



BUSINESS CONTINUITY FRAMEWORK

[FG009]

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Business Continuity Framework

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Contents

1. Introduction	4
1.2 Purpose	4
1.3 Objectives	4
2. Context	5
2.1 Understanding the University and its context	6
2.2 Expectations of interested parties	7
2.3 Legal and regulatory requirements	7
2.4 Scope of the BCMS	8
3. Executive Management commitment & the BC policy	9
Adoption of the Plan-Do-Check-Act cycle	10
3.1 Plan - Organisational roles, responsibilities and authorities	11
3.2 Do – Implement and operate	15
3.2.1 Business Impact Analysis	15
3.2.2 Threat Risk Assessment	16
3.2.3 Business Continuity Strategy	18
3.2.4 Plan Development	19
3.2.5 Testing and Exercising	20
3.2.5 BCMS Training	23
3.3 Check – Monitor and review	25
3.3.1 Internal audit	25
3.3.1 Performance evaluation	25
3.3.3 Evaluation of continuity	26
3.3.4 Management review	26
3.3.5 Review of suppliers	27
3.4 Act – Maintain and review	27
3.4.1 Remedial actions	27
3.4.2 Continual improvement	28
4. Related policies, guidelines & forms	29
5. References	29
6. Contacts	29
Appendix A: Glossary of terms and definitions	30

ACRONYMS

BCI	Business Continuity Institute
BIA	Business Impact Analysis
BCMS	Business Continuity Management System
BCP	Business Continuity Plan
CFO	Chief Financial Officer
COO	Chief Operating Officer
DHET	Department of Higher Education and Training
DOA	Delegation of Authority
DVC	Deputy Vice Chancellor
ED	Executive Director
GPG	Good Practice Guidelines
HOD	Head of Department/ Line Manager
ISO	International Organization for Standardization
KPI	Key Performance Indicator
PASS	Professional, Administrative Support & Staff
RMEC	Risk Management Executive Committee
UARC	University Audit and Risk Committee
VC	Vice-Chancellor

1. Introduction

A Business Continuity Management System (BCMS) is a systematic and comprehensive approach to identify and manage potential threats and risks that could disrupt the normal operations of the university.

The BCMS framework is the document that establishes and governs the way BCMS is managed throughout the University of Cape Town (the University) and presents the overall philosophy regarding achievement the business continuity commitments and accompanying responsibilities.

1.2 Purpose

The purpose of this framework is to establish the requirements and approach to business continuity as a key aspect of organisational resilience to proactively anticipate, prepare for, and, if necessary, withstand, respond to, and recover from disruptive events. This BCMS framework serves as a guide for operationalizing the BCMS Policy.

1.3 Objectives

The overall objectives of the University's BCMS system are to.

- Embed a holistic and integrated approach to organisational resilience through a structured and well-defined process.
- Enable the university management communication, decision making, activity prioritisation, in the advent of an operational disruption;
- Minimise the impact of operational disruptions, specifically environmental, health and safety, financial and reputational impacts;
- Raise awareness and requirements of the BCMS through embedding activities and other means of knowledge sharing;
- Enable continuity of operations in the event of a disruption to ensure that key activities are resumed within agreed and pre-established timeframes; and
- Outline key roles and responsibilities that will enable the successful implementation of the BCMS.

2. Context

The University is a world-renowned institution with its main location in Cape Town. It operates across multiple campuses with several faculties and departments all aimed at supporting teaching and learning, research, and community engagement.

As the University grows, it is faced with ongoing challenges and disruptions such as political events, pandemics, natural and unnatural disasters, among others. This heightens the need for resilience and adaptation to change, to effectively respond to these high-impact events. Although the University has been able to successfully respond to these events, the institution appreciates the benefits of having a robust business continuity capability, including risk-based plans, a supporting framework, and policy to allow for quick recovery from an event to continue its operations.

As a result, the University seeks to enhance business continuity capability tailored to the institution's unique goals and risks.

The University's primary activities (research, teaching, and learning) are undertaken through the following faculties:

- Centre for Higher Education Development
- Faculty of Commerce;
- Faculty of Engineering & the Built Environment;
- Faculty of Health Sciences;
- Faculty of Humanities;
- Faculty of Science;
- Faculty of Law; and
- Graduate School of Business (GSB)

In support of the above faculties, the following PASS departments play a key role:

- Communication and Marketing Department (CMD);
- Department of Finance
- Department of Student Affairs (DSA);
- Development and Alumni Department (DAD)
- Human Resources;
- Information Communication and Technology Services (ICTS);
- Institutional Planning Department (IPD);

- Internal Audit;
- International Academic Programme Office (IAPO)
- Office for Inclusivity & Change (OIC);
- Office of the Registrar;
- Office of the Vice-Chancellor (including DVCs and COO);
- Properties and Services (P&S) including Commercial Development;
- Research Office;
- UCT Libraries.

In addition to the above faculties and departments, there are interested parties that may have formal or implied needs and/or expectations. An interested party is defined as a person or organisation that can affect, be affected by, or perceive itself to be affected by a decision or activity.

The extent to which a BCMS can respond is impacted by three key factors:

1. The regulatory environment (i.e. laws, regulations, standards, and guidelines),
2. The internal environment, including resources (i.e. students, academic, and professional support staff), and
3. The external environment (i.e. DHET, parents, service providers staff, donors, vendors, etc).

