



Annexure 3: Risk Elements

T2.2-xx: Returnable: Enterprise Risk and Business

Continuity Management Requirements (Due Diligence)

Tenderers to identify and evaluate the potential risk elements associated with the Works/ Services etc. and possible mitigation thereof. The risk elements and the mitigation as identified thereof by the Tendered are to be submitted.

If no risks are identified "No Risk" must be stated on this schedule.

Tenders are also to evaluate any risk/s stated by the Employer in Contract Data Part C1 and provided possible mitigation thereof.

Tenderers to demonstrate their understand of for potential Business Continuity threats, through a relevant Business Impact Analysis process and measures to be implemented to recover associated Works/ Services within pre-defined recovery times, to ensure Business Continuity.

Attached submissions:

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Tenders to note: Notwithstanding this information, all costs related to risk elements which are at the Contractor's risk are deemed to be included in the tenderer's offered total of the Prices.

The Due Diligence of the Tenderer's Risk Elements will be as follows:

1. Due Diligence Elements: Risk Management and Business Continuity Management	
Tender Number: HOAC-HO- 44020	
Tender Description: RFP TO REFRESH A STANDING APPROVED LIST FOR NEW INSTALLATIONS, PROVISION OF SPARES AND REPAIRS FOR VARIOUS TRAIN AUTORIZATION SYSTEMS (TAS) EQUIPMENT (ALSO KNOWN AS SIGNALING EQUIPMENT).	
1.1. Business Impact Analysis	Due Diligence
1.1.1. Identification of critical processes within the project / service: Demonstrate that the critical activities and/ or processes are identified. These are activities and/ or processes if disrupted prevent project completion / service delivery. 1.1.2. Recovery Time Objective (RTO) in case of any interruption that may arise: Detail for each of the above critical activities and/ or processes what is the determined acceptable recovery time objective for re-instatement of the activity/ process (consider all applicable SLA or regulatory requirements). 1.1.3. Recovery Strategy: How will the service provider/ supplier recover - Detail the step-by-step process as to how the critical activities and/ or processes will be recovered? In which order? Whom is to undertake the recovery etc. 1.1.4. Operational dependencies: Note all internal and external dependencies for the recovery of the listed critical activities and/ or processes e.g.: Operational equipment, telephones etc. needed to ensure continuity. 1.1.5. Alternative supply of equipment and/ or supply of extra staff: Provide adequate information on how alternate equipment or additional experienced staff will be secured if a BCM incident negatively impacting these resources as originally allocated for completion of a project/ delivery of a service. 1.1.6. Battle Box: Provide details on whether a battle box is established and what it entails/ contains. This may be either a physical collection or an electronic repository of recovery plans, other necessary documentation, templates, memo's, letter heads etc. required for re-instatement of business-critical systems. In some instance this can also include off-site stores of certain equipment or electronic devices etc.	The 6 listed elements for the BIA are required. All elements will be assessed as per the guide provided, for adequacy and relevance to the project / service offering etc. and a due diligence report provided.

1.2. Business Continuity Plan	Due Diligence
Business Continuity Plan or related annexures to the plan must contain: 1.2.1. Emergency operating procedure: Must detail the steps to be followed following a emergency situation/ incident for the site / location of impact. 1.2.2. Business Continuity Invocation Action: Once the incident is under control and its impact determined and assessed, this details the when, the how and by whom the BCP will be invoked. 1.2.3. Project Recovery Resources: Identify and list the recovery resources. These maybe additional resources or re-arrangement of existing resources as required to support the recovery of critical activities and/ or processes as detailed in the BCP, within the RTO. 1.2.4. Business/ Supplier Contact List: Demonstrate that these have been identified and means to easily contact them is in place. 1.2.5. Emergency Contacts: inclusive as per item 1 to initially deal with the incident (emergency services etc), then thereafter must also include the BCM recovery team members, names and contact details.	The 5 listed elements for the BIA are required. All elements will be assessed as per the guide provided, for adequacy and relevance to the project / service offering etc. and a due diligence report provided.
1.3. Risk Management Plan - Project/ Operational Risks be based on the scope of works / services etc.	Due Diligence

The Risk Management Plan based on the scope of works, must contain the following: 1.3.1. Identification of Risks of Project / Service Interruption during the project: A risk register that contains the identified risks of service interruption and / or non-delivery of services etc. during the project. Demonstrate an understanding of the internal and external threats to effective service delivery within scope and to quality. 1.3.2. Risk Analysis Methodology: Demonstrate for risk identified, the causes, risk consequence/ impact and risk likelihood/ probability rating and how the risk rating is calculated. The methodology may also provide a view on the effectiveness of controls and the residual risk after application of controls. 1.3.3. Ranking of the Risks: Once the risk register is completed a risk heat map and listing of the risks by name/ risk description from highest to lowest ranked risk be provided. 1.3.4. Mitigation of the identified risks: Provided in the risk register for each assessed risk the controls in place to manage the risk along with additional risk tasks to further mitigate the risk. 1.3.5. Responsible person: Ensure the risks have assigned risk owners, assigned control owners for the checking on controls and any other person assigned a risk action to complete under the risk register.	The 5 listed elements for the BIA are required. All elements will be assessed as per the guide provided, for adequacy and relevance to the project / service offering etc. and a due diligence report provided.
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