risks, classifying them, pointing out factors. Risk factors for business continuity of the University are determined by a special working group established by the Rector of the University. A special working group meets at least twice a year to discuss a business continuity plan. A working group reviews the identified risk factors and initiates appropriate changes to this Rule based on the Rector's decision. The Representative Council reviews and approves as well as makes changes into the business continuity plan.

Risks due to its nature can be caused by internal and external factors. Risks based on the specifics and goals of the university's activities can be divided into the following categories:

- **Natural cataclysms** (earthquakes, landslides, fires, floods, storms, other man-made and natural cataclysms);
- **Technological** (cyber-attack (hacker or virus attack on university information infrastructure), telephone and internet services attack);

- **Operational** (targeted infrastructure damage; building damage; loss / destruction of movable property; high percentage of employee outflow (due to dismissal, suspension of employment, unforeseen occurrence); termination of utility services (electricity, heating, water, air conditioning);
- **Financial and legal** (revenue reduction; taxes; fines and penalties; legal disputes; breach of lease agreements);
- **Strategic** (loss of authorization / accreditation; reduced enrollment; negative media feedback; loss of trust towards the institution and damage to reputation; threat of war in the state or the start of war).

- **Prevention and Response**

**Prevention and response mechanisms to the natural cataclysms**

**Natural catastrophes** include earthquakes, landslides, fires, floods, storms, and other emergencies related to natural disasters that may occur due to both internal and external factors;

Prevention and response mechanisms for natural cataclysms include:

Permitting fire safety measures and meeting the fire safety requirements of the relevant authorities;

Teaching fire safety rules to university staff of appropriate competence;

Ensuring that fire-fighting equipment, including primary fire extinguishers and fire-fighting systems are in good working conditions;

The existence of evacuation plans for students, staff and other peoples, as well as the availability of various inventory and instructions for their use;

Conduct periodic inspections of fire systems and primary fire extinguishers in buildings;

Conducting periodic emergencies, catastrophic processes and first aid simulations that allow the University to practice and improve emergency management in practice.

A response procedure in case of damage to university buildings during emergency situations involves planning the study process in other buildings owned and / or used by the University, including the possibility of planning several shifts of teaching.

**Technological risk**

**Technological risk category** at the university includes cyber-attack (hacking or viral attack on university information infrastructure), termination of telephone and internet services;

The relevant departments at the University periodically implement an audit in order to evaluate the effectiveness of information technology processes and verify proper working conditions of the information technologies.

The following elements of information technologies are checked:

- ✓ Network infrastructure and devices;
- ✓ Electronic services;
- ✓ Databases;
- ✓ Servers and backups;
- ✓ Computer equipment and peripheral devices;
- ✓ Other information-technology tools.

**Operational risks include:**

- ✓ High percentage of employee drain (due to dismissal, suspension of employment, unforeseen occurrence);
- ✓ Targeted infrastructure damage; Damage to the building; Loss / destruction of property;
- ✓ Utility disconnection (electricity, heating, water);

The following preventive activities will be used to prevent possible delays caused by the dismissal of human personnel:

Improving working environment by providing appropriate remuneration and incentives, also, by a high degree of academic / activity freedom and professional development opportunities.

Considering the obligation for the employee to inform the University at least 1 month before leaving the employment / service contract; Identification of the presumed replacement persons and having relevant data in advance in case of cancellation of employer contract by the academic staff;

Announcement of vacancy for recruitment of qualified personnel.

Preventing targeted infrastructure damage, building damage, property loss / demolition risk includes the following:

Avoiding delays in case of demolition of a building or part of it by finding alternate spaces and / or providing alternate spaces by planning several shifts of teaching in other university-owned buildings before finding alternative space.

Avoiding disruptions to utilities, including electricity supply through alternative sources at the university, including uninterrupted power supply;

If there is a power failure, there are generators and fuel supplies available within the university that provide 24-hour power generation to operate properly. An appropriate department at the University ensures the proper operation of power generators.

In case of delays in delivery of potable water there is adequate supply of potable water at the university.

In case of delays in delivery of natural gas, there is an availability of backup equipment / installations for heating of university buildings.

Production of electronic versions of library and archival resources.

### **Financial and legal risks**

**Financial and legal risks** imply a decrease in revenue; bills; fines and penalties; legal disputes; breach of lease agreements; prevention and response mechanisms include interim analysis and reporting:

Interim budget report, including 6-month performance indicators and adjusted plan of expected results (taking into account existing student number, student mobility results, student debt and other failures);

Interim financial reports, including balance sheets, profit and loss accounts, and cash flow.

