

# HO TECHNICAL UNIVERSITY



## DISASTER RECOVERY AND BUSINESS CONTINUITY PLAN (DRBCP)

January 2023

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## **1.0 Introduction**

Ho Technical University (HTU) has the mandate to train competent human resource through career-focused education, skills training and research. As an educational institution similar to other organisations, it relies largely on technology and electronic data for its daily operations. It is important that this information serves as institutional memory and is required in the day-to-day activities of the institution. Furthermore, the infrastructure, equipment and human resources form an integral part of the system. The value and importance of these as well as the mandate of the institution presuppose that any form of disaster can cause a great loss to the institution and hamper the activities of the University. It is for this reason that it is necessary to have a Disaster Recovery and Business Continuity Plan (DRBCP) for the Institution.

This Plan is to provide a roadmap as part of University's preparedness to respond to any form of disaster and or disruption that may occur. It also includes measures put in place to ensure that teaching and learning which are the core functions of the University continue. The DRBCP is a requirement by regulators for the University to formally show its readiness and or arrangements to first react to any artificial or natural disruptive events and secondly measures to quickly resume business activities in case of any such adverse effects.

The Plan adopts all hazards (such as terrorism, cyber-attacks, epidemics, pandemics, student disturbance, explosion, fire, flooding, hazardous material, utility failure, etc.) approach in order to respond to all types of disruption events, potential threats and emergencies. This is because the nature and extent of any disaster is not known beforehand.

The DRBCP provides confidence to the various stakeholders of the University. Assuring them of their safety, security and most importantly business continuity. Furthermore, it assures all stakeholders of the University's ability to manage some emergencies before the arrival of external support or release of students, faculty and staff and ultimately the close down of the Institution for a period.

## **2.0 Purpose**

This Plan seeks to outline the systems and processes put in place as information to all stakeholders to first manage any form of disaster, threats or disruptive activity. It is to ensure safety of life and property in the institution and business continuity. It also provides an overall emergency operational plan to manage, maintain, recover and resume teaching and learning,

research, extension services and administrative activities in case of any disaster in the University.

### **3.0 Scope**

This DRBCP complements the University's Risk Management Policy and Risk Management Committee Charter. It focuses on the University's critical operational activities and services provided for students and other stakeholders. It covers internal and external potential threats to the University. The Plan applies to all members of the University and extends to all activities as well as all facilities owned, leased and/or operated by the University.

### **4.0 Authority**

The Vice-Chancellor is the primary owner of the DRBCP and responsible for the implementation, administration and interpretation of this Plan. The Emergency Management Response Team (EMRT) shall provide strategic support to the Vice-Chancellor during disaster and business continuity activities.

All other heads of Directorates/Faculties/Schools, Departments/Centres, Units and Sections will be required to activate and implement the DRBCP and its activities at their levels as enshrined in this Plan. They will report to the EMRT at regular intervals.

### **5.0 Objectives**

The objectives of the Plan are to:

1. Define responsibilities in critical situations;
2. Identify emergency response priorities;
3. Identify alternate operation centre locations;
4. Manage equipment and supplies; and
5. Detail out recovery operation procedures.

### **6.0 Guiding Principles**

The University has adopted the following guiding principles in the development and implementation of its DRBCP:

1. **Continuity of Teaching, Learning and Related Activities:** ensure that services are still provided to students and other stakeholders. In this case, access and consistent

delivery of teaching, other academic activities and related support services to students and the public would continue.

2. **Safeguarding the Health and Well-Being of all Members of the University:** ensure the health, safety and well-being of employees, students, clients and visitors of the University through the DRBCP.
3. **Protection and Preservation of Assets of the University:** ensure that measures are readily in place and timely implemented for the protection and preservation of physical, financial, intellectual and intangible properties and assets of the University. It also includes the University's reputation, public relations and accumulated goodwill of the University. The Plan also covers strategies and procedures that would enable effective and efficient deployment of the assets and other resources of the University in case of the occurrence of any threat to support business continuity in the University.
4. **Maintenance of Resources:** ensure that available resources are maintained to support critical functions such as teaching, research, administration and extension services of the University. There shall be periodic maintenance of resources and facilities of the University.
5. **Technology, Communication and Information:** ensures that the University will communicate timely, comprehensive and accurate information to stakeholders about the status of university operations, the current risk incident and related risk mitigation information and resources available to employees, students, appropriate stakeholders and the university community at large. In addition, there is provision of the required technology to support the operational activities of the University.

## **7.0 Assumptions**

1. The general assumptions used to develop this DRBCP covers three (3) scenarios:
  - i. the first 24 hours following an incident;
  - ii. 2 - 7 days following an incident; and
  - iii. 8 – 14 days following an incident.
2. The needed personnel and resources are available for preparation and response.
3. The first fourteen days would normally be used to activate the DRBCP for incidents that cover longer periods.
4. That water and power would be available at all times at critical sites.

5. Critical service providers will respond favourably if/when emergency assistance is requested.
6. Successive levels of government (Ministry of Education, Ghana Tertiary Education Commission, etc) will respond favourably if/when emergency assistance is required.

## **8.0 Operational Definitions and Abbreviations**

**Disaster:** A sudden accident or natural catastrophe that causes great impact, damage, loss or destruction of properties and/or loss of life.

**Disruptive Event/Situation:** Any event or circumstance that can break the normal flow of activities in the University

**Risk:** A situation, event or person that creates or suggests a hazard or exposes anyone or property to a hazard or danger.

**Threat:** A situation or event or person that expresses or indicates an intention to inflict evil, injury or damage.

**University Community:** All students and employees of the University, persons officially associated with the University, alumni, invitees, visitors and guests and all persons in close proximity to the University.

## **9.0 Emergency Management Response Team (EMRT)**

There shall be established an EMRT by the Vice-Chancellor as and when the need arises in case of a disaster or an event/situation that disrupts activities within the University Community. The Team shall advise and provide information to the Vice-Chancellor in the management and recovery procedures by:

1. Ensuring the safety and well-being of faculty, staff and students during any disruptive situation;
2. Providing the necessary guidelines in the management of any disruptive situation;
3. Providing a recovery plan; and
4. Ensuring that business continues in a safe and organised manner.

The Team shall comprise the following core members:

- |   |           |
|---|-----------|
| 1. Pro-Vice-Chancellor                      | Chairman  |
| 2. Registrar                                | Member    |
| 3. Director of Finance                      | Member    |
| 4. Director of Works & Physical Development | Member    |
| 5. Head of Security                         | Member    |
| 6. Senior/Assistant Registrar               | Secretary |

The Vice-Chancellor may appoint other members depending on the nature and gravity of the disruptive situation.

## **10.0 Classification of Potential Threats/Disruptive Events (Disasters)**

Threats or disruptive events are broadly classified into the following three (3) groups:

### **10.1 Minor Incidents**

Minor incidents are caused by the failure of a single component, system or service. However, these situations do not hamper teaching and learning activities of the University and can continue for a period of time. They occur frequently but their effects are minimal and do not impact on the core business operations of the University. Examples of such incidents include temporary loss of power, network connectivity, portal access, etc.

### **10.2 Intermediate Incidents**

These incidents involve the failure of major multiple systems and equipment within the University. They occur less frequently but with great impact on the normal operational activities of the University. The effects are not on all critical business sections of the University. This category of threats calls for the activation of part of the DRBCP. Examples of such incidents include electrical disruptions that require generated power for longer than 30 minutes, malfunctioning administrative ICT system, localised cyber security incidents, etc.

### **10.3 Major Incident**

This category involves the disruption of normal University critical operational activities and inaccessibility or failure of most University's systems and equipment. However, the occurrence of this incident or event is very low and rare but has significant impact on the activities of the University. In case of such occurrence, the public safety or authorized unit or persons shall activate the emergency response and the Disaster

Recovery Plan. Examples of major incidents are fires, floods, earthquakes, pandemics, etc.

### **11.0 Detailed Plan Assumptions**

In order to have a responsive plan the following assumptions are considered in the development of the DRBCP:

1. In case of a major incident, the affected area/premises/portion of the University would be out of use for more than 7 days.
2. In case of minor incident that has less impact or disruption in the University, some of the existing premises of the University would continue to be in use.
3. Loss of electricity supply across the entire University or part would still not affect the critical functions because the University stand-by plants/generators will supply power.
4. In the event where there is interruption in water supply and sewerage services; interruption of activities of the University would last not more than one (1) day as the University would rely on the groundwater pumping systems in the case of water supply.
5. The University has both wired and wireless networks across the campus with a majority of the business processes automated. In case of any partial failure, lasting up to three (3) hours redundancy services shall be activated. In case of a major failure to server suites and mission critical systems, restoration of business will take a few days.
6. In case of an epidemic or a pandemic, a percentage of the University staff could be off duty at any time or partial close down of the University and/or retain a skeletal staff to provide essential services. All decisions shall be recommended by the EMRT for approval and action by the Vice-Chancellor.
7. Adequate resources shall be made available to critical staff who will be delivering critical services in case of a crisis in the University.

### **12.0 Emergencies (Threats)/Disruptive Events and Level of Responses**

This section of the document provides the five (5) levels of response based on the nature and gravity of the threats and/or disruption events. The colour coding is also provided in line with our national emergency protocols (refer to table 12.1 for further details).

