



STANDARD RISK MANAGEMENT
PROCEDURE

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BUSINESS CONTINUITY MANAGEMENT PROCEDURE

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3	13/06/23	<u> </u> P MJADU Risk Specialist	<u> </u> Z MTHIYANE GM HSEC		Rev 3: 4. References – ISO 22301:2012 to ISO 22301:2019
2	15/02/21	<u> </u> P MJADU Risk Specialist	<u> </u> Z MTHIYANE GM HSEC		Rev. 2 – 1. Purpose 2. Scope 3. Definitions 4. References 5. Responsibilities And Authorities 6. Procedure 7. Reporting
1	09/09/08	<u> </u> R.R. Harikaran Assistant Risk Manager	<u> </u> D.E. Morris Risk Manager	<u> </u> — A.J. Waller General Manager Finance	REV 1 – Additional guidelines and documentation information
0	06/06/05	<u> </u> — D.E. Morris Risk Manager	<u> </u> General Management forum	<u> </u> — A.J. Waller GM Finance	ORIGINAL
Rev. No.	Rev. Date	Prepared By	<u>Name / Signature</u> Approved By	<u>Name / Signature</u> Approved By	<u>REVISION SUMMARY</u>



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1. PURPOSE

The purpose of this procedure is to ensure an overall management system that establishes, implements, operates, monitors, reviews, maintains and improves business continuity within RBCT. To also enable RBCT to establish a uniform approach to departmental business continuity plans, enable RBCT management to adequately manage the enterprise in the event of a business disruption. This procedure will be used in conjunction with the Emergency Preparedness Plans.

2. SCOPE

This Procedure covers the response to a business disruption should it occur. This procedure is applicable to RBCT employees, contractors and all external stakeholders.

3. DEFINITIONS

Business Continuity – The capability of RBCT to continue delivery of services at acceptable redefined levels following a disruptive incident.

Disruption: An event that interrupts normal business, functions, operations, or processes, whether anticipated (hurricane, political unrest) or unanticipated (blackout, technology failure).

Risk: An effect of uncertainty, which prevents RBCT from meeting its objectives.

Recovery Time Objective (RTO): Period of time following an incident within which product or service must be resumed, or activity must be resumed, or resources must be recovered.

Recovery Point Objective (RPO): Point to which information used by an activity must be restored to enable the activity to operate on resumption. This is the point of recovery of IT data prior to incident.

Maximum Tolerable Period of Disruption (MTPD): Time it would take for adverse impacts, which might arise as a result of not providing a product/service or performing an activity, to become unacceptable.

Maximum Business Continuity Objective (MBCO): Minimum level of services and / or products that is acceptable to the organization to achieve its business objectives during a disruption.



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4. REFERENCES

- Business Continuity Policy Ref: FP001
- Business Continuity Plans
- The Business Continuity Institute Good Practice Guidelines (2018);
- Security and Resilience – Business Continuity Management Systems - Requirements (ISO 22301:2019)
- Emergency Preparedness Plans

5. RESPONSIBILITIES AND AUTHORITIES

ROLE	MANAGING THE BUSINESS CONTINUITY PROGRAM	IN THE EVENT OF A BUSINESS DISRUPTION
Chief Executive Officer	<ul style="list-style-type: none"> • Sponsor the Business Continuity Program. • Participate in Business Continuity testing and exercising. • Appropriately resource the Business Continuity functions. • Endorse the Business Continuity Management Policy. 	<ul style="list-style-type: none"> • Provide a focal point for RBCT in order to ensure the public and media receive correct non-contradictory, information. • Ensure staff and stakeholders are made aware of the problems. • Ensure the Emergency Management Team Leader and Incident Site Officer together with the Emergency Management Team has the resources and support necessary to do their job.
Incident Site Officer (ISO)	<ul style="list-style-type: none"> • Contribute to the development and review of the Business Impact Analysis. • Contribute to the development and update of the Business Continuity Plan. • Participate in tests and exercises of the Business Continuity Plan. • Receive training on their specific roles, as well as good practice in Business Continuity Management and other related standards. 	<ul style="list-style-type: none"> • Assess the extent of damage to building, facilities and equipment. • Report to the Emergency Management Team Leader (and Chief Executive Officer if necessary). • Decision to activate the Emergency Preparedness Plan.