2.1 Understanding the University and its context

The context of the University's activities, as well as the relevant applicable legal, regulatory, and other requirements, will be considered when the BCMS is implemented. Thus, the needs of interested parties and the regulatory requirements relevant to BCMS are available as documented information.

2.2 Expectations of interested parties

The table below provides an overview of the various interested parties of the University. Please note that this table is provided for illustration purposes only and that it is not exhaustive.

Category	Interested party	Requirements
Internal	Council	Establish and maintain a BCMS System for the University.
Internal	Academic staff	Establish and maintain a BCMS System for the University.
Internal	Professional and support services staff	Establish and maintain a BCMS System for the University.
Internal	Students	Establish and maintain a BCMS System for the University, students expect that necessary arrangements are put in place to ensure their safety and continuity of service delivery.
External	DHET	As the government authority, the DHET expects the University to be able to continue to deliver on its mandate of teaching and learning to enrich lives as a going concern.
External	Suppliers	the University expects the suppliers to provide assurance that they have a continuity capability and continue to serve the University in the event that they experience a disruption.
External	Emergency Services (Fire, Police, etc.)	Conduct Fire Drills covering evacuation of the University offices on an annual basis.

2.3 Legal and regulatory requirements

In addition to conformity with its own business continuity policy and objectives, the University undertakes to comply with laws, regulations, standards, and guidelines as applicable.

The purpose of this section is to identify applicable laws, regulations, standards, and guidelines that have specific requirements or provisions for business continuity.

Identifying these requirements early will assist in enabling the University to consider and cater to them when implementing its BCMS.

The table below provides a view of the initial assessment of the laws, regulations, standards and guidelines determined to be applicable to the context and operating environment of the University. The BCMS Champion will mature this on a progressive basis in order to ensure that the highest level of maturity is achieved.

Source	Type	Details of requirement	Location	Owner
Laws	Government Laws e.g., Health and Safety Act.	OHSE	CANSA Building	ED: Properties and Services
Regulations	Mandatory rules or audited guidance documents from official regulatory bodies in sectors such as Financial Services, Telecommunications, Energy, Oil, Gas and Chemicals.	Legal Services	Bremner Building	Registrar
Standards	Leading industry standards such as: ISO 22301	Risk Management	Bremner Building	Chief Operations Officer
Guidelines	Leading industry practice guidelines such as: GPG 2018	Risk Management	Bremner Building	Chief Operations Officer

It should be noted that this is not a definitive list because of constant changes in laws, regulations, standards and guidelines that seek to keep up with the constantly changing business environment and other factors. The laws, regulations, standards and guideline requirements should be regularly reviewed by the University to remain relevant.

2.4 Scope of the BCMS

This document must be read in conjunction with the approved BCMS Policy, which provides the full scope of the BCMS. The scope outlined in the policy applies to this framework.

BCMS is adopted by the University in order to develop and foster resilience capabilities. The BCMS has been designed to comply with the requirements defined within *ISO 22301 – Business Continuity Management System Requirements* as well as the *Business Continuity Institute’s (the BCI) Good Practice Guidelines (GPG) 2018 – A guide to global good practice in business continuity*.

The BCMS provides the University with a structured framework to sustain operations, with a tolerable level of downtime, in the event of unforeseeable disruptions or incidents.

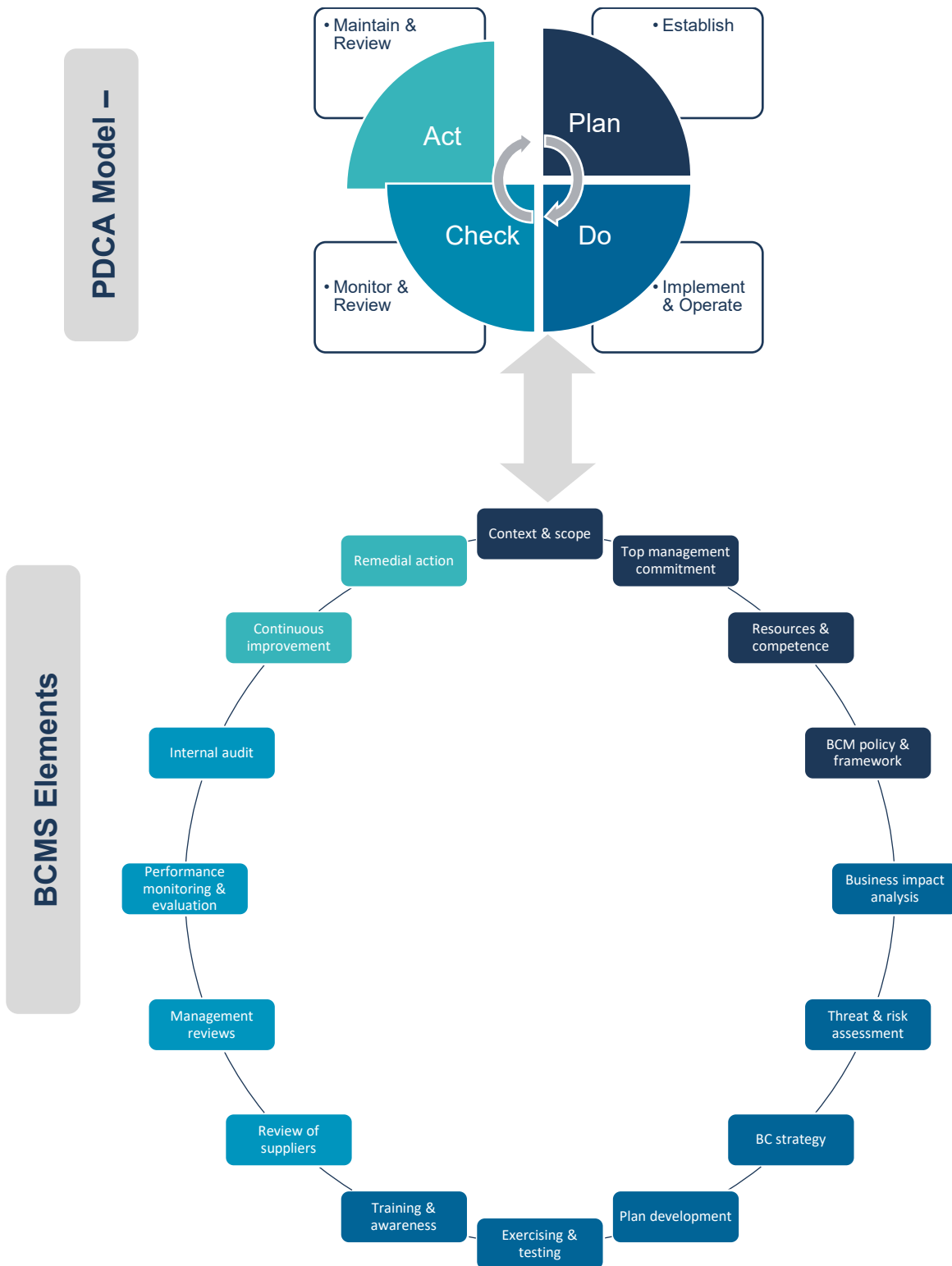
3. Executive Management commitment & the BC policy