**LEVEL 1:** This level is coded **RED** and is described as a major threat which results in a catastrophic emergency for the entire University and the surrounding community/communities. The disaster is multi-hazardous, affects large portions of the University and threatens the safety and well-being of staff and or students. The disaster

is also likely to affect surrounding community of the University and requires external support to deal with the situation. This level of threat/event within or without the University community may result in a major crisis or disaster for the University. In this situation, the DRBCP will be activated. Examples of major threats include terrorism, plane crash on the University campus, pandemic, etc.

**LEVEL 2:** Level 2 is also coded **RED** and is considered as a semi major threat/emergency and or disruptive event that impacts significantly on sizeable portions/sections or major buildings of the University community. These types of emergencies may be single or multi hazardous situations and would require responses from both within and outside the University. The DRP would be activated and implemented. Examples include extended power outages for some hours, severe storms, contagious disease outbreaks, domestic water contamination, etc.

**LEVEL 3:** Level 3 is coded **YELLOW**. These threats (emergencies) usually affect the human base in this case staff and students of the University. They are primarily people centred than infrastructural and may involve the activation and implementation of the DRBCP. Examples include bomb threats, assaults, sexual assaults, building/office occupancy conflict, outbreaks in an office or departments, etc.

**LEVEL 4:** Also coded **YELLOW**, it covers incidents which can occur usually in small confined areas in a department or building. Usually, such incidents are easily resolved using internal resources and skills with a limited external assistance. The duration is also limited and the impact is minimal on the whole University community and beyond except that specific confined area(s). Examples of level 4 include power outage in specific building or offices for some hours, minor oil or fuel spillage in a workshop, floods in specific area(s)/building(s) after a heavy downpour, etc.

**LEVEL 5:** Level 5 which is coded **GREEN** identifies minor incidents which can occur in a department or building and can be responded to or resolved by a service unit in the University. Usually, the duration and impact of such incidents are almost negligible and insignificant on the general activities of the University community. Examples of level 5 include broken pipes, faulty switches, leaking sinks, etc.

**Table 12.1: Colour Coding & Description of Risk Impact**

S/N	Risk Category	Description	Impact	Colour Code
1	<b>LEVEL 1</b>	Terrorism, fire, student uprising, industrial and civil unrest, volcano earthquake, epidemic pandemic, natural disasters, etc.	University-wide and/or outside the University.	Red
2	<b>LEVEL 2</b>	Outbreaks of infectious diseases, restricted fire, domestic water contamination, severe thunder-storm, extended power outage, etc.	A sizeable portion of the University.	Red
3	<b>LEVEL 3</b>	Assaults, sexual assault, building/office occupation, civil disobedience, hate crimes, student disturbances, bomb threat, etc.	Limited portions of the University	Yellow
4	<b>LEVEL 4</b>	Loss of power for several hours, minor fire confined to a room, minor flood confined to an area, contagious diseases, etc.	Local Units	Yellow
5	<b>LEVEL 5</b>	Broken pipes, broken sinks, defective plumbing systems, malfunctioning electrical gadgets/equipment, etc.	Low Impact Departments/offices	Green

### 13.0 Maintenance and Version Control

To ensure this Plan is maintained and its content controlled for its intended purposes, the respective players shall take charge of their identified responsibilities.

#### 13.1 Maintenance

The following players identified have specified responsibilities in maintaining this Plan as indicated in Table 13.1.

**Table 13.1: Maintenance and Control of DRBCP in the University**

S/N	Player	Responsibility
1	Vice-Chancellor	Owner of the DRBCP of the University
2	Pro-Vice-Chancellor	Co-ordinator of the University Emergency Management Response Team
3	Registrar and Director of Public Affairs	Internal communication on incident and response plan
		Communication with staff, students and other relevant stakeholders on DRBCP issues
4	EMRT	General implementation of the programmes and activities in the DRBCP
5	Director of Works and Physical Development	Identification for alternative accommodation, water supply, power generation, teaching and office space if required
6	Deans, Directors and Heads of Departments	Lead the implementation of the DRBCP in the respective Directorates, Faculties/Schools, Departments and Units
		Ensuring Business continuity within the University
7	Dean of Student Affairs	Provision of essential student services during an incident or disruption
8	Staff	Ensure business continuity process in the University
		Information sharing on their functions within the University
		Awareness creation of the DRBCP to other stakeholders
		In case of any disruption, staff will work in accordance with the Disaster Recovery and Business Continuity Plan and procedures developed
9	University Librarian	Ensure a robust and appropriate response to Library data and information in case of any incident
10	Director of ICT	Provision and maintenance of the University data, information and network systems
11	Director of Finance	Robust protection and management of the University's finances
		Liaising with the University insurers
12	Director of Health Services	Ensure the health and well-being of staff and students
13	Head of Security	Ensure the safety of staff, students and property

### 13.2 Version Control

The Vice-Chancellor, the Owner of the Business Continuity and Disaster Recovery Plan, shall control the updated version of the Plan in line with any changes in the University.

#### **14.0 Assessment of Risk/Threat Situations**

The University has conducted risk assessment and identified potential risks or threats that have the tendency to cause some disruption in the activities of the University. The University's vulnerability to these risks was assessed based on the risks identified and their likelihood of occurrence as well as severity level analysis. The risk matrix for the various Directorates and Departments are attached to this Plan (refer to Appendix).

#### **15.0 Business Continuity Plan**

This Business Continuity Plan (BCP) is developed as an emergency response guideline and procedure to manage any disaster or disruption that may occur resulting in the unavailability of some or all of the University's resources for a period of time. Thus, the BCP ensures that the University can deliver its critical functions in case of any disruption. This is especially for Level 1 to Level 4 incidents which may have significant and adverse impact on the University and consequently threaten the health or safety of the University and or the University community. This BCP is flexible enough and can be adapted for use in case of any disaster or disruption or critical event. The BCP provides for business recovery of operational activities after the disaster.

##### **15.1 Business Impact Analysis**

The Business Impact Analysis (BIA) conducted in the University identified all the critical functions regarding the health and welfare of staff, students and other relevant stakeholders and the continuation and or restoration of the University's business as an educational organization. The critical functions and estimated allowable downtime (i.e., how much time is allowed before restoration) are presented in Table 15.1. The BIA conducted highlighted the main threats and vulnerabilities that may disrupt the core operational activities of the University and classified as:

1. Critical functions that impact on the health and safety of university students and staff as shown in Table 15.1; and
2. Critical functions that impact business continuation of the University as in Table 15.2.

**Table 15.1: Critical Functions and Responsible Stakeholders for Health and Safety**

S/N	Critical Function	Allowable Downtime	Department Responsible
1	Emergency Management Response Team (EMRT)	0 - 1 Hour	Office of the Registrar • Security
2	Public Assistance/Service	0 - 2 Hours	Office of the Registrar • Security
3	Emergency Communications	0 - 2 Hours	Office of the Registrar • Public Affairs • Security
4	Housing/Accommodation	0 - 3 Months	Directorate of Works and Physical Development (DWPD)
5	Food/Cafeteria Services	0 - 2 Months	Directorate of Finance Business Development Office Department of Hospitality and Tourism Management Executive Restaurant
6	Campus Security and Traffic Control	0 - 3 Hours	Security
7	Investigations	0 - 4 Weeks	Office of the Registrar • Security
8	Acute primary health care services	0 - 4 Hours	Office of the Registrar • Security Directorate of Health Services Dean of Students Affairs
9	The University Communication to: • Employees • Students	0 - 12 Hours 0 - 12 Hours	Office of the Registrar • Public Affairs • Directorate of HR Dean of Student Affairs SRC
10	Counselling Services	0 - 4 Weeks	Directorate of Career Placement and Counselling Dean of Student Affairs
11	Electricity (Power) supply Water supply	0 - 4 Hours	Directorate of Works and Physical Development
12	Infrastructure/Facilities Operation	0 - 5 Months	DWPD
13	Internet Access	0 - 8 Hours	Directorate of ICT
14	Network Availability	0 - 8 Hours	Directorate of ICT
15	Server Availability	2 - 4 Weeks	Directorate of ICT
16	General Procurement	0 - 2 Months	Directorate of Finance • Procurement Unit DWPD
17	Courier Services	2 - 8Hours	Office of the Registrar Directorate of Finance

18	Contracting	2 Weeks - 2 Months	DWPD Directorate of Finance Procurement Unit
19	Public Health Services <ul style="list-style-type: none"> <li>• Epidemic</li> <li>• Pandemic</li> <li>• Access to Medical Records</li> </ul>	0 - 24 Hours	Office of the Registrar Directorate of Health Services
20	Student Records and Information System Maintenance	1 - 5 Days	Directorate of Academic Affairs Directorate ICT Service Providers
21	Library and Information Services	1 - 24 Hours	University Library
22	Cleaning/Sanitation	0 - 7 Days	DWPD

**Table 15.2: Critical Functions and Responsible Stakeholders for Business Continuity**

S/N	Critical Function	Allowable Downtime	Department Responsible
1	Hiring New Employees: Classification Compensation	1-2 Weeks	Office of the Registrar <ul style="list-style-type: none"> <li>• Directorate of Human Resource</li> </ul>
2	Staff Records Administration	1-5 Days	Directorate of Human Resource
3	Insurance Claims	1-3 Months	Office of the Registrar Directorate of Finance
4	Procurement Services	0 - 2 Months	Directorate of Finance <ul style="list-style-type: none"> <li>• Procurement Unit</li> </ul>
5	Payroll	1-5 Days	Directorate of Finance <ul style="list-style-type: none"> <li>• Payroll Unit</li> </ul> Directorate of Human Resource
6	Budget	1-5 Days	Directorate of Finance <ul style="list-style-type: none"> <li>• Budget Unit</li> </ul>
7	General Accounting	1-5 Days	Directorate of Finance <ul style="list-style-type: none"> <li>• Financial Reporting Unit</li> <li>• Bills and Claims</li> </ul>
8	Employee Benefits	1 Week -1 Month	Office of the Registrar <ul style="list-style-type: none"> <li>• Human Resource Directorate</li> </ul> Directorate of Finance
9	Academic Advising of Students	2-7 Days	Dean of Student Affairs Deans of Faculty/School Heads of Academic Department
10	Library User Education	0 - 7 Days	University Librarian
11	Students Services	1 -7 Days	Directorate of Academic Affairs Admissions Office Dean of Student Affairs Directorate of ICT