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		<ul style="list-style-type: none"> • Lead and project manage the Emergency Preparedness Team.
<p>Support Areas / Divisional Heads and recovery teams</p>	<ul style="list-style-type: none"> • Contribute to the Business Impact Analysis. • Contribute to the development and update of the Business Continuity Plan – to ensure information is updated and accurate. • Prepare the Recovery Plan for their respective division. • Participate in tests and exercises of the Business Continuity Plan. 	<ul style="list-style-type: none"> • Contact the staff required for the recovery team. • Convene status meeting with team members of their respective divisions. • Assist with disaster assessments as required. • Continually assess and address the entity’s needs (for the division area of expertise). • Determine requirements and coordinate acquisition of equipment, furniture, stationery and communications resources necessary for recovery. • Liaise with other recovery teams.

Role	Responsibility	Task Description
Risk Specialist	Develop and amend this document for approval by the GM HSERC	Review procedure and update when necessary
General Managers, Managers	Adherence to the Business Continuity Procedure	Maintain up to date departmental business continuity plans



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6. PROCEDURE

6.1 Business Continuity Management

RBCT's business strategies and decisions are based on the assumption that it will continue to operate as normal on a daily basis. The objective of Business Continuity Management is to ensure business resilience and recover in predefined levels following a business disruption, and the uninterrupted availability of all critical business resources to support essential (or critical) business functions. In order to ensure delivery of business continuity RBCT will ensure the following:

6.1.1 Business Impact Analysis

Business Impact Analysis is the foundation on which BCM is built. It identifies, quantifies and qualifies the impacts in time of a loss, interruption or disruption of business activities in RBCT and provides the data from which appropriate continuity strategies can be determined. The purpose of the BIA is to:

- Document the impacts over time that would result from loss or disruption;
- identify the maximum tolerable period of disruption or outage;
- determine the priorities for recovery;
- identify the dependencies and resources (both internal and external) that are required to achieve agreed service levels.

BIA will be reviewed and updated annually and/or after any business changes.

6.1.2 Design

It is the process within the BCM Lifecycle that identifies and selects appropriate strategies and tactics to determine how continuity and recovery from disruption will be achieved. The purpose is to set the agreed RTO for products, services, processes and activities. Identify the means or appropriate strategies and tactics to achieve recovery targets (RTO & RPO). This is achieved in three organizational level namely strategic, tactical and operational. The strategies and tactics of recovery are explained in RBCT's Business Continuity Plans, Emergency Preparedness Plan and IT Disaster Recovery Plans.



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6.1.3 Implementation

Implementation is the process within the BCM Lifestyle that executes the agreed strategies and tactics through the process of developing the Business Continuity Plan (BCP). The aim is to identify and document the priorities, procedures, responsibilities and resources to assist the organisation in managing a disruptive incident, while implementing continuity and recovery strategies to a pre-determined level of service. Other critical plans which support the BCP include:

- Emergency Preparedness Plan
- IT Disaster Recovery Plan

The BCP together with BIA will be reviewed annually and signed off.

6.1.6 Validation

It is the process to confirm that the BCM program meets the objectives set in the BC Policy and that the plans are fit for purpose. Validation is achieved through the following three activities:

- **Exercising;** to ensure that all aspects of the response to the incident have been implemented and effective. The types of exercises to be used are:
 - Discussion-based exercises;
 - Walk through of plan;
 - Table (desk) top exercises;
 - Live (i.e. evacuation);
 - Test.

