



DR NKOSAZANA DLAMINI ZUMA LOCAL MUNICIPALITY

ICT BUSINESS CONTINUITY PLAN

BUSINESS CONTINUITY MANAGEMENT POLICY

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BUSINESS CONTINUITY MANAGEMENT POLICY

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1. Terms and Definitions

Table 1: Abbreviations, Acronyms and Terms

Abbreviation	Term	Description
BIA	Business Impact Analysis	The process by which the impact of a disaster on the department or function is assessed in terms of people, environmental, social, technological, legislative and economic impacts.
BCM	Business Continuity Management	A holistic management process that identifies potential threats to an organisation and the impacts to business operations that those threats, if realised, might cause, and which provides a framework for building organisational resilience with the capability for an effective response that safeguards the interests of its key stakeholders, reputation, brand and value-creating activities. (Extract from BS25999 Part 1)
BCP	Business Continuity Plan	The process of developing advance arrangements and procedures that enable an organisation to respond to an event in such a manner that critical business functions continue with planned levels of interruption.
BRC	Business Recovery Coordinator	The Business Recovery Coordinator has overall accountability and responsibility for the coordination of the Business Continuity Recovery, the recovery strategy and overall monitoring of all BCM processes.
IT DRP	Information Technology Disaster Recovery Plan	The document that defines the resources, actions, tasks and data required to manage the business recovery process in the event of a business disruption. The plan is designed to assist in restoring the

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		business process within the stated disaster recovery goals.
RA	Risk Assessment	A formal process of risk identification, risk analysis and risk evaluation.

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2. Executive Summary

The Nkosazana Dlamini Zuma Local Municipality (DR NDZ) has instituted an organisation-wide Business Continuity Management System ("BCMS").

The DR NDZ's BCMS has been modelled on the international good practice standard as prescribed by the Business Continuity Institute, the British Standard for Business Continuity Management (BS 25999).

It is DR NDZ's policy to conduct its business with the highest regard for the safety and health of its employees, visitors, and contractors and for the protection and preservation of its property and the environment. Continuity of operations is vital and must be maintained even under the most adverse circumstances.

It is therefore vital that all DR NDZ's operations have practical and robust plans to respond to any major threat or incident.

Business Continuity is a corporate governance requirement (per the King III Code of Corporate Governance) and an essential aspect of the Auditor General's audit requirements. The continuity of business operations by way of the earliest recovery will serve to protect the interests of all DR NDZ's stakeholders.

The DR NDZ's Business Continuity Plan ("BCP") identifies and evaluates risks to its assets and operations, provides reactive procedures to mitigate the effects of unforeseen losses by having processes of continuity and recovery in place which are regularly audited, tested and updated.

More specifically, the BCP will cover:

- a. A reference to this BCM Policy;
- b. Results of Business Impact and Risk Assessments (also known as BIAs and RAs);
- c. Alternate Recovery Strategies;
- d. Exercising, maintaining and reviewing the BCM arrangements.

To ensure that the BCP delivers an integrated process, the plan will need to be reviewed, tested and updated regularly, at minimum once in a year, which will then need to be approved by the Municipal Manager ("MM"). This will ensure that the BCP is up to date and that any changes to the DR NDZ's organisational structure, processes, key staff and systems are reflected in the BCP.

The BCMS will ensure that DR NDZ's business continuity objectives are clearly stated, understood and communicated. In addition, Executive Management's commitment to BCM is demonstrated, resources are allocated and those with the BCM responsibilities are competent to perform their roles.

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3. Objectives of the Policy

The overall objective of this Policy is to provide guidance to management for an orderly and timely recovery from a disaster or disruptive incident in order to:

- a. Protect the operations of the municipality, consumers, licensees, stakeholders and staff by minimising the impact of serious interruption to the municipality through the effective implementation and maintenance of BCM arrangements.
- b. Recover the critical operations in a planned and controlled manner to meet the requirements of the municipality, law, regulation, or other factors; and
- c. Ensure that business continuity is an essential part of business planning and future development.

In order to achieve the above objectives, the command and control structure must be well established.

4. Application of the Policy

This policy applies to all DR NDZ's officials and operations (Main Office Building and other DR NDZ sites).

5. Legislative Framework

The Disaster Management Act (Act No. 57 of 2002) defines a disaster as a progressive or sudden, widespread or localised, natural or human-caused occurrence which:

- a. Causes or threatens to cause:
 - Death, injury or disease;
 - Damage to property, infrastructure or the environment; and/or
 - Disruption of the life of the community.
- b. Is of a magnitude that exceeds the ability of those affected by the disaster to cope with its effects using only their own resources.