12	Instruction and Communication to Staff and Students	0 -2 Days	Office of the Registrar <ul style="list-style-type: none"> <li>• Directorate of Human Resource</li> <li>• Public Affairs</li> </ul> Dean of Student Affairs Directorate of ICT
13	Classroom Technology Support	0 - 7 Days	DWPD Directorate of ICT
14	Student Records and Information System Maintenance	1 -5 Days	Office of the Registrar <ul style="list-style-type: none"> <li>• Student Records</li> <li>• Documentation and Archives Unit</li> </ul> Directorate of ICT
15	Access to Student Records	2-7 Days	Directorate of Academic Affairs <ul style="list-style-type: none"> <li>• Student Records Unit</li> </ul> Directorate of ICT
16	Financial Aid / Grants	2-7 Days	Office of the Vice- Chancellor <ul style="list-style-type: none"> <li>• External Funds Office</li> </ul> Directorate of Finance Directorate of General Administration and Legal Services <ul style="list-style-type: none"> <li>• Business Development Unit</li> </ul>
17	Provision of Non-acute Primary Health Care Services	0 - 7 Days	Directorate of Health Services
18	Medical Laboratory Services	0 - 7 Days	Directorate of Health Services
19	Master Teaching Timetable	0 - 2 Days	Office of the Registrar <ul style="list-style-type: none"> <li>• Academic Affairs</li> </ul> Timetable Committee Academic Departments
20	Teaching services	0 – 7 Days	Faculty Academic Departments Directorate of ICT
21	Special Admissions	1 - 7 Days	Office of the Registrar <ul style="list-style-type: none"> <li>• Directorate of Academic Affairs</li> <li>• Admissions Office</li> </ul> Academic Departments Directorate of ICT
22	Landscape Services	0 - 7 Days	DWPD
23	Infrastructure / Facilities Maintenance	0 - 2 Months	DWPD
24	Student Career Guidance	0 - 2 Weeks	Directorate of Career Placement and Counselling
25	Examinations	0 -7 Days	Office of the Registrar <ul style="list-style-type: none"> <li>• Directorate of Academic Affairs</li> <li>• Teaching and Examination Unit</li> </ul> Academic Departments

26	New Student Orientation	1 - 5 Days	Dean of Student Affairs
27	Sporting Activities	0 - 7 Days	Sports Office
28	Student Leadership and Development <ul style="list-style-type: none"> <li>• Student Representative Council (SRC)</li> <li>• Graduate Students' Association of Ghana (GRASAG)</li> <li>• Religious Associations</li> <li>• Departmental Associations</li> </ul>	0 - 6 Months	Office of the Vice-Chancellor Office of the Registrar Dean of Student Affairs Student Representative Council Chaplaincy Board
29	University Staff Unions and Associations	0 - 2 Weeks	Office of the Registrar Unions <ul style="list-style-type: none"> <li>• Technical University Teachers Association of Ghana (TUTAG)</li> <li>• Technical University Senior Administrators Association of Ghana (TUSSAG)</li> <li>• Technical University Workers Association of Ghana (TUWAG)</li> <li>• Technical University Administrators Association of Ghana (TUAAG)</li> <li>• Teachers' and Educational Workers' Union (TEWU)</li> </ul> And any other staff association as may be recognised by the University
30	Alumni Association membership processing, contacts	0-4 weeks	Office of the Registrar <ul style="list-style-type: none"> <li>• University Alumni Relation Office</li> <li>• Directorate of Public Affairs</li> </ul>
31	Publicity	0-2 weeks	Office of the Registrar <ul style="list-style-type: none"> <li>• Directorate of Public Affairs</li> </ul>
32	Library and Information Services	0-4 weeks	University Library Directorate of ICT Directorate of Academic Affairs <ul style="list-style-type: none"> <li>• Documentation and Archives</li> </ul>
33	Planning and Quality Assurance Issues	0-4 weeks	Directorate of Planning and Quality Assurance Directorate of ICT
34	International Affairs	0-4 weeks	Office of International Programmes and Institutional Linkages Dean of Student Affairs Any other relevant department.

## **16.0 Emergency Response Plan.**

In case of any disaster, threat or disruption especially intermediate and major incidents, the University has the following *Emergency Notification Plans*.

1. Activation of fire alarms and flashing lights to notify occupants of affected buildings in which an emergency or disaster has occurred and evacuation is required.
2. The University Community will be notified in the case of any disaster through the institutional electronic platforms (e.g. E-mail, SMS, etc) and radio stations (notably, Volta Premier FM) to broadcast the emergency situation.
3. The notification shall be coordinated by the Vice-Chancellor, Registrar and the Head of Security for action to be taken depending on the nature of the disaster.
4. Faculty will ensure that all students in their classes are aware of the situation.
5. Security and other allied Units shall assist in notifying staff and students.
6. The Hall Tutors, Administrators and Dean of Student Affairs will ensure that all students residing in the halls in the event of a disaster are duly notified through their various electronic platforms and notices.

### **16.1 Emergency Evacuation Plan**

Any emergency that will call for evacuations will be announced by the emergency fire alarm or appropriate units (e.g. Security Unit). Once alarms are sounded, the following actions must be taken:

1. all persons shall immediately leave the building to the nearest designated assembly point using the appropriate exit routes;
2. physically challenged persons will be assisted;
3. all persons shall follow laid-down safety measures; and
4. Security Unit and allied Departments shall take charge of the situation and act accordingly.

Table 16.1 shows the broad emergency response plan for the University

**Table 16.1: Action and Response Plan**

S/N	Threat/Event	Response/Action	Department Responsible
1	Terrorism	<ul style="list-style-type: none"> <li>• Trigger Evacuation</li> <li>• Security and allied departments take charge of situation</li> <li>• Inform the appropriate institutions for external support</li> </ul>	Vice-Chancellor Office of the Registrar <ul style="list-style-type: none"> <li>• Security Unit</li> </ul> Directorate of Works and Physical Development (DWPD)
2	Natural Disaster (volcano, earthquake)	<ul style="list-style-type: none"> <li>• Trigger Evacuation</li> <li>• Security and allied departments take charge of situation</li> <li>• Inform the appropriate institutions for external support</li> </ul>	Vice-Chancellor Office of the Registrar <ul style="list-style-type: none"> <li>• Security Unit</li> </ul> DWPD Ghana National Ambulance Service (GNAS) National Disaster Management Organisation (NADMO)
3	Fire	<ul style="list-style-type: none"> <li>• Raise Alarm</li> <li>• Trigger Evacuation</li> <li>• Extinguish fire or call for external support</li> </ul>	Vice-Chancellor Office of the Registrar <ul style="list-style-type: none"> <li>• Security Unit</li> </ul> DWPD Ghana National Fire Service (GNFS)
4	Floods (flash floods, severe storms, etc.)	<ul style="list-style-type: none"> <li>• Trigger Evacuation</li> <li>• Follow laid down safety procedures</li> <li>• Move any equipment to a safe location if possible</li> <li>• The University may shutdown, cancel classes and/or early closure for staff</li> </ul>	Vice-Chancellor Office of the Registrar <ul style="list-style-type: none"> <li>• Security Unit</li> </ul> DWPD
5	Interruption or loss of utility services (power and water supply)	<ul style="list-style-type: none"> <li>• Rely and activate alternative backup (power and water) supply</li> <li>• Inform the appropriate agency for external support.</li> </ul>	DWPD Relevant external agencies (Electricity Company of Ghana [ECG], Ghana Water Company [GWC], etc.)
6	Failure of ICT facilities	<ul style="list-style-type: none"> <li>• Activate redundancies</li> <li>• Offsite backup storage for recovery of lost data</li> </ul>	Directorate of ICT DWPD
7	Pollution and hazardous materials <ul style="list-style-type: none"> <li>• Explosion from Gas usage</li> <li>• Domestic water contamination</li> </ul>	<ul style="list-style-type: none"> <li>• Evacuate people in affected area to safe place</li> <li>• Trigger Evacuation</li> <li>• Shut off sources</li> <li>• Shut off electrical power, gas, or water system quickly by responding personnel</li> </ul>	DWPD Transport Unit Security Unit Directorate of Health Services  External agencies such as GNFS, ECG, GWC, etc.

8	Epidemic or Pandemic	<ul style="list-style-type: none"> <li>• Follow the recommended protocols</li> <li>• Urgent medical attention to the affected people in the University Clinic</li> <li>• Referred affected person(s) to appropriate health facility</li> </ul>	Vice-Chancellor Directorate of Health Services
9	Student disturbances /riots/ student uprising industrial unrest	<ul style="list-style-type: none"> <li>• Initiate effective communication to the entire University Community</li> <li>• Initiate effective crowd dispersal</li> <li>• Protect life and properties</li> </ul>	Office of the Registrar <ul style="list-style-type: none"> <li>• Security Unit</li> </ul> Dean of Student Affairs External agencies eg. Ghana Police Service

## 16.2 Activation of the Emergency Response Plan

The activation of the emergency response plan shall be guided by the following.