The methods and techniques to be used:

- Planning the exercise;
- Starting the exercise;
- Ending the exercise;
- Debriefing of the exercise.

Following the exercise:

- The finding and recommendations of the exercise are captured and submitted to the relevant stakeholders.



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- **Maintenance**; to ensure that BCM programme and plans are up to date, relevant and that RBCT remains ready to manage incidents effectively. Maintenance activities are identified through:
 - Lessons learned through exercising;
 - Changes in the environment in which the organization operates;
 - A review particularly an audit;
 - A real incident, when lessons learned can be incorporated; and
 - Updated or changed BIA outputs.
- **Review**; to evaluate the BCM programme and identify areas of improvement that how BCM has been implemented and the level of RBCT resilience.

6.2 Business Continuity Management Link to Risk Management

Business Continuity Management is inseparably linked to Risk Management, one is the consequence of the other. Risk management is concerned with minimising the probability of an impact caused by a negative event. Creating strategies to minimise the probability that an unwanted event will impact on RBCT certainly might not prevent the incident from taking place. Understanding that every incident is not preventable, our other line of defence is to minimise the impact, that is when the BCM comes in. BCM is concerned with minimising the impact upon the organisation after the event has occurred, and restoring the business to its normal operations to deliver the services as quickly and safely as possible. The combination of risk management and business continuity management provides a level of resilience that RBCT aims to achieve.

6.3 Business Continuity Guidance

Phase 1: Incident Response Phase

This is the initial stage when the incident triggers the invocation process of business continuity plans. In the event of a significant business interruption, the response will be activated as follows:

A three tier structure is followed to manage the incident:

- Level 1 – Operational, managed on site with all Emergency Preparedness Plans.



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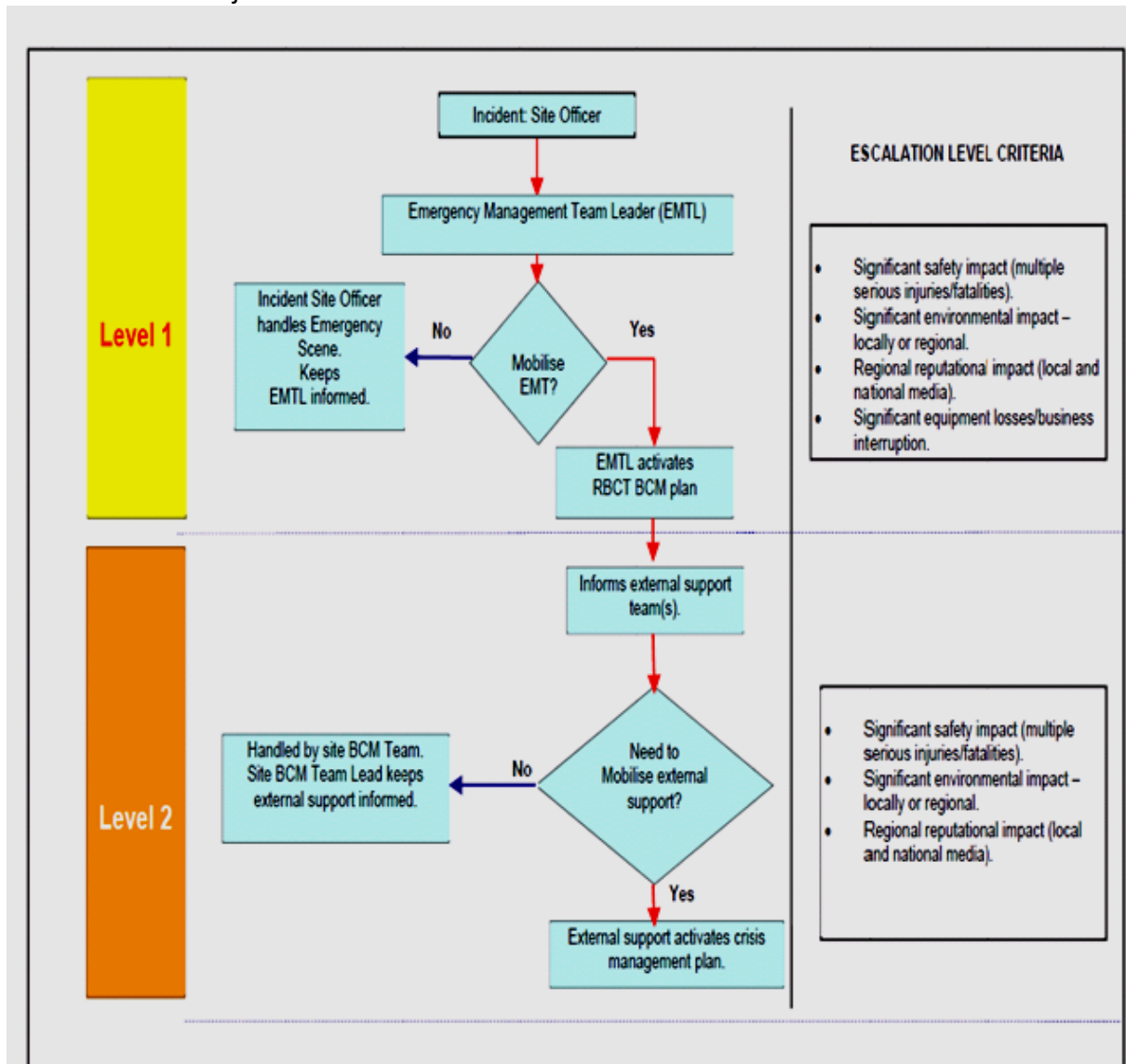
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- Level 2 – Tactical, crisis that is managed on-site and activate the Business Continuity Plans.
- Level 3 – Strategic, disaster that requires the Disaster Recovery Plans.