Other Acts relevant to the BCMS include:

- a. Promotion of Access to Information Act, 2000 (Act No 2 of 2000);
- b. Electronic Communications and Transactions Act (ECTA), 2002 (Act No. 25 of 2002); and
- c. Minimum Information Security Standards.

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6. Policy Commencement

All DR NDZ's personnel and systems must comply with the statements in this policy from the date of release.

7. Policy Interpretation

ICT Manager shall be responsible for interpretation of this policy, resolution of problems and conflicts with local policies, and special situations.

8. Policy

8.1. Risk to the Municipality

The DR NDZ considers any factors that have a significant impact upon employees, community or resources as risks. These risks are measured in terms of its perceived impact to the DR NDZ's operations or reputation and the likelihood of these risks occurring.

A significant impact will be considered as any incident which adversely affects the continuity and availability of the DR NDZ's operations, or leads to significant financial losses, reputational damage or legal liabilities.

The DR NDZ's risk appetite and impact rating scales used in the BCMS should complement the existing Risk Management Framework and Policy.

As per DR NDZ Risk Management Policy

8.2. Business Continuity Management System

Experience has shown that an organisation is far more likely to recover from a disaster if it has thought about business continuity risks and how to mitigate them in the event that a catastrophic disaster occurs.

The DR NDZ's commitment to managing risk and BCM is evidenced in this policy by integrating risk identification, risk management and consistent reporting into the daily operations of the DR NDZ. BCM should therefore become part of the day-to-day culture of the DR NDZ.

The responsibility for the identification, management and consistent reporting of Business Continuity related risks will be the responsibility of various individuals within the DR NDZ as indicated below:

- a. As part of good corporate governance, the accountability for BCM should be assigned to top level management structures of the DR NDZ. The MM will ultimately be accountable for the response and recovery capability of the BCMS.

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- b. All Departments' Managers will be responsible for the identification and assessment of Business Continuity related risks within their planning activities. The identification of Business Continuity related risks may be facilitated by means of BIAs and RAs on an annual basis or after a significant change in the business such as organisational restructure or the movement of premises.
- c. All Departments' Managers will be responsible for the monitoring of Business Continuity related risks on a continual basis as well as the communication of such risks to staff members on a regular basis.
- d. All departments' Departments' Managers must maintain the following documentation as part of the BCMS:
 - Completed and signed-off BIA documentation for every department within the DR NDZ;
 - Completed and signed-off RA documentation which should be conducted for all the facilities from which the DR NDZ operates on a day-to-day basis; and
 - Revised and signed off Business Recovery plans which support the overall BCP for each of the department within the DR NDZ.
- e. Regular discussions and inputs relating to Business Continuity related risks should be prompted by Departments' Managers to all staff members to ensure that BCPs and responsibilities are understood by all DR NDZ's staff members.
- f. All DR NDZ staff will be responsible for imbedding BCM activities within the municipality by familiarising themselves with the Business Recovery plans developed for their departments. It is also the responsibility of all the DR NDZ's staff to implement risk strategies and inform Departments' Managers of potential Business Continuity related risks as soon as they become aware of such risks.

In order to emphasis the DR NDZ's commitment to the community, employees and stakeholders, the DR NDZ will ensure that critical services are resumed at the earliest time possible in the event of any incident and also to make all necessary efforts to safeguard the lives of personnel and public within its premises.

The DR NDZ will provide:

- a. A BCMS which will consist of a comprehensive Business Continuity (BC) and ICT Disaster Recovery (DR) Manager which will implement and operationalise BC and ICT DR measures within the DR NDZ;
- b. BC and ICT DR teams who will be responsible for updating the relevant documentation relating to BC and ICT DR;
- c. BC and ICT DR teams who will ensure that the plans are capable of supporting a minimum acceptable level of service from a business and ICT perspective; and