The BCMS policy, approved by the Council, demonstrates the commitment of top management towards the development, implementation, and maintenance of the BCMS. The policy defines the applicability, scope and objectives of the BCMS.

The policy shall be communicated to all staff, ensuring awareness of its content and importance to the University. Management at all levels shall demonstrate commitment to the establishment, implementation, assessment, and continual improvement of the BCMS, and allocate adequate resources to carry out the required activities.

Adoption of the Plan-Do-Check-Act cycle

The iterative “Plan-Do-Check-Act” model, aligned with ISO 22301, has been adopted to ensure the BCMS is successfully established, operated, monitored and improved.



3.1 Plan - Organisational roles, responsibilities and authorities

This section describes the functional responsibilities, levels of authority and interfaces for establishing, executing, and verifying the implementation of the BCMS. The University's management will provide all the necessary resources, including human resources, infrastructure, technology, and financial resources essential to the establishment, implementation, maintenance, and improvement of the BCMS.

Key roles and responsibilities pertaining to the BCMS are defined below:

Role	Responsibilities
Vice-Chancellor (VC)	<ul style="list-style-type: none"> The VC is responsible for ensuring the allocation of resources for successful management (establishment, maintenance, and continual improvement) of the BCMS. The VC may delegate responsibility of managing the BCMS to the BCMS Function within UCT Enterprise Risk Management (ERM). The VC, Executives and Deans shall demonstrate commitment to the BCMS by approving resource requirements, the BC Policy and key BCMS outputs.
University Audit and Risk Committee (UARC)	The UARC plays an oversight role on the implementation and monitoring of BCMS.
Risk Management Executive Committee (RMEC)	<ul style="list-style-type: none"> The VC is supported by the Executive and Senior Management Team in fulfilling their mandate. As part of their responsibilities, the VC is the Chairperson of the RMEC. The primary function of the RMEC is to ensure that a sound risk management and internal control system is maintained at the University in line with strategic goals/plan of the University. RMEC shall review the BCMS strategy, policies, and provide assurance that there is an overall effective strategy and structure for BCMS across the University. RMEC shall recommend the BCMS policy to UARC for adoption by the Council. RMEC will also be responsible for external developments relating to the practice of corporate accountability and the reporting of specifically associated risk, including emerging and prospective impacts. RMEC must assist UARC in the discharge of its duties relating to corporate accountability and the associated risk in terms of management, assurance and reporting.
Enterprise Risk Management (ERM) by Risk	The mandate of the RMO is to provide guidance, training and support to the business with regard to the implementation activities of the BCMS. This means that the RMO will assist all faculties and departments within the University with activities aimed at

Role	Responsibilities
Management Office (RMO)	<p>preparing them to respond effectively to a disruption.</p> <p>As the centre of excellence, ERM is responsible for:</p> <ul style="list-style-type: none"> • Development of the BCMS policy; • Development of the BCMS framework and other guiding documents; • Provide guidance to the BCMS team; • Provide support to the BCMS team; and • Provide training to the BCMS team. <p>The Risk Management Unit assumes the role of the BCMS Function for the University, which can be appointed by the University when appropriate.</p>
The University Executive	<p>In order for the BCMS UCT Executive to fulfil the responsibilities listed below, members of the BCMS UCT Executive should have a sound knowledge of the organisation and working knowledge of BCMS practices.</p> <p>The UCT Executive shall provide direction and guidance to ensure that the BCMS remains aligned to the objectives and vision of the University.</p> <p>Provide adequate resources to establish, implement, operate, monitor, review and improve the BCMS:</p> <ul style="list-style-type: none"> • Ensure that the BCMS is in line with the objectives of the University. • Review and approve business continuity strategies, continuity solutions and their related investments as appropriate. • Ensure that the BCMS achieves its expected outcomes. • Perform periodic management reviews of the BCMS. Allocate resources to address findings highlighted in management reviews. • Support the continual improvement of the BCMS. • Ensure that the process of development and maintenance of the BCMS is effectively managed and supervised. • Ensure that the BCMS is aligned with the existing risk management Framework that forms the basis for evaluating continuity threats and the threshold level of impact for performing Business Impact Analysis (BIA). • Ensure that periodic risk assessments are facilitated to enable the University to evaluate threats and vulnerabilities to its critical activities and supporting resources, including those related to third parties. <p>The BCMS UCT Executive shall review and approve all key BCMS outputs, as well as recommending them to the RMEC for adoption.</p>
Heads of Departments / Line Managers	<p>Each Faculty or Department, and where necessary, divisions must appoint a BCMS Champion from existing employees to implement, embed and continuously enhance the BCMS within the area of responsibility.</p>

