



LIMPOPO

PROVINCIAL GOVERNMENT
REPUBLIC OF SOUTH AFRICA

PROVINCIAL TREASURY

BUSINESS CONTINUITY MANAGEMENT POLICY

Table of Contents

ACRONYMS	4
1. INTRODUCTION	5
2. PURPOSE AND OBJECTIVES OF THE POLICY	5
3. AUTHORITY OF THE POLICY	7
4. LEGISLATIVE FRAMEWORK	7
5. SCOPE OF APPLICATION	7
6. DEFINITIONS	7
7. POLICY PRINCIPLES AND VALUES	10
8. STRUCTURE AND INSTITUTIONAL ARRANGEMENTS	10
8.1 Enterprise Risk Management Unit	10
8.2 Risk Management Committee	10
8.3 EXCOM	11
8.4 Business Continuity Management Committee	11
9. ROLES, RESPONSIBILITIES AND POWERS	11
9.1 MEC	11
9.2 HOD	11
9.3 Business Continuity Management Team	11
9.4 Information and Communication Technology Recovery	12
9.5 Line Management	12
9.6 Internal Audit and Risk Management	12
9.7 Communications Services Unit	13
9.8 All Employees	13
10. POLICY PROVISIONS	13
10.1 Emergency Management	13
10.2 Business Continuity	14
10.3 Information and Communication Technology Recovery	14
10.4 Pandemic\Epidemic	15
10.5 Training, Exercising, Maintaining and Review	15
10.6 Policy Implementation and Communication	16
10.7 Policy Monitoring and Evaluation	16

10.8 Exceptions and Exemptions..... 16

10.9 Grievance and/or Disputes 17

10.10 Limitations and Conditions 17

11 DEVIATION 17

12 INTERPRETATION OF POLICY..... 17

13 COMMENCEMENT DATE..... 18

14 TERMINATION AND REVIEW CONDITIONS..... 18

15 ENQUIRIES 18

16 RECOMMENDATION AND APPROVAL..... 18

ACRONYMS

The following acronyms are used in this Policy:

BC	-	Business Continuity
BCM	-	Business Continuity Management
ERM	-	Enterprise Risk Management
HOD	-	Head of Department
ICT	-	Information Communication Technology
ISO	-	International Organization for Standardization
LPT	-	Limpopo Provincial Treasury
MAD	-	Maximum Allowable Downtime
MEC	-	Member of Executive Council
MPL	-	Member of Provincial Legislature
RPO's	-	Recovery Point Objectives
RTO's	-	Recovery Time Objectives

1. INTRODUCTION

- a) Business Continuity Management (BCM) is a process that enables the Department to proactively identify and plan how to minimise the impact of risks that could affect its objectives, operations and infrastructure. BCM provides the capability for the Department to ensure continuity of critical activities and other business operations following any disruptive event.
- b) Whilst the Department does not have a statutory duty to undertake BCM, it is a business imperative. The Department has legal and moral responsibilities to its staff, stakeholders, contractors and visitors in ensuring continuation of its critical activities and to protect its reputation.
- c) Departments are fragile to disruptions that tend to hamper service delivery, because such disruptions contain high risks that impact the institutions' survival. All organisations, irrespective of size, industry and nature, have one common goal, "sustainability". For Limpopo Provincial Treasury to remain sustainable it needs to ensure uninterrupted operations in order to preserve its operational edge and maintain a positive image in the eyes of all its stakeholders.
- d) This policy endeavours to raise consideration on possible business disruptions and also to mitigate or prevent all foreseeable disruptions that may impact normal business operations.

2. PURPOSE AND OBJECTIVES OF THE POLICY

The purpose of this policy is to: -

- a) Communicate Business Continuity Management (BCM) Strategy and framework, responsibilities and guiding principles for the Limpopo Provincial Treasury to effectively prepare for and achieve its strategic BCM goals;
- b) Ensure that the Business Continuity activities are conducted and implemented in an agreed and controlled manner so as to achieve minimal impact to LPT from various disruptions;

- c) Achieve and maintain a Business Continuity capability that meets the needs of critical operations, fit for purpose and is appropriate to the size, complexity and nature of Limpopo Provincial Treasury's business.

