education
Department:
Education
PROVINCE OF KWAZULU-NATAL

SITA

KwaZulu-Natal Department of Education

Business Continuity Management Plan

Business Continuity Management



Version: 1.0
Date: DD-MM-YYYY
Internal Use Only

In the event of a disaster please turn to *PAGE 20* of this

document for the Business Continuity Process.

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2. Document Administration

2.1. Authorisation

This document is authorised by the Audit and Risk Committee as well as the Head of Department ("HoD") who are ultimately accountable for the Business Continuity Plan ("BCP"). The BCP is signed by the HoD as authorisation of the document.

_____

Nkosinathi SP. Sishi, PhD
Head of Ministry: Office of the MEC

2.2. Amendments

Amendments will be reviewed by the HoD and incorporated, if feasible. Once the BCP has been updated, the document must follow the review and authorisation process.

Proposal for amendments to this document should be forwarded to:
Dr. Nkosinathi SP Sishi
Head of Ministry: Office of the MEC
247 Burger Street
Pietermaritzburg
3201

2.3. Distribution and version control

The distribution of the BCP is controlled by the Chief Director: Administrative Services. The BCP should not be distributed to external parties and individuals not listed below as the nature of the document is classified as confidential. Failure to comply will be regarded as a security violation.

Distribution List	Designation	Version
Dr. EV Nzama	Head of Department	1.0
Ms. M Thusi	Chief Director: Administrative Services	1.0
Mr S Halimana	Director: IT Services	1.0
Dr. JB Mthembu	Chief Director: Examinations and Assessments	1.0
Ms. BT Dlamini	Director: Early Childhood Development	1.0
Ms. NJ Dlamini	Chief Director: Institutional Development Support	1.0
Ms. TA Gumede	Chief Director: District Operations	1.0
Miss. G Madlala	Chief Director: Social Enrichment Programs	1.0
Ms. W. Hadebe	Chief Director: Infrastructure Planning and Delivery Management	1.0
Dr. HP Gumede	Director: Rural Education and Inclusive Education	1.0
Ms. V Saunders-Carson	General Manager: Office of the MEC	1.0
Vacant	Chief Director: Office of the Head Of Department	1.0

Mr. GN Ngcobo	Acting Deputy-Director General: Corporate Management	1.0
Mr L Rambaran	Acting Chief Financial Officer	1.0
Mr GN Ngcobo	Chief Director: HR Management	1.0
Mr. Q. Mzobe	Deputy Director: Security Advisory Services	1.0
Ms. C. Browne	Director: Internal Control and Risk Management	1.0
Mr. M. Mahlambi	Director: Communication and Publications	1.0
Mr. R Penniston	Director – Provincial Administration	1.0

Table 1: Distribution and Version Control

The Chief Director: Administrative Services will maintain a list of all employees who have copies of the BCP and ensure that all recipients have the most recent version.

2.4. Revision history

The BR team leader is required to ensure that any changes made to this document are clearly stated in accordance to the categories below.

- **Version:** the number of times that the document has been changed and saved
- **Author/Reviewer:** the person who made the changes
- **Date:** the date at which the change was made on the document
- **Revision:** the author to briefly state the changes that have been made

The BCP should be reviewed on an annual basis. Any changes to the Department may warrant an update to the BCP e.g. procurement of new hardware/software, changes with critical processes, employment of senior staff, changes with the Department strategy etc.

Date	Author	Version	Changes Made	Impact
29 January 2016	SITA	First Draft	Updated from first review from SITA	Aligned to KZN DoE
11 May 2016	SITA	Second Draft	Updated from desktop walkthrough exercise	Aligned to KZN DoE
6 February 2017	SITA	Third Draft	Updated with new staff and roles	Aligned to KZN DoE

Table 2: Revision History

2.5. BCP Storage

The BCP is stored in electronic and hard copy formats. These copies have been distributed as per the distribution list above.