Role	Responsibilities
	<p>It is the responsibility of each Faculty or Department to ensure a successful response to a disruption without placing heavy reliance on the Risk Management Office. This means that each faculty or department must ensure that adequate resources are in place to enable an effective response to a disruption.</p> <p>Heads of Departments/ Line Managers shall:</p> <ul style="list-style-type: none"> • Establish commitment to BCMS across the Faculty or Department and cascade the importance of BCMS to all staff; • Allocate necessary resources for maintenance and continual improvement of the BCMS; • Review, validate and approve BCMS documents related to the respective Faculty or Department; • Ensure that the Faculty or Department is represented adequately in exercising and testing sessions; • Assign BCMS a response team within the faculty or department and assume ownership of the Faculty or Department specific business continuity plans; • Ensure health & safety of the employees at his/her respective faculty or department; • Lead the business continuity team for the respective faculty or department; • Lead the initial response and assessment of a disruptive incident at the faculty or department level; • Notify respective response teams at the Faculty or Department level of any disruptive incidents according to the incident notification structure; and <p>Coordinate the tactical recovery of the time-critical services at the Faculty or Department following a disruption.</p>
BCMS Champions	<p>The BCMS Champion(s) shall ensure that BCMS is developed, implemented and continually improved.</p> <p>The BCMS Champion(s) Reports to the BCMS UCT Executive regarding the overall maturity and improvement of the BCMS within area of responsibility.</p> <p><u>Key Accountabilities:</u></p> <p>Develop the BCMS by:</p> <ul style="list-style-type: none"> • Ensuring that the BCMS is aligned to the vision and objectives of the University; and • Ensuring that all BCMS components have been developed considering the business and operations. <p>Implement the BCMS by:</p> <ul style="list-style-type: none"> • Following up with relevant service areas / personnel to ensure that all action items / tasks that need to be executed (as a prerequisite for the BCMS to function) are actually completed;

Role	Responsibilities
	<ul style="list-style-type: none"> • Identify any new implementation requirements that may emerge and track them to completion; and • Facilitating training and exercises related to BCMS to ensure that all relevant personnel are aware of their respective BCMS roles and responsibilities and that corresponding business continuity plans are sufficiently rehearsed. <p>Ensure continual improvement of the BCMS by:</p> <ul style="list-style-type: none"> • Complete BIAs or provide support to during BIA activities; • Consolidating continuity requirements of process enablers (e.g. building, facilities, human resources, third-party suppliers, equipment, and technology) from the updated BIA data; • Maintaining and updating the business continuity strategy, recovery options and arrangements as and when required; • Coordinating maintenance of the business continuity plans with respective plan owners and team members; and • Determining the required competencies of all personnel tasked with BCMS-related roles and responsibilities and ensuring that such personnel receive adequate training. <p><u>Competencies & Skillsets:</u></p> <ul style="list-style-type: none"> • Strong working knowledge of the BCMS requirements and components, and Understanding of BCMS standards; • Organisation's business process understanding; • Good understanding of key contacts and plan owners within the organization; • Ability to lead, facilitate and influence others; • Ability to analyse information based on the overall organisation's strategy and perform cost benefit analysis to make unbiased recommendations; • Interpersonal skills – Strong verbal and written communications skills; • Business and financial judgment, and problem-solving skills; • Strong management skills, organised and motivated; and • Strong understanding of business processes activities and the University's strategy.

3.2 Do – Implement and operate

3.2.1 Business Impact Analysis

Purpose

The purpose of the Business Impact Analysis (BIA) exercise is to prioritize critical activities and identify enabling resource requirements (such as technology, personnel, workspace, equipment, third parties, and vital records) for the continuity and recovery of defined time-critical activities.

Guidance

BIA should be performed by analysing the information obtained from each business area using a consistent approach and standardised data collection method.

The table below documents the key activities for conducting and maintaining the BIA:

No.	Description	Responsibility
1	Schedule meetings / workshops with the relevant Faculty or Department to collect BIA data.	BCMS Champion
2	Facilitate and lead the BIA meetings with relevant personnel from respective business areas who are responsible to provide the data.	BCMS Champion and Faculty or Department Management/HOD
3	Review the integrity of BIA data to ensure consistency across the University.	BCMS Champion
4	Share the BIA with the faculty or department management for approval.	BCMS Champion
5	Approve the BIA to confirm accuracy and completeness of information	Faculty or Department Management/HOD
6	Consolidate / incorporate approved BIA data into the BIA report and issue for discussion and approval.	BCMS Champion
7	Review and approve BIA Report.	BCMS UCT Executive Committee

The BIA shall be maintained on a periodic basis:

- annually at a minimum; and
- following significant business changes.