The objectives of this policy are to: -

The main objective of the BCM Policy is to ensure that the department is ready to continue, recover and resume its primary business operations if it is affected by a business disruption. This Policy is aimed at making a stance on how Limpopo Provincial Treasury preserves Business Continuity activities.

The key objectives of the Policy are: -

- a) Establish adequate levels of prevention and resilience in Limpopo Provincial Treasury services to mitigate the impact of a potential disaster or other disruptions;
- b) Protect and support Limpopo Provincial Treasury's employees, assets in the event of disruption and resume critical activities;
- c) Support critical functions in a pre-defined time period as documented in the Business Continuity Plan;
- d) Resume normal business activities within the best possible timeframe to meet the RTO's, RPO's, MAD's contractual and legal requirements of BCM;
- e) Impart awareness of Business Continuity to all employees and, wherever applicable, to relevant external parties including subcontractors, consultants, suppliers and programmes that are periodically evaluated for relevance and effectiveness;
- f) Ensure necessary arrangements are made to support critical services in the event of a disruption with third-party service providers, vendors and suppliers;
- g) Ensure that BCM plans are regularly tested and updated to meet the changing needs of Limpopo Provincial Treasury; and
- h) Minimise the impact of a business disruption in the event of a major incident.

3. AUTHORITY OF THE POLICY

This policy is issued under the authority of the Member of Executive Council (MEC) as the Executive Authority and the Head of Department as the Accounting Officer for the LPT.

4. LEGISLATIVE FRAMEWORK

This policy framework is guided by the following prescripts:

NO	LEGISLATION
1	Constitution of the Republic of South Africa, 1996 (Act No. 108 of 1996).
2	Public Finance Management Act, 1999 (Act No.1 of 1999)
3	Public Service Act, 1994 (Proclamation No. 103 of 1994)
4	Public Service Regulation, 2016.
5	Occupational Health and Safety Act, 1993 (Act No 85 of 1993)
6	Disaster Management Act, 2002 (Act No 57 of 2002)
7	ISO 22301:2012
8	British Standards (BS) 25999-2:2007
9	Business Continuity Management Good Practice Guidelines

5. SCOPE OF APPLICATION

This policy shall apply to all officials of the LPT including but not limited to temporary personnel and consultants providing a service to the department.

6. DEFINITIONS

The following definitions are applicable for the purposes of this policy document:

BCM Tests	Regular tests that an organisation perform in order to reach a level of comfort that the recovery strategies and supporting infrastructure satisfies the recovery requirements.
------------------	---

Business Continuity Management (BCM)	The development, implementation and maintenance of strategies, plans, resources and actions to ensure the continued achievement of critical objectives in the event of a significant, untoward, crisis event.
Business Continuity Management Team (BCM Team)	A group of individuals functionally responsible for directing the development and execution of the Business Continuity Plan, as well as responsible for declaring a disaster and providing direction during the recovery process, both pre-disaster and post-disaster.
Business Continuity Plan (BCP)	A document containing all of the information required to ensure that the business is able to resume critical business activities should an emergency or disaster occur.
Communications Procedure	A set of strategies that describe how the Department intend to communicate the Business Continuity Management Plan to all staff and stakeholders.
Crisis	An untoward event that potentially or actually results in disruption of day to day functioning of a part or the whole of LPT, sufficient to require management to divert a portion of their attention, time, energy and resources away from business as usual activities.
Disaster	A disaster is the tragedy of a natural or human-made hazard that negatively affects society or environment.
Disaster Recovery	Activities and procedures designed to return the organisation's operations / functions to an acceptable condition following a disaster.
Emergency	Sudden, unexpected, or impeding situation that may cause injury, loss of life, damage to the property, and/or interference with the normal activities of a person and which therefore requires immediate attention and remedial action.
Emergency Management Plan (EMP)	A document outlining procedures and response to emergencies or disaster that are of a magnitude to cause a significant disruption of the functioning of all or portions of LPT.