1. The Vice-Chancellor is the Chief Executive Officer of the University and has the ultimate responsibility to declare the University in the state of emergency.
2. In the absence of the Vice-Chancellor, the Pro-Vice-Chancellor or the Registrar can declare a state of emergency whenever there is a threat or disaster which cannot be managed by the University.
3. A state of emergency of the University may also be declared in response to heightened national alerts such as terrorism, volcanic eruption etc.
4. The Chairman of the EMRT will initiate the notification and response procedures for the primary response to the disaster or situation after the declaration of the state of emergency.
5. The Chairman of the EMRT will notify all affected Heads and direct all affected faculty, staff and students on the appropriate response procedures to the particular emergency or disaster.

## 17.0 Recovery Plan

The reopening of the University should be planned to restore its business activities when a major disaster ends.

The EMRT shall report to the Vice-Chancellor on the status of the threat or disruption with evidence. Furthermore, monitoring mechanisms shall be put in place to ensure smooth reopening of the University.

The Registrar shall communicate the resumption procedures to all staff and students of the University continue their core activities. The reopening may be done in batches depending on the kind and nature of disaster as well as its impact on the University.

There shall be continuous monitoring of the effect of the disaster on staff, students and facilities. In case of any changes, the EMRT shall review and assess the procedures for appropriateness and effectiveness for further action to be taken. It shall coordinate the 'Back-to-Work Plan' for staff and students in coordination with the Office of the Dean of Student Affairs, the Directorate of Human Resource and other relevant departments.

The Directorate of Public Affairs shall activate marketing plan to manage the image of the University and student retention.

### **18.0 Testing and Implementation of the DRBCP**

The procedures in the DRBCP were tested for effectiveness and appropriateness. The DRBCP was tested by checklist, walkthrough and parallel approaches.

The University shall test the DRBCP annually using any of the following methods:

1. **Checklist Test:** involves checking and marking out of available essential equipment and devices.
2. **Walkthrough Test:** involves training and sensitization of stakeholders about the essential steps of the DRBCP.
3. **Parallel Test:** involves testing back-up operations to ensure effective functioning especially for mission critical systems.
4. **Simulation Tests:** This exercise involves staging an emergency-like situation by engaging stakeholders of the University acting out the steps in the DRBCP. This scenario shall be managed to prevent halting University business.

### **19.0 Implementation**

There shall be regular training for the University Community to ensure that staff are abreast of the content and procedures in the DRBCP.

**Contacts:**

The Vice-Chancellor

**+233 36 202 8398**

The Registrar

**+233 36 202 7421**

Director of Works and Physical Development

Security Office

**+233 36 219 5554**

Ho Technical University Clinic

**+233 36 219 4878**

Ghana National Fire Service (Ho Municipal Office)

**+233 54 820 0264**

Ghana Police Service (Ho Municipal Office)

National Disaster Management Organisation (NADMO, Ho)

Ghana National Ambulance Service (Ho Municipal Office)

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**APPENDIX**

**RISK IDENTIFICATION, ASSESSMENT AND MITIGATION MEASURES FOR THE VARIOUS DEPARTMENTS**

**Table 1a: Risk Identification and Assessment: Directorate of Works & Physical Development (DWPD)**

S/N	Risk Identified	Level	Likelihood of Occurrence (Likely or Unlikely)	Probability Of Occurrence (High, Medium, Low)	Impact on Institution and Staff (High, Medium, Low)	Impact on Students (High, Medium, Low)
1	Restricted fire outbreak	4	Likely	Medium	High	High
2	The unstable market prices of materials (price fluctuations) Contract awards: (IGF & GoG)	4	Likely	High	High	Medium
3	Constructional risk (delay in contract execution - Contracts cost and time / duration overrun	4	Likely	High	High	Medium
4	Delay in payment (not honouring payment Certificates)	4	Likely	High	High	High
5	Inadequate infrastructural facilities (classrooms and lecture theatres, student hostels and residential facilities offices)	5	Likely	Medium	Low	Low
6	Inadequacy of furniture (staff & students)	5	Likely	Medium	Low	Low
7	Lack of timely response to complaints (maintenance of works)	4	Likely	Low	Low	Low
8	Pilferage of items meant for maintenance works	4	Likely	Low	Low	Low
9	Inadequacy of materials in store (Lack of timely release of the required materials from Stores)	4	Likely	Medium	Low	Low
10	Delay in the inspection of items procured i.e., Internal Audit inspection	5	Likely	Medium	Low	Low
11	Inadequacy/Lack of funds to undertake maintenance and contract works	4	Likely	Medium	Low	Low
12	Inadequate working tools such as; mowers, slashers, and others tools leading to overgrown weeds due to the high intensity of the rain	4	Likely	Medium	Low	Low

13	Constant breaking down of old age/outdated structures (plumbing & electrical items etc)	4	Likely	Low	Low	Low
14	Inadequate staff (Human Resources) to undertake the activities of the Directorate/reduction in work out due to aging of labour forces	4	Likely	Low	Low	Low
15	Lack/absence of the required apparel, PPEs, protective clothing, gears/uniform, and tools for the staff of the Directorate	4	Likely	Low	Low	Low
16	Noise & dust pollution	4	Likely	Low	Low	Low
17	Exposure to harmful chemicals /bacteria, mould and fungi reptiles, harmful insects and rodents, etc	5	Likely	Low	Low	Low
18	Operational risks, personal injuries (slips, trips, and falls from heights)	5	Likely	Low	Low	Low
19	Fatigue/stress accompany works activities	5	Likely	Low	Low	Low
20	Reputational risk (customer expectations and satisfaction)	5	Likely	Low	Low	Low
21	Workers' unrest	4	Likely	Low	Low	Low
22	The presence of trees on campus and their negative effects on life and property	5	Likely	Low	Low	Low

**Table 1b: Mitigation Measures for DWPD**

S/N	Identified Risk	Mitigation Measures	Mitigation Available	Yes (Timeline to Restore)	Risk Owner
1	Restricted fire outbreak	<ul style="list-style-type: none"> <li>Follow the standard fire preventive procedures</li> <li>Ensure active and functional fire alarm systems</li> <li>Provide adequate fire extinguishers and fire hydrants</li> <li>Train staff in the use of firefighting tools</li> <li>Periodic firefighting simulation exercises</li> </ul>	Yes	Undefine	HTU (DWPD)
2	The unstable market prices of materials (price fluctuations) Contract awards: (IGF & GoG)	<ul style="list-style-type: none"> <li>Contracts must be executed within the contract period</li> <li>Ensure the availability of funds before awarding projects</li> </ul>	Yes	"	HTU (DWPD)

3	Constructional risk (Delay in contract execution - Contracts cost and time/duration overrun)	<ul style="list-style-type: none"> <li>Contracts must be executed within the contract period</li> <li>Ensure the availability of funds before awarding projects</li> </ul>	Yes	"	HTU (DWPD)
4	Delay in payment (not honouring payment certificates)	<ul style="list-style-type: none"> <li>Contracts must be executed within the contract period</li> <li>Ensure availability of funds before awarding projects</li> </ul>	Yes	"	HTU (DWPD)
5	Inadequate infrastructural facilities (classrooms and lecture theatres, student hostels and residential facilities offices)	<ul style="list-style-type: none"> <li>Construction of additional facilities</li> <li>Enter into Public Private Partnership (PPP) agreements with financial institutions</li> </ul>	Yes	"	HTU (DWPD)
6	Inadequate furniture (staff & students)	<ul style="list-style-type: none"> <li>Ensure the availability of funds before awarding projects effective communication on matters of interest to staff</li> </ul>	Yes	"	HTU (DWPD)
7	Lack of timely response to complaints (maintenance of works)	<ul style="list-style-type: none"> <li>Conduct regular checks on the facilities</li> <li>Develop appropriate executable maintenance schedules</li> <li>Develop enhanced response approach (on-call &amp; online portal complaint form)</li> </ul>	Yes	"	HTU (DWPD)
8	Pilferage of items meant for maintenance works	<ul style="list-style-type: none"> <li>Regular monitoring and supervision by Unit heads</li> <li>Prompt disciplinary action against offenders</li> </ul>	Yes	"	HTU (DWPD)
9	Inadequate materials in store (lack of timely release of the required materials from stores)	<ul style="list-style-type: none"> <li>Timely acquisition/procurement of items into HTU Stores</li> </ul>	Yes	"	HTU (DWPD)
10	Delay in the inspection of items procured i.e., Internal Audit inspection	<ul style="list-style-type: none"> <li>Timely inspection by the Inspection Team (Audit, Finance, Procurement, etc.)</li> </ul>	Yes	"	HTU (DWPD)
11	Inadequate/lack of funds to undertake maintenance and contract works	<ul style="list-style-type: none"> <li>Regular availability of budget and making funds available</li> </ul>	Yes	"	HTU (DWPD)
12	Inadequate working tools such as mowers, slashers, and other tools leading to overgrown weeds due to the high intensity of the rain	<ul style="list-style-type: none"> <li>Timely acquisition of needed tools</li> <li>Regular availability of budget and making funds available</li> </ul>	Yes	"	HTU (DWPD)
13	Constant breaking down of old age/outdated structures (plumbing & electrical items etc.)	<ul style="list-style-type: none"> <li>Conduct regular checks on the facilities</li> <li>Develop appropriate executable maintenance schedules</li> <li>Adequate funding</li> </ul>	Yes	"	HTU (DWPD)
14	Inadequate staff (Human Resources) to undertake the activities of the	<ul style="list-style-type: none"> <li>Regular recruitment of the relevant required staff</li> </ul>	Yes	"	HTU (DWPD)