For maintenance purposes, the key considerations for changes are as follows:

- changes to business/operations objectives or processes
- changes in risk assessments
- new / revised functions, services or technology;
- change in location;
- an exercise/test revealed the required changes;
- management review or audit where gaps have been identified and recommendations for improvement made;
- after restructuring or any organisational changes;
- changes in vendor/service providers/suppliers; and
- post-incident reviews of incidents that resulted in invoking business continuity plans and minor incidents that might indicate shortcomings in response capabilities.

Business impact analysis and key performance indicators

The following KPIs (key performance indicators) are an initial set to monitor the efficiency and effectiveness of conducting and maintaining the BIA at the University:

- A percentage of areas coverage by a BIA evaluation exercise within the University; and
- Number of working days to issue the BIA Report after completing the BIA exercise.

3.2.2 Threat Risk Assessment

Purpose

The purpose of the Threat Risk Assessment (TRA) exercise is to identify and evaluate threats to critical functions of the University, which are determined by the Business Impact Analysis (BIA).

Threat Risk Assessment contributes to BCMS by ensuring that threats to critical functions have been adequately analysed, and appropriate measures have been devised to prevent (where applicable) the factors that may lead to a disruption. The TRA also serves to provide input into the University Risk Register, forming part of Enterprise Risk Management.

Guidance

The TRA should be performed using a consistent approach. The table below shows the key activities for conducting and maintaining the TRA:

No.	Description	Responsibility
1	<p>Identify potential threats to business continuity. Threats identified and considered for analysis and evaluation would include but not be limited to the following:</p> <ul style="list-style-type: none"> • Fire/Explosion; • Security breach; • Cyber Attack; • Network & Systems failure; • War, Terrorism, & Hazmat; • Political tension; and • Other. 	BCMS Champion, in consultation with the Director: Risk, Compliance & Relationship Management
2	<p>Schedule meetings / workshops with the relevant faculty or department to collect TRA data.</p> <p>Examples of functional areas of the business that can provide inputs into the TRA exercise include but are not limited to:</p> <ul style="list-style-type: none"> • IT Team; • HR Team; • Facility Management; and • Enterprise Risk Management. 	BCMS Champion
3	Facilitate and lead the BIA meetings with relevant personnel from each business area within the University who are responsible to provide the data for each credible threat identified.	BCMS Champion, and Faculty or Department Management/ Head of Department
4	Review the integrity of TRA data to ensure consistency across the University.	BCMS Champion, and Faculty or Department Management/ Head of Department
5	Consolidate data into the TRA report and issue for discussion and approval.	BCMS Champion
6	Review and approve TRA Report.	BCMS UCT Executive

The TRA is maintained on a periodic basis as follows:

- annually at a minimum; and
- following significant business changes.

For maintenance purposes, the key considerations for changes are as follows:

- After changes to business objectives or processes;
- After changes in risk assessments;
- Changes arising from new or revised functions, services, or technology;
- Change in location;
- After a management review or audit, gaps were identified, and recommendations for improvement were made.
- After restructuring;
- Changes in vendor/service providers/suppliers; and
- Post-incident reviews of incidents that resulted in invoking business continuity plans and minor incidents that might indicate shortcomings in response capabilities.

Threat risk assessment and key performance indicators

The following KPIs are the initial set used to monitor the efficiency and effectiveness of TRA, evaluation, and treatment at the University:

- Number of threats and mitigating controls identified; and
- Percentage of threats and risks addressed in the threat and risk treatment plan.

3.2.3 Business Continuity Strategy

Purpose

To develop the most appropriate strategy to ensure the recovery of identified process enablers within the maximum tolerable time period identified in the BIA.

Guidance

To achieve this goal, suitable strategies should be identified and implemented. The GPG 2018 recommends evaluating the following strategy options:

- Diversification;
- Replication;
- Standby;
- Post-incident acquisition;
- Do nothing; and
- Sub-contracting.

In alignment with best practice, strategies should be developed for all critical enablers:

- Buildings;

- Equipment;
- Technology;
- Human Resources; and
- Third parties.

Suitable strategies should be assessed using suitable evaluation dimensions such as feasibility, practicality, costs, and benefits.

The final strategy, they shall then be presented to the BCMS UCT Executive Committee for selection and endorsement (based on the evaluation dimensions examined earlier).

Top management shall approve the strategy and allocate and/or acquire the necessary resources (People and Assets) to enable its implementation.

Business continuity strategy and key performance indicators

- A percentage of areas with strategies implemented within the University; and
- Number of working days to issue the strategy report after completing the strategy exercise.

3.2.4 Plan Development

Purpose

Appropriate business continuity plans should be developed to manage disruptive events and ensure that key activities continue, based on the identified recovery objectives.

Business continuity plans should be:

- Specific – with regard to the immediate steps that should be taken during a disruption;
- Flexible – so that they may be used to respond to unanticipated threat scenarios and changing internal and external conditions;
- Focused – so they should be clearly related and appropriate to the impact of events; and
- Effective – in terms of minimising the consequences of incidents through the implementation of appropriate mitigation strategies.

Guidance

An integrated incident response structure should be developed, encompassing all business continuity plans required to respond to a disruptive incident.