Epidemic	A disease that affects a large number of people within a community, population, or region.
Event	The occurrence of a particular set of circumstances that creates an actual or potential emergency, disaster or other crisis situation.
Executive Authority (EA)	Member of Executive Authority, who also serves as the Political Head of Limpopo Provincial Treasury.
Hazard	A situation which poses a level of threat to life, health, property, or the environment.
Head of Department (HOD)	Head of Department, who also serves as the Accounting Officer of Limpopo Provincial Treasury
Information Communication Technology (ICT)	Refers to technologies that provides access to information through communication technologist which amongst other includes internet, wireless network, cell phone, and other communication medias.
Life-threatening	An event that has the potential of causing harm to the life of employees of the Department.
Limpopo Provincial Treasury (LPT)	Limpopo Provincial Treasury as a government department.
Maximum Allowable Downtime (MAD)	The absolute maximum time that systems can unavailable without direct or indirect ramifications to the organisation.
Pandemic	An epidemic occurring worldwide, or over a very wide area, crossing international boundaries and usually affecting a large number of people
Recovery Point Objective (RPO)	The amount of data at risk. it's determined by the amount of time between data protection events and reflects the amount of data that potentially could be lost during a disruption
Recovery Time Objective (RTO)	The targeted duration of time and a service level within which a business process must be restored after disruption.
Resilience	The power or ability to recover or return quickly to the original form or position.
Risk	The likelihood of threat materialising by exploitation of an event or incident to create vulnerability.

Risk Management Committee (RMC)	The Risk Management Committee of Provincial Treasury is a committee appointed by the Accounting Officer / Executive Authority to review the Institution's system of risk management.
Stakeholders	Individuals and organisations who are actively involved or whose interest may be positively or negatively affected as a result of application of this Policy
The Incident / Crisis Management Plan,	A set of organisation's documented plan of action to response and manage an incident and also to return to the business to service in a reasonable amount of time following a disruptive event.

7. POLICY PRINCIPLES AND VALUES

Policy development and management within the LPT shall be guided by the following principles:

- a) **Batho Pele.** Policies that are developed within the LPT should consider the principles of "People First" in the first instance in relation to the external clients and secondly in relation to the employees of the department.

8. STRUCTURE AND INSTITUTIONAL ARRANGEMENTS

8.1 Enterprise Risk Management Unit

The departmental structure provides for enterprise risk management unit whose function is to co-ordinate the implementation of business continuity management processes.

8.2 Risk Management Committee

The Risk Management Committee's mandate is to provide oversight function on the effective implementation of business continuity management processes and make recommendation to the Accounting Officer to continuously improve departmental resilience against any threats/disaster/incidents.

8.3 EXCOM

The Executive Committee provides leadership and guidance on key strategic BCM policy matters.

8.4 Business Continuity Management Committee

The Business Continuity Management Committee mandate is to provide oversight role into ensuring that business continuity management processes are effectively and efficiently implemented as per the departmental BCM plan and strategy.

9. ROLES, RESPONSIBILITIES AND POWERS

9.1 MEC

The MEC (Executive Authority) shall:

- a) Approve the policy, BCP, BCM Strategy and implementation plan.
- b) Set the tone at the top by supporting LPT's objectives for effective continuity before, during and after a business disruption;

9.2 HOD

The HOD (Accounting Officer) is responsible for:

- a) Creating a working environment that is conducive for the implementation of BCM policy.
- b) Holding management accountable for designing, implementing, monitoring and integrating BCM Programme into their day-to-day activities;
- c) Providing leadership and guidance to enable Management and internal structures responsible for various aspects of BCM to properly perform their functions; and

9.3 Business Continuity Management Team

- a) The BCM Team will consist of directors of the LPT critical and support functions;
- b) Maintaining a high level BCM coordination within Limpopo Provincial Treasury;

- c) Storing all BC documents in a central location according to the National Archives Standards and Records Management Services;
- d) Participating in all BCM programme activities;
- e) Facilitate the BCM programme management lifecycle;
- f) Overseeing the activities of tactical level teams;
- g) Highlighting all circumstance that may disturb the LPT's operations;
- h) Manifesting resilience during any operational disruption; and
- i) Participating in the entire BCM programme implementation.

9.4 Information and Communication Technology Recovery

- a) Assisting LPT before, during and after of a business disruption;
- b) Reporting to the BCM Team in terms of the readiness of the recovery plans;
- c) Maintaining ICT equipment that will assist LPT in times of a business disruption;
- d) Identifying and maintaining disaster recovery sites; and
- e) Arranging an ICT disaster recovery team.