### **Strategic**

**Strategic risks include:** loss of authorization / accreditation; reduced enrollments; negative media feedback; loss of trust towards the institution; war threat in the state or war and so on.

Strategies for risk prevention and response are following:

Ensuring compliance with authorization-accreditation standards in the strategic development plan and performance monitoring;

Activated PR campaign to increase university awareness, diversifying programmes to meet labor market demands;

Continuously monitor the quality of trust towards the university through studies and surveys;

Readiness to develop and implement an action plan in emergency situations;

### 3. Plan of Business Processes Continuity

Risk category: Natural cataclysms							
Risk	Probability (high, medium, low)	Impact on university activities (high, medium, small)	Delay period	Action	Preventive action	Responsible unit	Evaluation
<b>Earthquake</b>	medium	high	Depends on the scale of the risk	Access to infrastructure	Organized withdrawal of people according to the evacuation plan  Applying to relevant local and central authorities for assistance in organizing work.	Office of Infrastructure and Material-Technical Resrouces Management	Chancellor
<b>Landslide</b>	low	small	3 day	Access to infrastructure	Proper operation of the drainage system;  Organized withdrawal of people according to the evacuation plan  Applying to relevant local and central authorities for assistance in organizing work.	Office of Infrastructure and Material-Technical Resrouces Management	Chancellor
<b>Fire</b>	Medium	high	5 day	Access to infrastructure	Protecting fire safety norms;  Equipping fire-fighting and air-conditioning systems for high-temperature and server-based infrastructure to protect against high	Office of Infrastructure and Material-Technical Resrouces Management	Chancellor

					temperatures and fire;  Organized humanitarian withdrawal according to the evacuation plan;  Applying to relevant local and central authorities for assistance in organizing work.		
<b>Storm</b>	Low	medium	-	Access to infrastructure	Immediate transfer of students and staff to a safe place in accordance with the evacuation plan;  Applying to relevant local and central authorities for assistance in organizing work.	Office of Infrastructure and Material-Technical Resources Management	Chancellor

<b>Risk category: Technological</b>							
<b>Risk</b>	<b>Probability (high, medium, low)</b>	<b>Impact on university activities (high, medium, small)</b>	<b>Delay period</b>	<b>Action</b>	<b>Preventive action</b>	<b>Responsible unit</b>	<b>Evaluation</b>
<b>Cyber-attack (hacking or viral attack on university information)</b>	medium	high	3 day	Purchasing new service	Anti-virus monthly check;  Duplication of databases;	Department of Informational Technologies	Chancellor

<b>infrastructure)</b>							
<b>Termination of internet services</b>	medium	high	5 day	Access to Internet services	Purchasing services from an alternative Internet service provider	Department of Informational Technologies	Chancellor
<b>Purchasing telephone services</b>	low	small	-	Access to telephone services	Purchasing alternative services	Department of Informational Technologies	Chancellor

<b>Risk category: Operational</b>							
<b>Risk</b>	<b>Probability (high, medium, low)</b>	<b>Impact on university activities (high, medium, small)</b>	<b>Delay period</b>	<b>Action</b>	<b>Preventive action</b>	<b>Responsible unit</b>	<b>Evaluation</b>
<b>Targeted infrastructure damage; Damage to the building</b>	low	medium	-	Access to other buildings;  Planning for several teaching shifts	Alternative space;	Office of Infrastructure and Material-Technical Resources Management	Chancellor ; Rector
<b>Loss / destruction of movable</b>	low	small	-	Access to educational inventory and	Weekly inspection;  Creating electronic versions of library and archival	Office of Infrastructure and Material-	Chancellor

<b>property</b>				electronic library and archive resources	resources;	Technical Resrouces Management; Scientific Library; Archivarius;	
<b>High percentage of employee drain (due to dismissal, termination of employment, unforeseen occurrence)</b>							
<b>Academic staff</b>	low	high	-	Temporary replacement; Announcement of vacancies	Staff incentives; High degree of academic freedom; Professional development opportunities; Preliminary identification of people who will replace existing staff and possession of relevant data.	Deputies Rector; Dean; Office of Human Resources Management	Rector
<b>Invited staff</b>	low	high	-	Temporary replacement; Announcement of vacancies	Staff incentives; High degree of academic freedom; Obligation to inform the university at least 1 month prior to leaving a position.	Deputies Rector; Dean; Office of Human Resources Management	Rector
<b>Main administrative staff</b>	low	medium	-	Temporary replacement; Announcement of vacancies	Staff incentives; High degree of academic freedom; Professional development	Office of Human Resources Management	Rector