	Directorate/reduction in work output due to aging of labour force				
15	Lack/absence of the required apparel, PPEs, protective clothing, gears/uniform, and tools for the staff of the Directorate	<ul style="list-style-type: none"> <li>• Timely acquisition of needed PPEs</li> <li>• Regular availability of budget and making funds available</li> </ul>	Yes	"	HTU (DWPD)
16	Noise & dust pollution	<ul style="list-style-type: none"> <li>• The use of appropriate methods to confine the pollution</li> <li>• The use of appropriate PPEs</li> </ul>	Yes	"	HTU (DWPD)
17	Exposure to harmful chemicals, bacteria, mould, fungi, reptiles, harmful insects and rodents, etc.	<ul style="list-style-type: none"> <li>• The use of appropriate PPEs</li> </ul>	Yes	"	HTU (DWPD)
18	Operational risks, personal injuries (slips, trips, and falls from heights)	<ul style="list-style-type: none"> <li>• Employing maximum precautions</li> <li>• The use of appropriate methods</li> <li>• The use of appropriate PPEs</li> </ul>	Yes	"	HTU (DWPD)
19	Fatigue/stress accompanying work and activities	<ul style="list-style-type: none"> <li>• Granting of annual leave</li> </ul>	Yes	"	HTU (DWPD)
20	Reputational risk (customer expectations and satisfaction)	<ul style="list-style-type: none"> <li>• Adopting accepted standards</li> <li>• Meeting regular expectation</li> </ul>	Yes	"	HTU (DWPD)
21	Workers' unrest	<ul style="list-style-type: none"> <li>• Meeting workers' expectation</li> </ul>	Yes	"	HTU (DWPD)
22	The presence of trees on campus and their negative effects on life and property	<ul style="list-style-type: none"> <li>• Regular pruning and trimming of trees</li> <li>• Acquisition of chainsaw and other related tools</li> </ul>	Yes	"	HTU (DWPD)

**Table 2a: Risk Identification and Assessment: Archives and Documentation**

S/N	Risk Identified	Level	Likelihood of Occurrence (Likely or Unlikely)	Probability Of Occurrence (High, Medium, Low)	Impact on Institution and Staff (High, Medium, Low)	Impact on Students (High, Medium, Low)
<b>ENVIRONMENTAL CONDITION</b>						
1	Records stored in areas subjected to high temperature /fluctuating and humidity levels	5	Unlikely	Low	Low	Low
2	Records stored in excessive dusty areas	5	Likely	Medium	Medium	Low
3	Evidence of mice/vermin in storage areas	5	Unlikely	Low	Low	
4	Damp/mouldy/flooding storage areas	5	Likely	High	Low	Low
<b>HUMAN ERROR, PROCEDURES AND POLICY</b>						
5	Lack/non-existence of formal records management programme/system	5	Unlikely	Medium	Medium	Low
6	Official records stored in electronic or technology dependent formats, without being captured on official files	5	Likely	Medium	Medium	Low
7	Original contracts or agreements kept locally instead of sending them to the Records Management Office	5	Likely	Medium	Low	Low
8	Absence of a Vital Record Recovery Priority List	5	Likely	High	Low	Low
9	Evidence that people have been smoking around records storage area	4	Unlikely	Low	Low	Low
10	Deliberately destroying official records	4	Unlikely	Low	Low	Low

**Table 2b: Mitigation Measure for Risk Identified: Archives and Documentation**

S/N	Identified Risk	Mitigation Measures	Mitigation Available	Yes (Timeline to Restore)	Risk Owner
			(Yes / No)		
<b>ENVIRONMENTAL CONDITION</b>					
1	Records stored in areas subjected to high temperature/fluctuating and humidity levels	<ul style="list-style-type: none"> <li>• Store records in air-conditioned areas</li> <li>• use dehumidifiers</li> <li>• use silica gel</li> <li>• use cotton curtains</li> </ul>	Yes	Undefine	Directorate of Human Resource
2	Records stored in excessive dusty areas	<ul style="list-style-type: none"> <li>• Store records in archival boxes</li> <li>• Improve a regular cleaning regime in dust prone areas</li> </ul>	Yes	Undefine	Directorate of Human Resource University Clinic
3	Evidence of mice/vermin in storage areas	<ul style="list-style-type: none"> <li>• Check storage areas for infestation on a regular basis</li> <li>• Quarantine the records in a safe location until the records and storage areas are free of the infestation</li> </ul>	Yes	Undefine	Directorate of Human Resource Directorate of ICT
4	Damp/mouldy/flooding storage areas	<p>Where mould is identified in your storage areas, follow these measures:</p> <ul style="list-style-type: none"> <li>• Move unaffected records to a new location;</li> <li>• If they are already affected by mould; DO NOT move them to a new location until advised;</li> <li>• Move records from areas prone to flooding</li> <li>• Move records off the floor to a minimum height of about 85mm-150mm the recommended standards for records storage or into filing cabinets; and</li> <li>• Seek external funding to support staff training and development.</li> </ul>	Yes	Undefine	Directorate of Human Resource Directorate of Finance

<b>HUMAN ERROR, PROCEDURES AND POLICY</b>					
5	Lack/non-existence of formal records management programme /system	<ul style="list-style-type: none"> <li>Contact the Records Management Office to discuss a possible implementation of a formal records management programme</li> </ul>	Yes	Undefine	Office of the Vice-Chancellor Directorate of Human Resource Directorate of General Admin. and Legal Services
6	Official records stored in electronic or technology dependent formats, without being captured on official files	<ul style="list-style-type: none"> <li>Contact Records Management Office and Directorate of ICT to discuss a possibility of implementing Electronic Document and Records Management System/Methodology</li> </ul>	Yes	Undefine	Directorate of Human Resource Faculties/Departments Directorate of Works and Physical Development
7	Original contracts or agreements kept locally instead of sending them to the Records Management Office	<ul style="list-style-type: none"> <li>Send any outstanding original contracts and agreements to the Records Management Office</li> </ul>	Yes	Undefine	Directorate of Human Resource Directorate of General Admin. and Legal Services
8	Absence of a Vital Record Recovery Priority List	<ul style="list-style-type: none"> <li>Assess all records within Departments /Faculties/Offices and the University and develop a list of vital records for the respective entities</li> </ul>	Yes	Undefine	Directorate of Human Resource
9	Evidence that people have been smoking around records storage areas	<ul style="list-style-type: none"> <li>Enforce No-Smoking Policy</li> <li>Install smoke detectors</li> <li>Provide fire extinguishers and train staff on how to use them</li> </ul>	Yes	Undefine	Directorate of Human Resource Directorate of General Admin. and Legal Services
10	Deliberately destroying official records	<ul style="list-style-type: none"> <li>All staff to be made aware of their responsibilities in relation to destroying official records using a Records Destruction Authorisation Form</li> </ul>	Yes	Undefine	Directorate of Human Resource
11	Loss of staff records	?????????	Yes	Undefine	Directorate of Human Resource

**Table 3a: Risk Identification and Assessment: Directorate of Human Resource**

<b>S/N</b>	<b>Risk Identified</b>	<b>Level</b>	<b>Likelihood of Occurrence (Likely or Unlikely)</b>	<b>Probability Of Occurrence (High, Medium, Low)</b>	<b>Impact on Institution and Staff (High, Medium, Low)</b>	<b>Impact on Students (High, Medium, Low)</b>
1	Incompetent staff	4	Unlikely	Low	Low	Low
2	Staff turnover	5	Likely	High	High	High
3	Network and data security risk	4	Likely	Medium	High	Medium
4	Inadequate funding to enhance staff capacity building through training and development	5	Likely	High	High	High
5	Employment-related lawsuits	5	Likely	Medium	Medium	Low
6	Employee unrest	5	Likely	Medium	High	High
7	Risk of occupational health and safety (employees' injuries)	5	Likely	High	High	Low
8	Disagreement with disciplinary decisions	5	Likely	High	Medium	Medium
9	Personal attack on HR staff	5	Likely	High	High	High
10	Workplace conflict (due to opposing interests, personalities, beliefs, or ideas)	5	Likely	High	High	High
11	Presentation of falsified personal information	5	Likely	High	High	High
12	Loss of staff records	5	Likely	High	High	Low