The following plans are the key components of the Incident Response Structure:

- Emergency Response Plan (ERP);
- Crisis Management Plan (CMP);
- Business Continuity Plans (BCPs); and
- IT Disaster Recovery Plan (IT DRP).

The following shall be clearly defined for each Plan:

- The purpose and scope of each plan should be approved and understood by relevant stakeholders.
- Linkage to relevant plans or documents; and
- Roles and responsibilities of personnel involved in the invocation/execution of the plan.

Plan development and key performance indicators

- A percentage of areas with plans developed within the University; and
- A percentage of faculties or departments that have appointed personnel as members of response teams are defined within business continuity plans.

3.2.5 Testing and Exercising

Purpose

The purpose of this procedure is to plan, execute, and report on the testing and exercise of plans and their necessary arrangements in order to confirm the recoverability of required resources such as buildings/facilities, equipment/utilities, technologies, human resources, and third parties supporting the critical operational processes during a disruptive event. A master exercise and testing schedule should be centrally maintained and updated by the BCMS Champion and communicated to the relevant stakeholders as required.

The table below documents the allocation of responsibility for the development of the exercise plans.

Plan	Responsibility
Crisis Management Plan (CMP)	Incident Response Manager (IRM)
Business Continuity Plan (BCP)	Plan Owners, Faculty or Department Management/ HOD
IT DR Plan	ICTS
Emergency Response Plan	OHSE

Guidance

Business continuity exercises shall be conducted at least on an annual basis or following significant changes to the University. Business continuity-related exercises could be conducted more frequently (i.e. more than annually) if documented in the corresponding Business Continuity Plan(s) or as determined by the faculty or department.

The table below documents the key activities for testing and exercising:

No.	Description	Responsibility
Testing and Exercising Planning		
1	<p>Develop the Testing and Exercising Plan and ensuring that it is communicated to the relevant stakeholders.</p> <p>The testing and exercising plan shall consist of the following:</p> <ul style="list-style-type: none"> • Test type; • Test objectives; • Test success factors; • Test schedule; • Test participants; • Test scenario(s); • Assumptions; • Test success criteria; and • Operational and technical risks and their mitigation strategies. 	BCMS Champion
2	Obtain sign-off from concerned faculty or department management for the testing and exercising plan.	Faculty or Department Management/HOD
3	Review the testing and exercising plan.	ERM
4	Approve the testing and exercising plan	BCMS UCT Executive Committee
5	Distribute the testing and exercising plan to the testing and exercising participants.	Faculty or Department Management/HOD
6	Before commencing the test / exercise ensure to conduct a review meeting with the concerned stakeholders to confirm the testing and exercising activities.	BCMS Champion
Testing and Exercising Execution		
1	Confirm participant availability, staff, and third parties as required.	Faculty or Department Management/HOD
2	Execute the testing and exercising plan in coordination with concerned participants.	Faculty or Department Management/HOD
3	Monitor testing and exercising activities	BCMS Champion
Testing and Exercising Reporting		
1	Organise for a meeting with all participants to discuss issues and	Faculty or Department

No.	Description	Responsibility
	lessons learnt.	Management/HOD
2	Obtain the participant observation feedback from all participants.	Faculty or Department Management/HOD
3	Conduct testing analysis and identify issues based on the comparison between the testing and exercising results with the testing and exercising plan.	BCMS Champion Faculty or Department Management/HOD
4	Define the necessary resolution actions to remediate the test gaps with specific dates and responsibilities.	Faculty or Department Management/HOD
5	Conduct post-test review meeting with the relevant participants and confirm: <ul style="list-style-type: none"> • The issues; • Action items; • Date for resolution; and • Responsible person. 	BCMS Champion Faculty or Department Management/HOD
6	Prepare / submit the testing and exercising report to BCMS UCT Executive Committee.	BCMS Champion Faculty or Department Management/HOD
7	Review the testing and exercising report.	ERM
8	Approve the testing and exercising report.	BCMS Champion BCMS UCT Executive Committee
9	Forward copy of the testing and exercising report to relevant stakeholders.	BCMS Champion
10	Follow-up and report on action item status.	Plan Owners BCMS UCT Executive Committee

Testing and exercising and key performance indicators

The following KPIs are an initial set to monitor the efficiency and effectiveness of Testing and Exercising at the University:

- Timely delivery of testing and exercise reports;
- Timely resolution of testing and exercising report findings as per the defined action plan within the report;
- Percentage of tests achieving their success criteria and objectives; and
- Percentage of personnel participating in the tests versus required as per the plan.

3.2.5 BCMS Training

Purpose

Periodic training should be conducted to ensure that all relevant personnel continually enhance their skill sets. The BCMS Champion should maintain all the records and related documentation for training.

Guidance

An annual training plan should be developed to address the training requirements of different continuity plans per the below table.

The following requirements should be considered when planning for training:

- Consistency of the proposed training with the scope of the plans;
- Identification of target audience;
- Existing level(s) of competency of the target audience;
- Identification of a target level of competency as a result of the training; and
- Ensuring that the effectiveness of the training is evaluated.