					opportunities; Obligation to inform the university at least 1 month prior to leaving a position.		
<b>Supporting staff</b>	low	small	-	Temporary replacement; Announcement of vacancies	Staff incentives; Obligation to inform the university at least 1 month prior to leaving a position.	Office of Human Resources Management	Chancellor
<b>Utility disconnection (electricity, heating, air conditioning, water)</b>							
<b>Electricity</b>	low	medium	5 minutes	Independent supply of electricity-with diesel generator	University backup power supply with autonomous electricity system; Annual inspection of cables on the territory of the University;	Department of Informational Technologies	Chancellor
<b>Heating</b>	low	medium	-	Availability of alternative heating means; Availability of heating backup equipment / installations	Annual inspection of the heating system	Office of Infrastructure and Material-Technical Resources Management	Chancellor

<b>Water</b>	low	small	-	Availability of alternative water systems (wells, reservoirs).	Inspection of water pipes once every 3 months; Water backup supply;	Office of Infrastructure and Material-Technical Resources Management	Chancellor
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<b>Risk category: Financial and legal</b>							
<b>Risk</b>	<b>Probability (high, medium, low)</b>	<b>Impact on university activities (high, medium, small)</b>	<b>Delay period</b>	<b>Action</b>	<b>Preventive action</b>	<b>Responsible unit</b>	<b>Evaluation</b>
<b>Revenue decline</b>							
<b>Lack of budgetary funds</b>	low	medium	-	Raising additional resources	Interim Budget Reporting; Finding other sources of funding; Existence of transient balance	Chancellor	Rector
<b>Lack of government educational grants / grants / own funds / projects</b>	low	high	1 year	Raising additional resources	Interim Budget Reporting; Increase the number of projects; Setting priorities; Existence of transient balance	Chancellor	Rector

<b>Bills</b>	low	medium	-	Raising additional resources	Interim financial statements; Establish effective mechanisms; Existence of transient balance	Office of Financial Planning and Procurement; Chancellor	Rector
<b>Fines and penalties</b>							
<b>Administrative</b>	low	small	-	Raising additional resources	Strengthen control over the work done	Chancellor	Rector
<b>Tax penalties</b>	low	medium	-	Raising additional resources	Audits	Chancellor	Rector
<b>Other</b>	low	small	-	Raising additional resources		Chancellor	Rector
<b>Legal disputes</b>	low	medium	-	Appropriate action	Timely fulfillment of obligations	Chancellor	Rector
<b>Breach of contract</b>							
<b>Technical service</b>	low	high		Raising additional resources	Constant communication	Office of Financial Planning and Procurement;	Chancellor

<b>Educational service</b>	low	high		Raising additional resources	Constant communication	Deputy Rector in Study Processes Management; Chancellor ;  Quality Assurance Office	Rector
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<b>Risk category: Strategic</b>							
<b>Risk</b>	<b>Probability (high, medium, low)</b>	<b>Impact on university activities (high, medium, small)</b>	<b>Delay period</b>	<b>Action</b>	<b>Preventive action</b>	<b>Responsible unit</b>	<b>Evaluation</b>
<b>Loss of authorization/accreditation</b>							
<b>Accreditation</b>	low	high	1 year	Transitioning students through mobility;  Updating programme;	Ensure compliance with standards in strategic development plan and performance monitoring	Quality Assurance Office Programme Head; Dean	Rector
<b>Authorization</b>	low	high	1 year	Transitioning students through mobility;  Re-apply for authorization	Ensure compliance with standards in strategic development plan and performance monitoring	Quality Assurance Office Chancellor ; Rector	Rector

<b>Reduced enrollments</b>	medium	high	1 Semester	Programme evaluation	Diversification of programmes in line with labor market requirements;	Quality Assurance Office Office of Public Relations; Programme Head	Rector
<b>Negative media feedback</b>	medium	high	-	Response justified with arguments;	Regular contact with media representatives;  Cooperation with journalistic resource center (TOK –TV);  Activated PR campaign;	Office of Public Relations	Rector
<b>Loss of trust towards the institution</b>	low	high	-	Responsive actions;  Activities;	Activated PR campaign;	Office of Public Relations	Rector;  Chancellor
<b>War threat in the state or war</b>	low	high	-	Readiness to develop and implement an action plan in emergency situations;			