Format	Location	Date Performed
Paper (hard copy)	Malgate Building, Stalwart Simelane Street, Durban	TBC
Paper (hard copy)	228 Pietermaritz Street, Pietermaritzburg	TBC
Paper (hard copy)	247 Burger Street, Pietermaritzburg	TBC
Paper (hard copy)	47 Howard Avenue	TBC
Electronic (soft copy) on the file server	IT Directory: \\spmb2-fp01\IT\BCP	TBC

Table 3: BCP Storage

3. Introduction

Incident vs. Disaster
An incident is a sudden, unplanned event causing damage or loss. Depending on the severity of the event, the incident may be classified as a disaster if the event causes an organisation to be unable to provide critical business functions for a pre-determined period of time. Incidents can be addressed by the Helpdesk or equivalent procedures however disasters are addressed via a Business Continuity Plan.

3.1. Overview

A disaster is an event that significantly reduces KwaZulu-Natal Department of Education's ("KZN DoE's") ability to provide Business-As-Usual ("BAU") services to its districts, schools, learners and other stakeholders. Typically, an outage to KZN DoE's core processes and systems exceeding the Recovery Time Objective ("RTO") is deemed to be a disaster.

The RTO for KZN DoE is:

- **Up to 1 Week**; or
- **2 days** (if the disaster occurs during the examination period or during a payroll run)

The objective of this plan is to detail the communications structure, roles and responsibilities and steps to be followed in the event of a disaster.

The purpose of this BCP is to:

- Provide guidance to continue KZN DoE's urgent and critical business processes, following an unplanned, significant business disruption
- Define a course of action/ alternate strategies for the recovery from a disaster
- Establish a Business Recovery ("BR") team
- Protect the people, reputation and assets of the organisation
- Continue to service the critical needs of KZN DoE's stakeholders including learners in the province

3.2. Scope

The BCP includes the response process for KZN DoE – Head Offices, schools and examination centres. This process document is based on the assumption that a KZN DoE site is inaccessible and that a disaster has been declared.

This document caters for the following worst-case scenarios:

- Loss of human resources
- Loss of buildings/ property
- Loss of equipment
- Loss of IT services/ systems
- Loss of critical information
- Loss of third parties
- Loss of utilities

In the event of a disaster, the following priorities will apply:

- 1st priority: Save lives

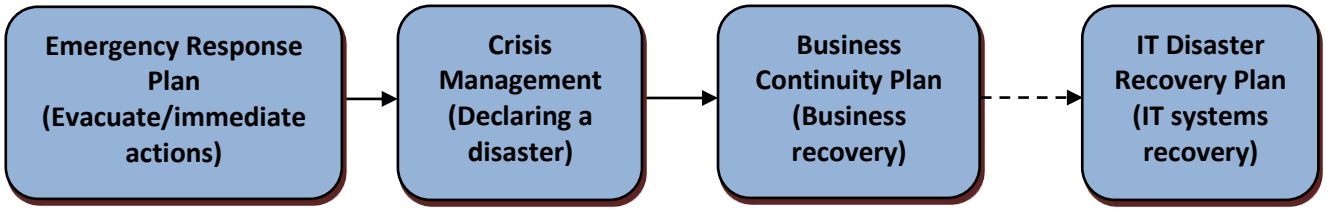
- 2nd priority: Restore operations such that schools are operational
- 3rd priority: Protect property and equipment
- 4th priority: Communicate to stakeholders
- 5th priority: Continue providing support to schools and learners

3.3. Assumptions, dependencies and exclusion

This document has been prepared based on the following basis:

- This document does not address IT recovery as this is to be covered in the Information Technology ("IT") Disaster Recovery Plan ("DRP")
- Detailed Emergency Response plans/ procedures are in place and are exercised regularly
- An internal skills pool is maintained, with key roles fulfilled by one or more alternative staff members who are cross-trained
- The roles and responsibilities which relate to Emergency Management, Crisis Management and Business Recovery are assigned to appropriate individuals and these individuals are trained and are familiar with their role in dealing with and responding to a disaster
- It is assumed that an information management document has been defined and implemented which governs the creation, modification and deletion of data. In addition to this, it is assumed that all vital records and data are included in the backup schedule
- An incident management process is in place to deal with day-to-day incidents
- The Emergency Response Plan has been developed by the Department to support the safe evacuation of its people, physical incident management and safeguarding of Departmental infrastructure
- The Crisis Management Plan has been developed by the Department to support the appropriate communications with stakeholders and crisis oversight
- The Emergency and Crisis Management activities relating to the disaster have already been completed. This implies that personnel have been evacuated
- It is assumed that an offsite recovery location has been procured and adequately configured to accommodate the chosen recovery strategy
- Separate Business Recovery Plans for each directorate are not covered within the scope of this BCP. Each directorate should develop their own recovery plans based on the results of the BIAs performed. The detailed BIAs must be used as a guideline for developing the Recovery Plans to be supplemented by Branch/Directorate Standard Operating Procedures ("SOPs").

4. Business Recovery Invocation Procedures



The above diagram indicates the Business Continuity framework to be implemented and adhered to in the event of a disaster.

4.1. Emergency Response Plan

The Emergency Response Plan refers to the immediate actions to be followed when an incident occurs. It may entail evacuating staff and generally forms part of the Evacuation Plan. Please refer to the Emergency Response Plan ("ERP").

4.2. Crisis Management Plan

Crisis Management refers to the actions to be followed to determine if an incident can be categorised as a disaster i.e. to declare a disaster and invoke the BCP. It also pertains to the informing the media, stakeholders, emergency services etc. about the disaster. In the event of an incident occurring, the Crisis Management Team ("CMT") will need to convene and assess the incident to determine its severity.

The scope of this document does not include Emergency Response Plan, Crisis Management Plan and IT DR Plan.

4.3. Business Continuity Plan

The Business Continuity Plan refers to the actions to be followed to recover operations to ensure the continuity of the Department. If the incident is declared a disaster, the BCP will be invoked.

4.4. IT Disaster Recovery Plan

An IT Disaster Recovery Plan deals with the recovery of IT systems which support business. The BCP may invoke the IT DRP if the disaster affects the IT systems.

- Recovery Time Objective ("RTO"): The RTO is the time taken to recover the in-scope services for KZN DoE from disaster declaration to the point where the equipment is handed over to the KZN DoE directorates.
- Recovery Point Objective ("RPO"): The RPO is the worst data loss that KZN DoE is willing to accept. In other words, this is the point from which recovery of lost data must take place.

4.5. When to activate the BCP

The BCP refers to the actions to be followed to recover operations to ensure the continuity of the Department. If the incident is declared a disaster, the BCP will be invoked.

The following scenarios may warrant the activation of the BCP Process:

- Threats to the personal safety of learners, educators and support staff
- Civil/ political unrest
- Natural or man-made disasters
- Acts of terrorism

- Water shortages or long-term load-shedding
- Hardware, network or systems failure

The following table can be used by the BR Team as a guide in classifying the severity level of a disaster.

	SEVERITY LEVEL				
Impact Area	**1 - Insignificant**	**2 - Minor**	**3 - Moderate**	**4 - Major**	**5 - Catastrophic**
Finance	Revenue decrease < R 1.8 mil	Revenue decrease: 1.8 mil – 5.4 mil	Revenue decrease: 5.4 mil – 9 mil	Revenue decrease: 9 mil – 12.6 mil	Revenue decrease > 12.6 mil
Reputation	Insignificant Local complaints, Minor disruptions to relations	Minor local public attention	Local impact-significant local public concern, Breakdown in relations with stakeholders	Regional impact-regional public concern, Breakdown in relations with stakeholders	National impact-national public concern, Breakdown in relations with the Minister and National Departments
Legal and Compliance	Low level legal case	Minor legal issue	Serious breach of the law. Moderate penalties	Major breach of the law. Considerable penalties	Very considerable penalties and prosecutions. Multiple law suits and jail terms

Table 4: Classifying a disaster

Note: The table is a guide for classifying a disaster and is thus not prescriptive. A disaster may occur resulting in a fatality which may not affect revenue. As such all impacts across the columns do not have to be met for classifying a disaster.