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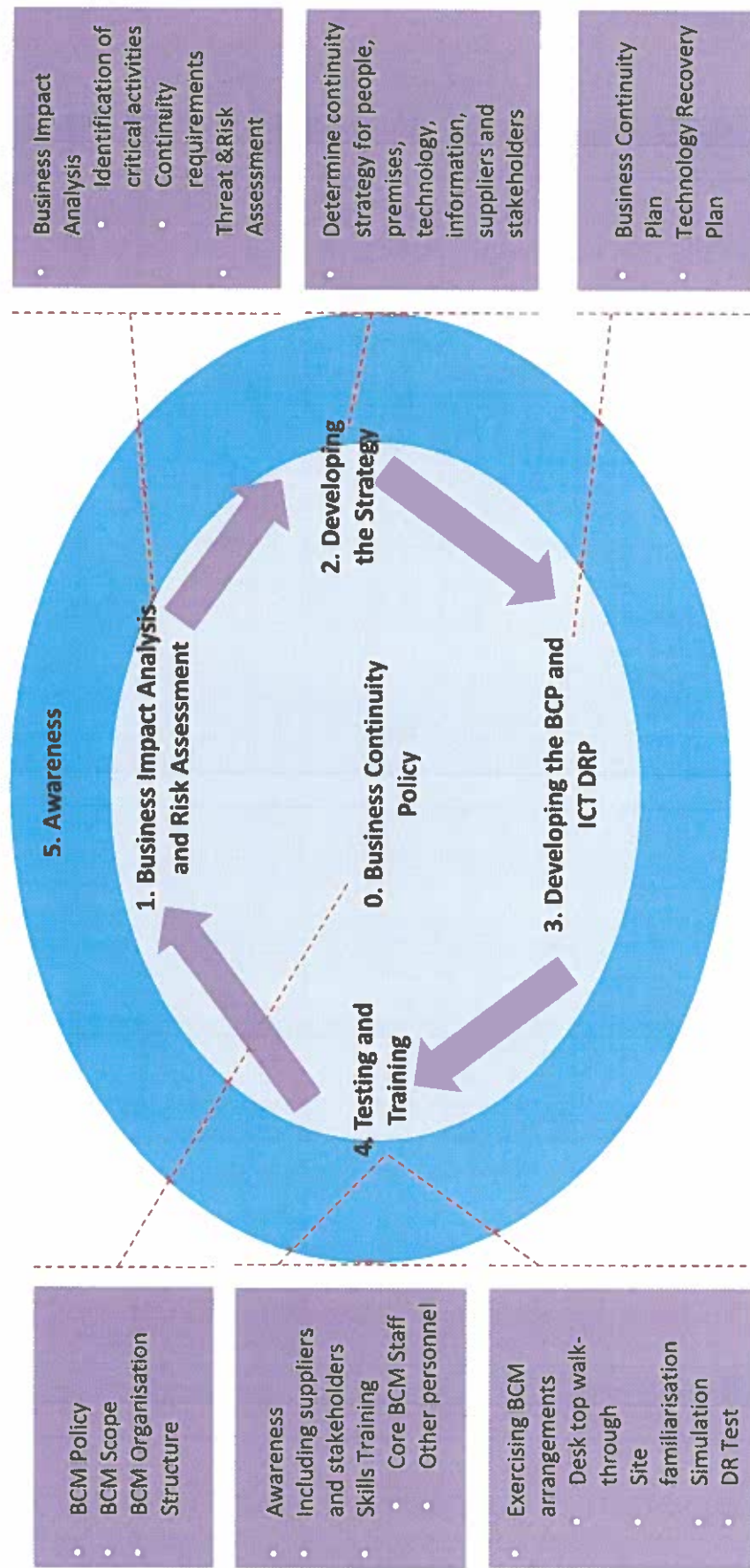
- d. Departments' Managers, BC and ICT DR teams who will collectively be responsible for reviewing key elements of the BCMS by means of testing and exercising the effectiveness of the BC and ICT DR controls and role-players implemented as part of the BCMS.

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8.3. Key Steps in the Business Continuity Management System

In order to achieve a sustainable BCMS, the following BCMS lifecycle steps should be performed on an ongoing basis:

Figure 1: Lifecycle of the Business Continuity Management System



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The above mentioned steps should be performed by means of the following activities:

8.3.1. Phase 0 – Business Continuity Policy

This BCM policy and the DR NDZ's management of the BCMS implementation and maintenance shall be formally reviewed at least once a year to ensure that it adequately supports the BCMS activities and teams.

8.3.2. Phase 1 – Business Impact Assessment

A formal Business Impact Analysis ("BIA") shall be carried out at least once a year by management in order to determine the business requirements for a BCP and ICT DRP. This should also be completed as and when a large DR NDZ change occurs e.g. restructuring of operations, changes in the ICT environment, critical processes etc.

8.3.3. Phase 2 – Risk Assessment

A formal Risk Assessment ("RA") to assess availability and Business Continuity related risks shall be carried out at least once a year by management in order to understand the risk landscape of the municipality and to implement strategies to mitigate these risks from occurring.

8.3.4. Phase 3 and 4 – Business Continuity Management

Strategies to deliver the requirements defined during the BIA stage and to mitigate risks identified during the RAs, shall be agreed and implemented by management. The DR NDZ will nominate Business Continuity response personnel with the necessary responsibility, authority and competency to manage an incident. The DR NDZ will develop plans that detail how disasters are to be managed.