**Table 3b: Mitigation Measures for Risks Identified: Directorate of Human Resource**

S/N	Identified Risk	Mitigation Measures	Mitigation Available	Yes (Timeline to Restore)	Risk Owner
			(Yes / No)		
1	Incompetent staff	<ul style="list-style-type: none"> <li>Follow the standard operating procedures</li> <li>Provide measures for effective training to ensure competent staff</li> <li>Adhere to training programmes</li> <li>Adhere to the University's staff training policy</li> </ul>	Yes	Undefine	Directorate of Human Resource
2	Employees turnover	<ul style="list-style-type: none"> <li>Prioritise health and wellbeing of staff</li> <li>Offer greater flexibility in staff work schedule</li> <li>Value a good work-life balance for staff</li> <li>Make available career progression paths for staff</li> <li>Introduce incentives and other motivating packages for staff</li> <li>Foster a workplace environment free of harassment and discrimination</li> </ul>	Yes	Undefine	Directorate of Human Resource University Clinic
3	Network and data security risk	<ul style="list-style-type: none"> <li>Up-to-date Security Software</li> <li>Regular Risk Assessments</li> <li>Encryption and data backup</li> <li>Staff training and awareness creation</li> </ul>	Yes	Undefine	Directorate of Human Resource Directorate of ICT
4	Inadequate funding to enhance staff capacity building through training and development	<ul style="list-style-type: none"> <li>Institution to consider allocating more funds the training budget</li> <li>Seeking external funding to support staff training and development</li> </ul>	Yes	Undefine	Directorate of Human Resource Directorate of Finance
5	Employment-related lawsuits	<ul style="list-style-type: none"> <li>Being meticulous about documentation on staff matters</li> <li>Be proactive in addressing conflicts in the workplace</li> <li>Fair application of laws and regulations</li> <li>Being abreast with applicable laws and regulations</li> <li>Operating within applicable laws and regulations</li> </ul>	Yes	Undefine	Office of the Vice-Chancellor Directorate of Human Resource Directorate of General Admin. and Legal Services

6	Employee unrest	<ul style="list-style-type: none"> <li>• Fair and equal treatment of staff</li> <li>• Identify points of agreement and disagreement</li> <li>• Prioritize areas of conflict and offer prompt redress</li> <li>• Ensure effective communication on matters of interest to staff</li> </ul>	Yes	Undefine	Office of the Vice-Chancellor Directorate of Human Resource Directorate of General Admin. and Legal Services
7	Risk of occupational health and safety (employees' injuries)	<ul style="list-style-type: none"> <li>• Provide a safe working environment</li> <li>• Conduct regular safety controls</li> <li>• Develop appropriate safety policies and procedures</li> <li>• Train employees on on-the-job safety measures</li> </ul>	Yes	Undefine	Directorate of Human Resource Faculties/Departments Directorate of Works and Physical Development
8	Disagreement with disciplinary decisions	<ul style="list-style-type: none"> <li>• Regular staff seminars and fora</li> <li>• Prompt disciplinary action against offenders</li> </ul>	Yes	Undefine	Directorate of Human Resource Directorate of General Admin. and Legal Services
9	Personal attack on HR staff	<ul style="list-style-type: none"> <li>• Critical role in leadership development and training of senior faculty and administrators of the University</li> </ul>	Yes	Undefine	Directorate of Human Resource
10	Workplace conflict (due to opposing interests, personalities, beliefs, or ideas)	<ul style="list-style-type: none"> <li>• Effective application of relevant policies and processes</li> <li>• Collaborating with the Directorate of General Administration and Legal Services to ensure compliance and education of employees about potential risks</li> </ul>	Yes	Undefine	Directorate of Human Resource Directorate of General Admin. and Legal Services
11	Presentation of falsified personal information	<ul style="list-style-type: none"> <li>• Putting in place rigorous check and verification measures</li> </ul>	Yes	Undefine	Directorate of Human Resource
12	Loss of staff records	<ul style="list-style-type: none"> <li>• Proactiveness in staff record keeping</li> <li>• Effective filling system</li> <li>• Regular update of staff information</li> </ul>	Yes	Undefine	Directorate of Human Resource

**Table 4a: Risk Identification and Assessment: Security Unit**

S/N	Risk Identified	Level	Likelihood of Occurrence (Likely or Unlikely)	Probability Of Occurrence (High, Medium, Low)	Impact on Institution and Staff (High, Medium, Low)	Impact on Students (High, Medium, Low)
1	Restricted fire (buildings)	4	Likely	Low	High	High
2	Theft	2	Likely	Low	Low	Low
3	Strike action by staff	3	Likely	Low	Medium	Medium
4	Students' demonstration	4	Likely	Low	Medium	High
5	Pandemic	4	Likely	Low	High	High
6	Absenteeism of staff	5	Likely	Medium	Low	Low
7	Assault	4	Likely	Low	Low	Low
8	Bush fire	2	Likely	Medium	Low	Low
9	Armed intruders	4	Likely	High	High	High
10	Work violence	2	Likely	Low	Low	Low

**Table 4b: Mitigation Measures for Risks Identified: Security Unit**

S/N	Identified Risk	Mitigation Measures	Mitigation Available	Yes (Timeline to Restore)	Risk Owner
			(Yes / No)		
1	Restricted fire (buildings)	<ul style="list-style-type: none"> <li>Availability of fire extinguishers</li> </ul>	Yes	3 weeks	Security Unit
2	Theft	<ul style="list-style-type: none"> <li>Security Unit will handle the case</li> </ul>	Yes	1 week	Security Unit Office of the Registrar
3	Strike action by staff	<ul style="list-style-type: none"> <li>Dialogue and negotiation with management</li> </ul>	Yes	1 week	Office of the Vice-Chancellor Office of the Registrar
4	Students' demonstration	<ul style="list-style-type: none"> <li>Communication with Student Unions (SRC and GRASAG)</li> </ul>	Yes	1 week	Security Unit Office of the Registrar Dean of Student Affairs

5	Pandemic	<ul style="list-style-type: none"> <li>The University Clinic will handle cases</li> </ul>	Yes	Months	Directorate of Health Services
6	Assault	<ul style="list-style-type: none"> <li>Security Unit will handle the case</li> <li>Office of the Registrar will investigate the case</li> </ul>	Yes	Months	Security Unit Office of the Registrar
7	Absenteeism of staff	<ul style="list-style-type: none"> <li>HoD will investigate</li> </ul>	Yes	1 Week	Office of the Registrar Head of Department
8	Bush fire	<ul style="list-style-type: none"> <li>Availability of fire extinguishers</li> </ul>	Yes	0	DWPD Security Unit
9	Armed intruders	<ul style="list-style-type: none"> <li>Security Unit will investigate</li> <li>Office of the Registrar will investigate the case</li> </ul>	Yes	0	Security Unit
10	Work violence	<ul style="list-style-type: none"> <li>Office of the Registrar will investigate the case</li> </ul>	Yes	0	Office of the Registrar Security Unit

**Table 5a: Risk Identification and Assessment: Transport Unit**

S/N	Risk Identified	Level	Likelihood of Occurrence (Likely or Unlikely)	Probability Of Occurrence (High, Medium, Low)	Impact on Institution and Staff (High, Medium, Low)	Impact on Students (High, Medium, Low)
1	Vehicle burglary	1	Likely	High	High	Low
2	Total lost in the event of accident	1	Likely	High	High	Medium
3	Expired driver's license	3	Likely	Medium	High	Low
4	Driving and drinking alcohol	2	Likely	Medium	High	High
5	Expired vehicle documents i.e., motor insurance, road worthy certificate	3	Likely	Medium	High	Medium
6	Procurement of inferior parts or tyres	3	Likely	Medium	High	Medium
7	Engagement of unqualified drivers	2	Likely	Medium	High	Low
8	Syphoning of fuel	5	Likely	Low	High	Medium
9	Purchasing of adulterated fuel	4	Likely	Low	High	Low
10	Purchasing of unsuitable vehicles for university operations	3	Likely	Low	High	High
11	Improper maintenance schedules	3	Likely	Low	High	Medium
12	Spreading of infectious diseases	1	Likely	High	High	High

**Table 5b: Mitigation Measures for Risks Identified: Transport Unit**

S/N	Identified Risk	Mitigation Measures	Mitigation Available	Yes (Timeline to Restore)	Risk Owner
			(Yes / No)		
1	Vehicle burglary	<ul style="list-style-type: none"> <li>Fixing of vehicle tracking devices</li> <li>Comprehensive motor insurance</li> </ul>	Yes	24 Hrs	Transport Officer
2	Total lost in the event of accident	<ul style="list-style-type: none"> <li>Strictly adhere to Transport Policy</li> <li>Comprehensive motor insurance</li> </ul>	Yes	24 Hrs	Directorate of Human Resource
3	Expired driver's license	<ul style="list-style-type: none"> <li>Frequent inspection and renewals</li> </ul>	Yes	24 Hrs	Transport Officer
4	Driving and drinking alcohol	<ul style="list-style-type: none"> <li>Strictly adhere to Transport Policy</li> </ul>	Yes	24 Hrs	Directorate of Human Resources
5	Expired vehicle documents i.e., motor insurance, road worthy certificate	<ul style="list-style-type: none"> <li>Frequent inspection and renewals</li> </ul>	Yes	24 Hrs	Transport Officer
6	Procurement of inferior parts or tyres	<ul style="list-style-type: none"> <li>Strictly by recommendation</li> </ul>	Yes	24 Hrs	Transport Officer
7	Engagement of unqualified drivers	<ul style="list-style-type: none"> <li>Strictly adhere to Transport Policy</li> </ul>	Yes	24 Hrs	Human Resources
8	Syphoning of fuel	<ul style="list-style-type: none"> <li>Keeping fueling records</li> </ul>	Yes	24 Hrs	Transport Officer
9	Purchasing of adulterated fuel	<ul style="list-style-type: none"> <li>Purchase of fuel from accredited fuel stations only</li> </ul>	Yes	24 Hrs	Office of the Registrar Transport Officer
10	Purchasing of unsuitable vehicles for university operations	<ul style="list-style-type: none"> <li>Purchase of recommended vehicle from accredited and trusted companies</li> </ul>	Yes	1 week	Office of the Vice-Chancellor Directorate of Finance Procurement Unit Transport Unit
11	Improper maintenance schedules	<ul style="list-style-type: none"> <li>Periodic maintenance should follow the manufacturer's specification</li> </ul>	Yes	1 week	Transport Unit
12	Spreading of infectious diseases	<ul style="list-style-type: none"> <li>Affected persons will visit the University Clinic</li> <li>Affected persons will not drive</li> </ul>	Yes	1 week	Transport Unit