The diagram provides the escalation and activation procedure to be followed in the event of a disaster or major incident:





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Declaring the outage and agreeing on the appropriate time to initiate operations under the Business Continuity Plan is the responsibility of the Emergency Management Team Leader (EMTL) and the Emergency Management Team. An escalation criterion has been provided below to give clear guidelines for the declaration of a Business Disruption or Business Continuity event/incident.

Level	Description
Major	Emergency Management Team convenes to manage the situation and assess alternate measures in relation to major disruptive event.
High	Response and/or recovery situation is monitored by Emergency Preparedness Team or Incident Site Officer, with the Emergency Management Team and Emergency Management Team Leader alerted and on standby. Frequent situation reports (every 30 minutes) are provided to the Emergency Management Team by the affected General Manager or Divisional Head.
Minor	Response and/or recovery situation monitored by respective General Manager and Departmental Managers with the Emergency Management Team alerted on the status of minor disruption. Daily situation reports are provided to the Emergency Management Team.

Phase 2 Business Continuity

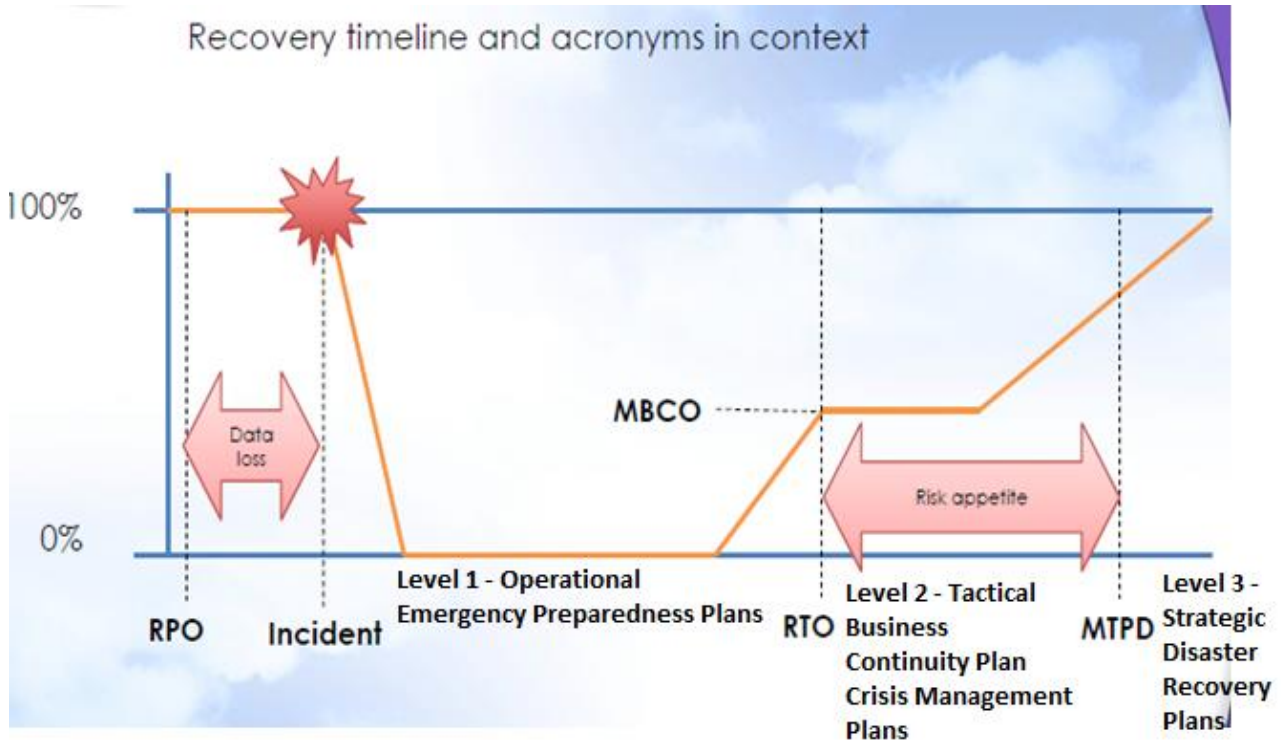
Implement or reinstatement of critical function to agreed minimum level to ensure continuance of the business. The details of these levels are recorded within the Business Continuity Plans.

Phase 3 Recovery Phase

Resumption back to normal operation or new normality, if the incident is prolonged.

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During the completion of the recovery phase, prior to resuming normal operations the following will be taken into account.