9.5 Line Management

- a) All manager of LPT shall ensure that their subordinates comply with this Policy.
- b) Provide support to the BCM activities and initiatives;
- c) Avail resources in response to a business disruption and testing of recovery capability; and
- d) Embed BCM programme in daily operations.

9.6 Internal Audit and Risk Management

- a) Provide support to the BCM activities and initiatives;
- b) Assist to review all BC Plans in all levels – strategic, tactical and operational level;
- c) Coordinate with all LPT Critical Units and stakeholders in evaluating risk for BCM purposes; and
- d) Provide recommendations for improvement where necessary.

9.7 Communications Services Unit

- a) Provide support to the BCM activities and initiatives;
- b) Provide information on BCM to staff members of the department;
- c) Drafting a communications strategy for BCM programme; and
- d) Communicating with management and staff on BCM issues before, during and after declaration of a business disruption.

9.8 All Employees

- a) Provide support to the BCM activities and initiatives;
- b) Participating in all BCM information sessions and continuity process;
- c) Participate in all testing exercises; and
- d) Embed BCM programme in daily operations.

10. POLICY PROVISIONS

Business Continuity Management is concerned with improving the resilience of Limpopo Provincial Treasury after a disruption of normal business operations. This refers to the ability to detect, prevent, minimise and where necessary deal with the impact of disruptive events. In the aftermath of an incident this Policy will enable the critical activities of the Department to continue, recover and resume.

The Business Continuity Management (BCM) Programme enables the Department to respond to and manage any disruptions that occur. BCM Plans that will be developed in line with the BCM Programme include the Emergency Management Plan, Business Continuity Plan and Information, Communication Technology Recovery Plan (Disaster Recovery Plan) and Pandemic/Epidemic.

10.1 Emergency Management

- a) Emergency Management will focus on incidents that are life-threatening and have a negative impact on the health and wellbeing of employees. It is pivotal to have quick

response emergency solutions and being able to preserve the lives of as many employees as possible and thereafter protect the resources of the Department.

- b) Emergency procedures and teams have been established to facilitate the evacuation process, however, **the responsibility to speedily and safely evacuate the building during an emergency is the responsibility of every employee.** It is essential that during an emergency situation, all employees adhere to the evacuation procedures.

10.2 Business Continuity

- a) The department should be resilient in its operations, even after the occurrence of a disruptive event to achieve the overall goals and objectives of LPT. This can be best achieved by developing the Business Continuity Strategy, Communication Plan and Business Continuity Plan.
- b) The Business Continuity Plan (BCP) will be invoked when an event directly disrupts LPT critical operations as defined in the BCP, subject to an assessment by the relevant support functions; where disruptions can be managed through normal operational recovery processes the BCP will not be invoked.
- c) For continuity purposes, emphasis should be placed on the following: -
 - i. Continuity of LPT's critical activities: (Asset, Liabilities and Supply Chain Management, Sustainable Resource Management, Financial Governance, Shared Internal Audit Services and Corporate Management Services) after a disruptive event as detailed in the Business Continuity Plan:
 - ii. Sustainability of critical activities at an offsite area.
 - iii. Reinstate the normality of all activities and people's functions.

10.3 Information and Communication Technology Recovery

- a) In addition to the Department deploying back-up systems that will retrieve data and information, an Information and Communication Technology Recovery Plan needs to be documented. This plan should outline how ICT as an identified business area of support to BCM will ensure that information is retrieved after occurrence of a disruptive event.

- b) The following issues should be considered in developing the Information and Communication Technology Recovery Plan: -
- i. Off-site access to electronic data and information;
 - ii. Storage of critical information at an off-site area;
 - iii. Tested backed-up information saved on off-site areas;
 - iv. Develop and maintain all ICT Standard Operating Procedures (SOP`s); and
 - v. Adequate ICT infrastructure to support LPT requirements.

10.4 Pandemic\Epidemic

Whenever the National\Provincial Government declare a disaster due to a pandemic or epidemic the provisions of this policy as well as provisions by the National\Provincial Government will be applicable.