5. Roles and Responsibilities

5.1. Emergency Response Plan

The Emergency Response Plan refers to the immediate actions to be followed when an incident occurs. It may entail evacuating staff and generally forms part of the Evacuation Plan. Please refer to the *Emergency Response Plan ("ERP")* for detailed procedures.

5.1.1. Emergency Response Team Structure

The following diagram represents the structure of the ERT.

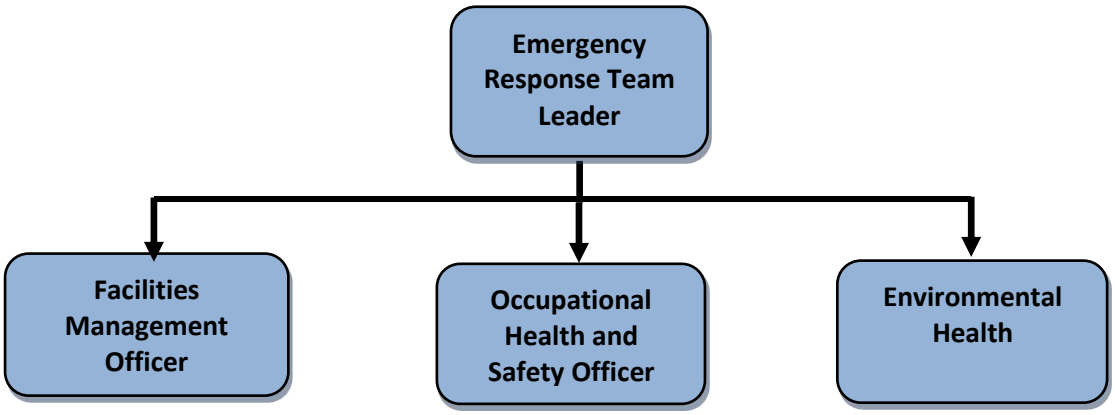


Figure 1: Emergency Response Team

5.1.2. Emergency Response Team

The table below details the ER team that has been identified for a disaster at the KZN DoE Head Office and any KZN DoE building.

Roles	Responsibility
Emergency Response Team Leader	Director: IT Services
Facilities Management Officer	Deputy Director: IT Services
Occupational Health and Safety Officer	Deputy Director: Security Advisory services
Environmental Health	Personal Assistant to the Director: IT Services

Table 5: ERT

Please refer to the ERP for detailed procedures as the scope of this document does not include a detailed ERP.

5.2. Crisis Management Plan

The Crisis Management Plan refers to the actions to be followed to determine if an incident can be categorised as a disaster i.e. to declare a disaster and invoke the BCP. It also pertains to informing the media, stakeholders, emergency services etc. about the disaster.

In the event of an incident occurring, the Crisis Management team ("CMT") will need to convene and assess the incident to determine its severity. Refer to the Crisis Management Plan ("CMP"). If the CMT decide to

declare the incident a disaster, the Crisis Management leader should communicate to the IT Disaster Recovery team leader and other relevant individuals.

5.2.1. Crisis Management Team Structure

The following diagram represents the structure of the CMT.