The table below documents the allocation of responsibility for development of the training schedules and facilitation of the corresponding training sessions:

Plan	Training Responsibility
Emergency Response Plan (ERP)	ERP Team Leader
Crisis Management Plan (CMP)	CMP Team Leader
Business Continuity Plans (BCPs)	BCP Team Leader
IT Disaster Recovery Plan (IT DRP)	IT DRP Team Leader

The table below provides guidelines for the formulation of a Training Plan for the different types of training required:

Training Type	Training Objective	Frequency (Minimum)	Audience	Delivery Method
General Awareness Sessions	To ensure that personnel are aware of the need and importance, fundamental concepts and high-level overview of BCMS.	Annual	All staff	1 hour All staff awareness presentation session
BC for Executive	To ensure that Executive Management commitment and	Annual	Executive Management	1 hour Executive

Training Type	Training Objective	Frequency (Minimum)	Audience	Delivery Method
Management	support are aware of how their role contributes to the success of the BCMS and add value to the operations of the University.			management presentation session
Plan role players	To ensure that the BC Team members are aware of their roles and responsibilities in relation to the development, implementation, execution and continual improvement of the BC Plans.	Annual	BC Team members	1 hour Specific plan training session per business continuity team
BC Practitioners	To provide the appointed BC practitioners with the necessary industry related training and certification.	Annual	BC Practitioners	5-day training Once every three years Continuing Professional Development (CPD)

BCMS training and key performance indicators

The following KPIs are an initial set to monitor the efficiency and effectiveness of BCMS training with the University:

- Percentage of personnel attendance for the all-staff awareness training programme;
- Percentage of top management attendance for the top management training programme;
- Percentage of the personnel attendance for the BCMS role players training programme; and
- Percentage of certified BC practitioners and percentage of BC practitioners attending a relevant industry-related training certification.

3.3 Check – Monitor and review

3.3.1 Internal audit

Internal Audits of the BCMS shall be conducted to determine whether the BCMS is properly implemented and maintained in accordance with the BCMS Policy and related procedures.

The BCMS Champion shall be responsible for managing the process of addressing the observations/non-conformances, which may be raised in the Internal Audits conducted.

3.3.1 Performance evaluation

A BCMS performance evaluation mechanism shall be developed by the RMO. The mechanism should include the following:

- Performance metrics related to the BCMS;
- Monitoring the extent to which the BCMS Policy, objectives, and targets are met;
- Monitoring alignment with Business Continuity objectives;
- Monitoring historical evidence of deficient performance of the BCMS;
- Defining when the analysis and evaluation of monitoring and measurement results shall be performed; and
- Recording data and results of monitoring and measurement to facilitate subsequent corrective actions.

The following KPIs were determined to measure the achievement of the BCMS objectives:

KPI	KPI Metrics	Targets
KPI 1 - Compliance against activities planned as per the Annual BC Operational Plan	% of the University locations for which BIA were reviewed and updated in last 12 months	100%
	% of the University locations for which TRA was reviewed and updated in last 12 months	100%
KPI 2 - Percentage of awareness and competencies achieved against activities planned the Annual BC Training Plan	Number of awareness initiatives conducted in last 12 months	1 initiative
	Number of trainings sessions conducted in last 12 months	2 sessions
	% of the University locations covered under recovery team training	80%
KPI 3 - Level of Testing achieved against Annual BC Testing Plan	% of business continuity plans tested in last 12 months	80%
	Number of exercises that integrated multiple office locations during exercises	1
	Number of crisis management exercise conducted in last 12 months	1

KPI	KPI Metrics	Targets
KPI 4 - Continuous Improvement activities conducted for the BCMS	% of business continuity plans that have been reviewed in last 12 months	100%
	Number of action items closed within agreed time	80%
	% of action items which have not been addressed	20%

3.3.3 Evaluation of continuity

The BCMS Champion shall coordinate the evaluation of the BCMS through periodic reviews, exercising/testing, post-incident reporting, and performance evaluations in contact with the Risk Management Office. Significant changes arising shall be reflected in the BCMS in a timely manner.

In addition, the BCMS Champion will periodically evaluate compliance with applicable legal and regulatory requirements, industry best practices, and conformance with the BCMS policy and objectives.

Finally, in the event of a disruptive event, which results in the activation of any of the Plans, the BCMS Champion shall ensure that a post-incident review is undertaken, and the results are documented.

3.3.4 Management review

The Risk Management Office will review the BCMS at planned intervals (at least on an annual basis or as and when required by the BCMS UCT Executive Committee) to ensure its continued suitability, adequacy, and effectiveness.

Reviews will include assessing opportunities for improvement and the need for changes to the BCMS. The management review shall consider:

- The status of actions from previous management reviews;
- Changes in external and internal environments relevant to BCMS
- Information on the business continuity performance including trends;
- Nonconformities and corrective actions;
- Monitoring and measurement of evaluation results;
- Audit Results; and
- Opportunities for continual improvement.

3.3.5 Review of suppliers

Third-party suppliers and service providers should provide assurance that they are able to continue the delivery of required services and/or products in case of disasters and assess their business continuity capability where required.

Contract owners should include a clause in the contract of Third-Party Suppliers requesting that evidence of plans be provided to the University that will allow the supplier to continue functioning in the event that they are impacted by an incident.

Management should establish suitable procedures to enhance the review of suppliers on an ongoing basis.

3.4 Act – Maintain and review

3.4.1 Remedial actions

The University shall manage actual and potential non-compliance and take corrective actions as appropriate, including:

- Identify non-conformities and their root causes;
- Ensure that all relevant stakeholders are informed of the non-compliance;
- Determine and implement corrective actions needed; and
- Review the effectiveness of corrective actions taken.

All Personnel are responsible for:

- Initiating corrective / preventive action requests.