10.5 Training, Exercising, Maintaining and Review

- a) Limpopo Provincial Treasury will engage in maintenance tests to assess the feasibility of the BCM programme documents should an emergency/disaster occur.
- The tests will be run at least annually to ensure that the BCM plan is achievable and effective;
 - Managers or staff tasked with BCM must receive appropriate training to enable them to fulfil their functions. Those responsible for BCM must ensure that training needs are identified and training records maintained.
- b) Business Continuity Plans should be tested through exercises to develop teamwork, competency, confidence and knowledge which will be vital at the time of an incident of business disruption.
- Exercises should be realistic and carefully planned with clearly defined objectives appropriate to the LPT's recovery objectives;
 - Exercises should practice the organisation's ability to recover from a disruption and ensure that critical activities, their dependencies and priorities have been correctly identified.

- c) Exercises should highlight assumptions which may need to be questioned, instil confidence amongst the participants and all stakeholders, and raise awareness of Business Continuity throughout the LPT.

10.6 Policy Implementation and Communication

- a) The BCM team will manage the process of implementation of this Policy and the procedures associated with it thereof, by means of awareness programmes and interactions with stakeholders on how to implement Business Continuity solutions. The ERM unit will also ensure that this policy is available on the LPT intranet for further reference of all employees.
- b) It is the responsibility of the employer to ensure that all employees are made aware of the contents of this Policy, and receive appropriate training and education with regard to the contents of this Policy and their roles.
- c) It is the responsibility of the employee to ensure that their safety becomes their priority.

10.7 Policy Monitoring and Evaluation

- a) The BCM team shall capture the key performance indicators that will be used to measure and monitor how effective the Policy is, including reporting requirements. The application and effectiveness of the Policy shall be reviewed at least annually or as and when required; amendments shall be made to comply with legislation, applicable resolutions and the constitutional framework.
- b) The BCM process is a circular and vital process that does not end once it is written. It should be reviewed and tested at least on an annual basis or as and when required to ensure it remains fit for purpose.

10.8 Exceptions and Exemptions

- a) Deviations from this Policy shall only be permitted under the following circumstances: -
 - i. A breach of security in order to save or protect the lives of people;
 - ii. During uncontrollable incidents such as natural disasters; and / or

- iii. With written permission of the Accounting Officer/Executive Authority of Limpopo Provincial Treasury.

10.9 Grievance and/or Disputes

Grievances and/or disputes emanating from the Business Continuity Management Policy shall be dealt with in terms of LPT's Labour Relations policies, procedures and / or any relevant legislation.

10.10 Limitations and Conditions

Although the BCM forms part of the internal control system of LPT, this Policy does not provide guarantee that disruptive event will not happen within the Department, however, this policy and relevant implementation plans will serve as measures to minimise the impact of the business disruption and ensure resumption of LPT critical activities as per timeframes stipulated in the BCP.

11 DEVIATION

Any employee who contravenes the provisions of this policy, which may lead to violations of the Public Service Code of Conduct, may be subjected to disciplinary process.

Any deviation to this policy is subject to approval in writing by the MEC or delegated official.

12 INTERPRETATION OF POLICY

Should there be any dispute about the interpretation or application of this policy, the enabling legislation will take precedence.

13 COMMENCEMENT DATE

The commencement date of this policy will be on the date of its approval or 30 days after approval, where there are no systems in place to implement the policy.

14 TERMINATION AND REVIEW CONDITIONS

This policy will be reviewed by LPT after 36 months or when necessary. The amendments resulting from the review will be processed in line with the Policy Development Framework. However, where it is deemed not necessary to review the policy, evidence of the process leading to such a decision should be provided.

This policy will remain in force until and unless it has been withdrawn and amended by Executing Authority.

15 ENQUIRIES

Enquiries regarding this policy should, in the first instance be directed to the Enterprise Risk Management Unit.

16 RECOMMENDATION AND APPROVAL

Recommended for approval by:



GC Pratt CA (SA)
HEAD OF DEPARTMENT

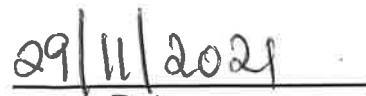


Date

APPROVED BY:



**SC Sekoati (MPL)
MEMBER OF EXECUTIVE COUNCIL**



Date