

Annexure 3: Risk Elements

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

1. Due Diligence Elements: Risk Management and Business Continuity Management	
1.1. Business Impact Analysis	Due Diligence
<p>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.</p> <p>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).</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>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.</p>	<p>The 6 listed elements for the BIA is required.</p> <p>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.</p>

1.2. Business Continuity Plan	Due Diligence
<p>Business Continuity Plan or related annexures to the plan must contain:</p> <p>1.2.1. Emergency operating procedure: Must detail the steps to be followed following a emergency situation/ incident for the site / location of impact.</p> <p>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.</p> <p>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.</p> <p>1.2.4. Business/ Supplier Contact List: Demonstrate that these have been identified and means to easily contact them is in place.</p> <p>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.</p>	<p>The 5 listed elements for the BIA is required.</p> <p>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.</p>
1.3. Risk Management Plan - Project/ Operational Risks be based on the scope of works / services etc.	Due Diligence
<p>The Risk Management Plan based on the scope of works, must contain the following:</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>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.</p>	<p>The 5 listed elements for the BIA is required.</p> <p>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.</p>