**Table 6a: Risk Identification and Assessment: Directorate of Finance**

S/N	Risk Identified	Level	Likelihood of Occurrence (Likely or Unlikely)	Probability Of Occurrence (High, Medium, Low)	Impact on Institution and Staff (High, Medium, Low)	Impact on Students (High, Medium, Low)
1	Restricted fire		Likely	Low	Low	Low
<b>BUDGET</b>						
2	Use of outdated information for planning and budget preparation	5	Likely	Low	Medium	Low
3	Understatement or overstatement of projections from Heads of Department	5	Likely	Medium	High	Low
4	Usage of wrong data in preparation and review of budget.	5	Unlikely	Low	Medium	Low
5	Untimely delay in the dissemination and errors in the printing of budget to all Departments	5	Likely	Low	Medium	Low
6	Incur expenditure before approval by the Head of Entity	5	Likely	Medium	Low	Low
7	Weak monitoring and improper review of expenditure to determine trends	5	Likely	Medium	Medium	Low
8	Failure to study trends in analysing the budget for revision	5	Likely	Low	Low	Low
9	Untimely delay and use of outdated information in preparing performance and reporting	5	Unlikely	Low	Low	Low
10	Failure to report factually as result of bad data collated	5	Unlikely	Medium	Low	Low
<b>PAYROLL</b>						
11	Paying non-existent staff e.g., retrenched, resigned and retired staff	3	Likely	Low	Low	Low
12	Over or underpayment of staff salaries	4	Likely	Low	Low	Low
13	Incorrect capturing of data including inputting of staff number for deduction	5	Unlikely	Low	Low	Low
14	Delay in payment of salaries	4	Likely	Medium	Medium	Low
15	Delay in staff data update	5	Likely	Low	Low	Low
16	Staff agitation/ demotivation	4	Likely	Medium	Medium	Low
17	Payment of salaries into the wrong account	4	Unlikely	Low	Low	Low

18	Printing wrong and incorrect reports	5	Unlikely	Low	Low	Low
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<b>BANK RECONCILIATION</b>						
19	Untimely receipt of bank statements	5	Likely	Low	Low	Low
20	Disagreement between pay-in-slip and bank statement amount	4	Unlikely	Low	Low	Low
21	Perpetuating teaming and lading	5	Likely	Low	Low	Low
22	Inaccurate balance	4	Unlikely	Low	Low	Low
23	Untimely identification of items causing differences between the ledger and bank statement	4	Likely	Medium	Medium	Low
24	Inability to substantiate figures on the financial statement	5	Unlikely	Low	Low	Low
25	Delay in getting reconciliation statement verified and approved	5	Likely	Medium	Medium	Low
<b>PAYMENTS-GOOD &amp; SERVICES</b>						
26	Misdirecting payment request	4	Likely	Medium	Medium	Low
27	Failure to record the payment request properly making tracing of document difficult	4	Likely	Medium	Medium	Low
28	Delay in submitting to HOD and Deans for appropriate authorisation	5	Likely	Medium	Medium	Low
29	Risk of misplacement by HOD and Deans	5	Likely	Medium	Medium	Low
30	Failure to stamp documents as received properly	5	Likely	Low	Low	Low
31	Risk of misdirection of documents to the wrong Units	5	Likely	Low	Low	Low
32	Unavailability of supporting documents for verification	4	Likely	Medium	Medium	Low
33	Improper authorization by right personnel	5	Unlikely	Low	Low	Low
<b>PAYMENTS-GOOD &amp; SERVICES</b>						
34	Delay in raising payment vouchers	5	Likely	Medium	Medium	Low
35	Over/under-payment of expenses	4	Unlikely	Low	Low	Low
36	Failure on part of supervisor not detecting wrong account codes	4	Likely	Medium	Medium	Low
37	Delay in Vice-Chancellor and Director of Finance approving documents	5	Likely	Low	Low	Low
38	Effecting payment without pre-audit	4	Unlikely	Low	Low	Low
39	Delay in pre-auditing of transaction before payment	5	Likely	Low	Low	Low
40	Delay in update of payment schedules	5	Likely	Low	Low	Low
41	Overlooking long outstanding requests in favour of current requests	5	Likely	Low	Low	Low
42	Delay in raising payment vouchers	5	Likely	Low	Low	Low
43	Delay in signing cheques	5	Likely	Low	Low	Low
44	Insufficient mandate	5	Likely	Low	Low	Low

45	Fraud	4	Unlikely	Low	Low	Low
46	Delay in dispatch/collection of cheques and cash	5	Likely	Low	Low	Low
47	Dispatching to wrong recipient	4	Unlikely	Low	Low	Low
48	Cheques getting missing or getting stale	4	Unlikely	Low	Low	Low
49	Delay in receiving receipts	5	Likely	Low	Low	Low
50	Disagreement between the University and recipients/requisitioning office on evidence of payments made	4	Unlikely	Low	Low	Low
51	Wrong coding/classification of expense item	4	Likely	Medium	Medium	
<b>REFUNDS</b>						
52	Request approval by Head of Entity	4	Unlikely	Low	Low	Low
53	Disagreement between the amount requested and student statement	4	Likely	Medium	Medium	Medium
54	Delay in payment of refunds	4	Likely	Medium	Medium	Low
55	Overpayment of rent and salary advance	4	Likely	Medium	Medium	Low
<b>CAPEX</b>						
56	Inadequate update of Asset Register	5	Likely	Medium	Medium	Low
57	Failure to follow up with Fixed Asset Policy in terms of applying approved rates	4	Likely	Low	Low	Low
58	Failure to verify all fixed assets	4	Likely	Low	Low	Low
59	Failure to identify all fixed assets	4	Likely	Low	Low	Low
60	Delay in authorization by mandated authority	5	Likely	Low	Low	Low
61	Raising wrong voucher	4	Likely	Low	Low	Low
62	Failure to follow the relevant accounting procedures	4	Likely	Low	Low	Low
63	Delay in raising the relevant documentation	5	Likely	Low	Low	Low
<b>CASH</b>						
64	Overpayment to staff	5	Likely	Low	Low	Low
65	Theft	3	Likely	Low	Low	Low
66	Personal use of the University cash	3	Likely	Low	Medium	Medium

**CONTINUE JOY CORRECTIONS FROM HERE**

**Table 6b: Mitigation Measure for Risk Identified: Directorate of Finance**

s/n	Identified Risk	Mitigation Measures	Mitigation Available	Yes (Timeline to restore)	Risk Owner
			(Yes / No)		
1	Fire	<ul style="list-style-type: none"> <li>• Fire extinguishers provided.</li> <li>• Fire and smoke detectors must be installed</li> </ul>	Yes	As soon as possible	Head of Security
<b>BUDGET</b>					
2	Use of outdated information for planning and budget preparation.	<ul style="list-style-type: none"> <li>• There is strong data gathering tools in preparing Budget</li> </ul>		Already Mitigated	Budget Officer
3	Understatement or overstatement of projections from Heads of Department.	<ul style="list-style-type: none"> <li>• Budget Officer is involved in the preparation of HOD's budget</li> </ul>		Already Mitigated	Budget Officer
4	Usage of wrong data in preparation and review of budget.	<ul style="list-style-type: none"> <li>• Budget Officer is using accurate data in his budget preparations</li> </ul>		Already Mitigated	Budget Officer
5	Untimely delay in the dissemination and errors in printing of budget to all departments.	<ul style="list-style-type: none"> <li>• Budgets approved to be distributed are listed to avoid omission of a department</li> </ul>		Already Mitigated	Budget Officer
6	Incur expenditure before approval by Head of Entity	<ul style="list-style-type: none"> <li>• Expenditure to be spent are strictly monitored by executive approval</li> </ul>		Already Mitigated	Budget Officer
7	Weak monitoring and improper review of expenditure to determine trends.	<ul style="list-style-type: none"> <li>• Expenditure targets are monitored strictly for control and revision purposes</li> </ul>		Already Mitigated	Budget Officer
8	Failure to study trends in analysing the budget for revision.	<ul style="list-style-type: none"> <li>• Budget Officer uses trend analysis tools in preparing budget revisions</li> </ul>		Already Mitigated	Budget Officer
9	Untimely delay and use of outdated information in preparing performance report.	<ul style="list-style-type: none"> <li>• Revenues and expenditure information constantly updated</li> </ul>		Already Mitigated	Budget Officer
10	Failure to report factually as result of bad data collated.	<ul style="list-style-type: none"> <li>• Revenues and expenditure information constantly updated</li> </ul>		Already Mitigated	Budget Officer
<b>PAYROLL</b>					
11	Paying non-existent staff e.g., retrenched, resigned and retired staff.	<ul style="list-style-type: none"> <li>• Staff information timely circulated by HR</li> </ul>		Already Mitigated	Payroll Officer