Faculty or department management are responsible for:

- Collecting non-conformance and potential non-conformance related information from staff working under their supervision and submitting such reports to the BCMS Champion; and
- Implementing corrective and preventive actions related to faculty or department management within a specified timeframe.

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The BCMS Champion is responsible for:

- Maintaining the list of corrective actions obtained from the Plan Owners;
- Following-up on corrective and preventive actions until completion; and
- Presenting the status of corrective actions during management review meetings.

3.4.2 Continual improvement

The University shall continually improve the effectiveness of the BCMS through a review of the Business Continuity policy and objectives, audit results, preventive and corrective actions, and management review.

To ensure the continued suitability, adequacy, and effectiveness of the BCMS, the BCMS shall be reviewed and updated on an annual basis.

The table below summarises the responsibility for maintenance of the different BCMS elements:

BCMS elements	Responsibility
BCMS Policy	BCMS Champion
BCMS Framework	BCMS Champion
Business Impact Analysis	Faculty or Department Management/Head of Department
Threat Risk Assessment	Faculty or Department Management/Head of Department
Recovery Strategies	Faculty or Department Management /Head of Department
Crisis Management Plan	CMT Team Leader
Business Continuity Plan	Faculty or Department Management/Head of Department
IT DR Plan	Executive Director: ICTS
ER Plan	ER Team Leader

Business continuity arrangements should be evaluated for effectiveness through audits conducted periodically. However, a more frequent review and update process may be required when strategic changes occur. The following scenarios trigger the need for immediate review and subsequent potential updates of the relevant BCMS element(s) and associated documentation:

- Changes in processes or organizational structure;
- Changes in the legal and regulatory requirements;
- Changes in technology/applications used;
- Significant changes in the environment in which the organization operates;
- Findings raised by internal audits;
- Changes mandated by business continuity tests and exercises;
- Changes mandated by corrective action;
- Changes in vendor/service providers/suppliers;
- Changes in location or facilities;
- Significant changes in operating procedures;

- Transfers, promotions or resignations of personnel assigned with BCMS responsibilities; and
- Significant change requirements resulting from conducting post-incident reviews.

4. Related policies, guidelines & forms

This BCMS Framework is closely related to the approved the University documentation identified below and should be read and/or used in conjunction with these requirements to ensure the required integration:

- Health and Safety Policy
- Risk Management Policy [[GEN007](#)]; and
- BCP Strategy
- BCP Policy

5. References

The following standards and guidelines were referenced for the development of this policy:

- International Standards Organisation's (ISO) 22301 – Business Continuity Management Systems (BCMS) requirements; and
- The Business Continuity Institute's (the BCI) Good Practice Guidelines (GPG) 2018 – A guide to global good practice in business continuity.

6. Contacts

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Appendix A: Glossary of terms and definitions

For the purpose of the University BCMS Framework, unless the context indicates otherwise, the following definitions are based on ISO 22301.

Term	Definition
Activity	Set of one or more tasks with a defined output.
Audit	Systematic, independent, and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled.
Business Continuity (BC)	Capability of an organisation to continue the delivery of products and services within acceptable time frames at predefined capacity during a disruption.
Business Continuity Plan (BCP)	Documented information that guides an organisation to respond to a disruption and resume, recover and restore the delivery of products and services consistent with its business continuity objectives.
Business Impact Analysis (BIA)	Process of analysing the impact over time of a disruption on the organisation.
Competence	Ability to apply knowledge and skills to achieve intended results.
Conformity	Fulfilment of a requirement.
Continual Improvement	Recurring activity to enhance performance.
Corrective Action	Action to eliminate the cause(s) of a nonconformity and to prevent recurrence.
Disruption	Incident whether anticipated or unanticipated, that causes an unplanned, negative deviation from the expected delivery of products and services according to an organisation's objectives.
Documented Information	Information required to be controlled and maintained by an organisation and the medium on which it is contained.
Effectiveness	Extent to which planned activities are realised and planned results achieved.
Executives	Person or group of people who directs and controls an organisation at the highest level.
Impact	Outcome of a disruption affecting objectives.
Incident	Event that can be, or could lead to, a disruption, loss, emergency, or crisis.
Interested Party/ Stakeholder	Person or organisation that can affect, be affected by, or perceive itself to be affected by a decision or activity.
Management System	Set of interrelated or interacting elements of an organisation to establish policies and objectives and processes to achieve those objectives.
Measurement	Process to determine a value.
Monitoring	Determining the status of a system, a process or an activity.
Nonconformity	Non-fulfilment of a requirement.
Objective	Result to be achieved.

Term	Definition
Organisation	Person or group of people that has its own functions with responsibilities, authorities, and relationships to achieve its objectives.
Outsource	An arrangement where an external organisation performs part of an organisation 's function or process.
Performance	Measurable result.
Policy	Intentions and direction of an organisation, as formally expressed by its Top Management.
Prioritised Activity	Activity to which urgency is given in order to avoid unacceptable impacts to the business during a disruption.
Process	Set of interrelated or interacting activities which transforms inputs into outputs.
Product and Service	Output or outcome provided by an organisation to interested parties.
Requirement	Need or expectation that is stated, generally implied or obligatory.
Resource	All assets (including plant and equipment), people, skills, technology, premises, supplies and information (whether electronic or not) that an organisation has to have available to use, when needed, in order to operate and meet its objective.
Risk	Effect of uncertainty on objectives.