8.3.5. Phase 5– BCM Testing

Critical areas of the BCMS shall be tested and role-players exercised at least once a year and modifications shall be made where necessary to take account of the exercise results.

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8.3.6. Phase 6– BCM Training and Awareness

All staff, including temporary staff, shall be trained or made aware of relevant BCM information at least once a year so that they are familiar with the BCMS Organisation, Policies, communication and recovery procedures, and are confident in their roles during an incident.

8.3.7. BCM Maintenance

The BCMS shall be continuously monitored to ensure that changes in the way business functions are incorporated and changes in the supporting infrastructure are reflected in the BCMS Strategy, Procedures and Plans. Improvements identified as a result of testing and training shall also be included in the BCP. All changes shall be assessed as part of change management.

8.3.8. BCM Internal Audit

The DR NDZ's Internal Audit function shall, as part of their annual planning exercise, include BCMS activities and plans for all applicable departments or for any ad-hoc reviews.

8.3.9. BC Management Review

The DR NDZ and the BCM teams shall conduct self-assessments bi-annually (sixth monthly) to ensure that the Continuity Plans are up-to-date. BCM Steering Committee meetings should be held at least quarterly to review BCM issues and progress.

8.3.10. Preventative Actions

The DR NDZ must ensure that steps are taken to periodically conduct risk assessments and review the BCMS policies, procedures and plans to identify potential non-conformities and their causes to reduce or eliminate the chances for BCM failures. All such action taken shall be documented.

8.3.11. Corrective Actions

The DR NDZ shall take action to eliminate the cause of non-conformities identified with the implementation and operation of the BCMS to prevent their recurrence. All such action taken shall be documented. ***For more details on corrective actions, reference should be made to Training Awareness Plan.***

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8.4. Key Macro Risks

It is important that key risks are identified through consultation between the DR NDZ and risk management section to ensure that the risk appetite is understood as it pertains to BC and ICT DR. This policy applies to the availability of risks which will have a significant impact on the DR NDZ and for which the risk assessment process will ensure that risks are identified year-on-year and that the appropriate measures to reduce the impact of these risks are implemented. Any risks that fall outside of significant impact category will be dealt with from an overall Enterprise Risk Management ("ERM") perspective.

Conditions leading to improvement areas that cannot be corrected within this timeframe must be communicated and approval requested from the MM. The Business Recovery Coordinator ("BRC") and ICT Manager will be responsible for tracking and resolution of their respective issues.

9. Violation / Non-Compliance with this Policy

Safety of employees and continuity of operations during an incident is the responsibility of everyone affiliated with the DR NDZ or directly accessing the DR NDZ's premises, systems, data in any form and information entrusted to the DR NDZ by other third parties. The BCMS related policy statements described above define the basic minimum level of requirements for safety, availability, and continuity of the DR NDZ's resources and services.

The policies also provide guidelines for developing, maintaining, and exercising BCP's. Non-compliance with the required measures and behavior's outlined in this policy could pose significant business and legal risks to the DR NDZ and may create a potential for legal actions that could significantly impact the DR NDZ's operations and damage its assets and reputation.

Therefore, compliance with all the DR NDZ's BCMS-related policies is mandatory conditions for employment for all staff, as well as any third parties (such as outsourcing providers, contractors, etc.). No one is permitted to bypass the BCMS related Policy statements provided by the DR NDZ for any reason. Failure to comply with this policy will be reported and disciplinary action may be taken. Such action may include, but is not limited to, reprimand, financial penalties, termination of employment, and/or legal action.

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10. Policy Amendment/Repeal

Any amendments to this policy must be submitted to the ICT Governance Committee /ICT Steering Committee by the units' managers. The ICT Unit will effect the necessary changes and the policy will be approved in terms of the municipality's policy approval process.

11. Exceptions, Migrations and Timeframes

All DR NDZ's personnel and systems must comply with the statements in this policy from the date of release.

Where a longer transition is required to achieve compliance, a documented justification must be submitted with proposed timelines as an exception to the DR NDZ's MM for the approval.

Any exceptions to this Policy must be clearly documented and submitted to the DR NDZ's MM for evaluation and approval. Only exceptions which have been approved are valid.

All exceptions to this Policy will be fully motivated and documented by those seeking the exception, and agreed to by the relevant affected parties. All exceptions will be reviewed at least annually by the relevant Individual/s tasked with risk management around the particular area/s affected by the exception.

12. Approval

Signature	Approved by	Date
	S.J. Sonderu	28 May 2026