12	Over or underpayment of staff salaries.	<ul style="list-style-type: none"> <li>There is effective communication between HR and Payroll Officer to put staff on correct scale</li> </ul>		Already Mitigated	Payroll Officer
13	Incorrect capturing of data including inputting of staff number for deduction.	<ul style="list-style-type: none"> <li>Payroll Officer is always careful in capturing data including inputting of staff number for deduction.</li> </ul>		Already Mitigated	Payroll Officer
14	Delay in payment of salaries	<ul style="list-style-type: none"> <li>Salaries are paid on time</li> </ul>		Already Mitigated	Payroll Officer
15	Delay in staff data update.	<ul style="list-style-type: none"> <li>There is effective communication between HR and Payroll Officer to put staff on correct scale</li> </ul>		Already Mitigated	Payroll Officer
16	Staff agitation/ demotivation	<ul style="list-style-type: none"> <li>Grievance procedure has been put in place for staff to address their displeasures</li> </ul>		Already Mitigated	Payroll Officer
17	Payment of salaries into the wrong account	<ul style="list-style-type: none"> <li>Payroll Officer always captures staff account correctly</li> </ul>		Already Mitigated	Payroll Officer
18	Printing wrong and incorrect reports	<ul style="list-style-type: none"> <li>Payroll Officer is always careful in printing reports</li> </ul>		Already Mitigated	Payroll Officer
<b>BANK RECONCILIATION</b>					
19	Untimely receipt of bank statements	<ul style="list-style-type: none"> <li>Bank Statements is always received on time</li> </ul>		Already Mitigated	Reconciliation Officer
20	Disagreement between pay-in-slip and bank statement amount	<ul style="list-style-type: none"> <li>Engaged banks that does less error to mitigate the disagreements</li> </ul>		Already Mitigated	Reconciliation Officer
21	Perpetuating teaming and lading	<ul style="list-style-type: none"> <li>There are strong internal controls and monitoring tools</li> </ul>		Already Mitigated	Reconciliation Officer
22	Inaccurate balance	<ul style="list-style-type: none"> <li>Reconciliation Officer ensures balances are correct for decision making</li> </ul>		Already Mitigated	Reconciliation Officer
23	Untimely identification of items causing differences between the ledger and bank statement	<ul style="list-style-type: none"> <li>Prompt reconciliation is always available.</li> </ul>		Already Mitigated	Reconciliation Officer
24	Inability to substantiate figures on the financial statement	<ul style="list-style-type: none"> <li>Reconciliation Officer is able to substantiate figures in the financial statement</li> </ul>		Already Mitigated	Reconciliation Officer
25	Delay in getting reconciliation statement verified and approved	<ul style="list-style-type: none"> <li>Both Approving Officer and the Reconciliation Officer ensure that reconciliation has been approved on time</li> </ul>		Already Mitigated	Reconciliation Officer
<b>PAYMENTS-GOOD &amp; SERVICES</b>					

26	Misdirecting payment request.	<ul style="list-style-type: none"> <li>Payment request is always directed to the appropriate officer</li> </ul>		Already Mitigated	Bills and Payment Officer
27	Failure to record the payment request properly making tracing of document difficult.	<ul style="list-style-type: none"> <li>The administrators are always up to their task in receiving and dispatching documents received</li> </ul>		Already Mitigated	Bills and Payment Officer
28	Delay in submitting to HOD and Deans for appropriate authorization.	<ul style="list-style-type: none"> <li>Deadline for submitting invoices for payment should be set</li> </ul>		A month	Bills and Payment Officer
29	Risk of misplacement by HOD and Deans	<ul style="list-style-type: none"> <li>Documentation for approvals should be digitalised</li> </ul>		Two months	Bills and Payment Officer
30	Failure to stamp documents as received properly.	<ul style="list-style-type: none"> <li>The schedule officer ensures that all minuted documents to him/her are to his/her unit</li> </ul>		Already Mitigated	Bills and Payment Officer
31	Risk of misdirection of documents to the wrong Units	<ul style="list-style-type: none"> <li>Documents are directed to the right Units</li> </ul>		Already Mitigated	Bills and Payment Officer
32	Unavailability of supporting documents for verification.	<ul style="list-style-type: none"> <li>Supporting documents are always attached for verification</li> </ul>		Already Mitigated	Bills and Payment Officer
33	Improper authorisation by right personnel.	<ul style="list-style-type: none"> <li>There are always the right personnel to authorise for payments</li> </ul>		Already Mitigated	Bills and Payment Officer
<b>PAYMENTS-GOOD &amp; SERVICES</b>					
34	Delay in raising payment vouchers	<ul style="list-style-type: none"> <li>Software support staff is available to rectify any challenges with the payment system</li> </ul>		Already Mitigated	Bills and payment Officer
35	Over/under payment of expenses	<ul style="list-style-type: none"> <li>Payment is reviewed by the Directorate of Internal Audit</li> </ul>		Already Mitigated	Bills and payment Officer
36	Failure on part of supervisor not detecting wrong account codes	<ul style="list-style-type: none"> <li>Supervisors are available to cross check account codes</li> </ul>		Already Mitigated	Bills and payment Officer
37	Delay in Vice-Chancellor and Director of Finance approving the document.	<ul style="list-style-type: none"> <li>Deputies are mandated to assist in the approval function</li> </ul>		Already Mitigated	Bills and payment Officer
38	Effecting payment without pre-audit	<ul style="list-style-type: none"> <li>The Vice-Chancellor and Director of Finance ensure that vouchers are pre-audited before cheques are signed</li> </ul>		Already Mitigated	Bills and payment Officer
39	Delay in pre-auditing of transaction before payment	<ul style="list-style-type: none"> <li>There is always an officer to pre-audit.</li> </ul>		Already Mitigated	Bills and payment Officer
40	Delay in update of payment schedules.	<ul style="list-style-type: none"> <li>The supervisor of the scheduled officer in charge of the update of payment schedules</li> </ul>		Already Mitigated	Bills and payment Officer

		ensures that the officer promptly updates the payment schedule.			
41	Overlooking long outstanding requests in favour of current requests	<ul style="list-style-type: none"> <li>• Payments are based on 'First come, first served' except priorities</li> </ul>		Already Mitigated	Bills and payment Officer
42	Delay in raising payment vouchers	<ul style="list-style-type: none"> <li>• Payment vouchers are raised on time</li> </ul>		Already Mitigated	Bills and payment Officer
43	Delay in signing cheques	<ul style="list-style-type: none"> <li>• Provisions are made to allow the availability of at least 2 signatories at all time</li> </ul>		Already Mitigated	Bills and payment Officer
44	Insufficient mandate.	<ul style="list-style-type: none"> <li>• Provisions are made to allow the availability of at least 2 signatories at all time</li> </ul>		Already Mitigated	Bills and payment Officer
45	Fraud	<ul style="list-style-type: none"> <li>• Strong internal controls are put in place</li> </ul>		Already Mitigated	Bills and payment Officer
46	Delay in dispatch/collection of cheques and cash	<ul style="list-style-type: none"> <li>• Schedule officers promptly call payees immediately the cheques are ready for collection</li> </ul>		Already Mitigated	Bills and payment Officer
47	Dispatching to wrong recipient	<ul style="list-style-type: none"> <li>• Ensure the collection of correct details of recipients</li> </ul>		Already Mitigated	Bills and payment Officer
48	Cheques getting missing or getting stale	<ul style="list-style-type: none"> <li>• Cheques are kept under lock and payees of ready cheques are contacted promptly</li> </ul>		Already Mitigated	Bills and payment Officer
49	Delay in receiving receipts	<ul style="list-style-type: none"> <li>• Schedule officer ensures receipts are written and collected before handing over cheques.</li> </ul>		Already Mitigated	Bills and payment Officer
50	Disagreement between the University and recipients/requisitioning office on evidence of payments made	<ul style="list-style-type: none"> <li>• Schedule officer ensures proper documentation of payments made</li> </ul>		Already Mitigated	Bills and payment Officer
51	Wrong coding/classification of expense item	<ul style="list-style-type: none"> <li>• Posting officer reviews transactions before posting</li> </ul>		Already Mitigated	Bills and payment Officer

**Table 7a: Risk Identification and Assessment: Nunya Library**

s/n	Risk Identified	Level	Likelihood of Occurrence (Likely or Unlikely)	Probability Of Occurrence (High, Medium, Low)	Impact on Institution and staff (High, Medium, Low)	Impact on students (High, Medium, Low)
1	Inadequate staff	5	Likely	High	High	High
2	Internet challenges	5	Likely	High	High	High
3	Inadequate library user education	4	Likely	Medium	High	High
4	Inadequate funding to the library facility	3	Likely	High	High	High
5	No security post at the Library	5	Likely	High	High	High
6	Malware (unauthorised users getting access to the library system)	5	Likely	High	High	High
7	Information resources theft	5	Likely	High	High	High
8	Inadequate fire extinguishers	4	Likely	High	High	High

**Table 7b: Mitigation Measures for Risks Identified: Nunya Library**

s/n	Identified Risk	Mitigation Measures	Mitigation Available	Yes (Timeline to restore)	Risk Owner
			(Yes / No)		
1	Inadequate staff	•	Yes		University Librarian
2	Internet challenges	•	Yes		University Librarian Director of ICT
3	Inadequate library user education	•	Yes		University Librarian

4	Inadequate funding to the library facility	•	Yes		University Librarian Director of Finance
5	No security post at the Library	•	Yes		University Librarian Head of Security
6	Malware (unauthorised users getting access to the library system)	•	Yes		University Librarian Director of ICT
7	Information resources theft	•	Yes		University Librarian Director of ICT
8	Inadequate fire extinguishers	•	Yes		University Librarian Head of Security