- Identify that all critical business functions are in operation;
- Communicate to all relevant stakeholders of the restoration;
- Identify the potential of corrupted information as a result of the incident;
- Input the backlog of information that has been manually captured into the system;
- Identify the financial implications on RBCT;
- Conduct relevant debriefing to identify any learnings and update the plans accordingly.

All external / media communication will be handled by the Corporate Affairs department.



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6.4 Business Continuity Training Matrix

Title	BCM Training	BCM Awareness	Business Impact Analysis	BCP development	BCP Testing
CEO and General Managers		X	X	X	X
GM HSEC	X	X	X	X	X
Risk Specialist	X	X	X	X	X
Team Leaders (Managers) and Alternates		X	X	X	X
Employees		X			
Contractors		X			

Refer to the Training Centre department for employee's competencies, training and / or education requirements for various defined BCM roles.

7. REPORTING

Business Continuity Management will be a standing agenda item to be discussed in the Risk Committee meetings. Annually the Business Continuity Management will be reviewed and reported to the Board of Directors and Finance Committee.

RECORDS

The electronic copy of Business Continuity Plans will be kept in a restricted folder under the G shared drive by Risk Specialist who has the view and modify access. All Team Leaders (Managers) and their Alternates will keep a hardcopy of their respective sections, and only have a view access of the electronic Business Continuity Plans in the G Shared drive. All changes in the Business Continuity Plans will be done through Risk Management.