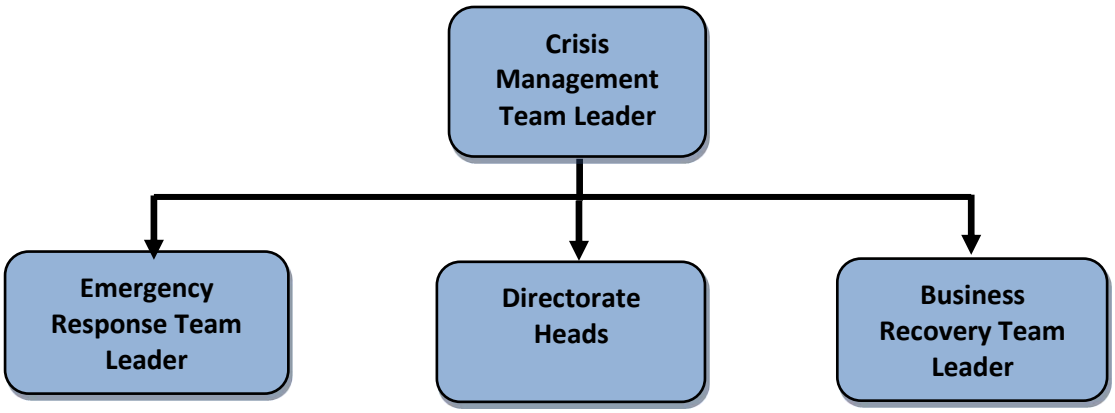


Figure 2: Crisis Management Team

5.2.2. Crisis Management Team

The table below details the CMT that has been identified for a disaster at the KZN DoE Head Office and any KZN DoE building.

Roles	Responsibility
Crisis Management Team Leader	TBC
Emergency Response Team Leader	TBC
Directorate Heads	Director IT Services Director: Demand and Acquisitions Director: Communications Director: Asset Management Director: Internal Audit and Risk Management Director: Budget & Expenditure Monitoring Director: Office of the HOD Director: Office of the MEC
Business Recovery Team Leader	TBC
Disaster Management (***optional***)	TBC

Table 6: CMT

5.3. Business Recovery Team

Each team member has a specific role and responsibility that contributes to the overall success of the recovery. The diagram below indicates the reporting lines for the BR team.

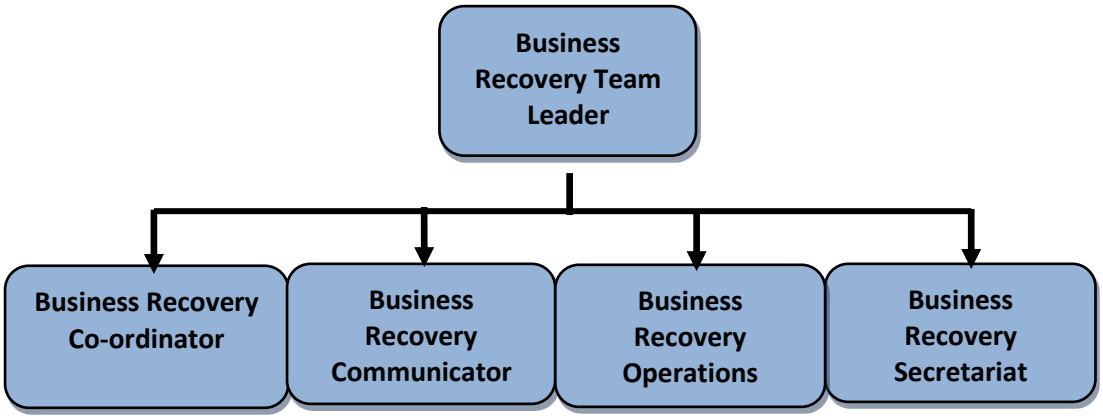


Figure 3: Business Recovery Team

The table below provides an overview of the KZN DoE BR team's responsibilities.

Role	Description
Business Recovery ("BR") Team Leader	• Declares a disaster after initial assessment of the incident • Convenes a BR team meeting • Reviews and amends business continuity strategies as required • Provides oversight and approval for the recovery activities • Provides the shareholders with status updates regarding recovery activities
Business Recovery ("BR") Co-ordinator	• Co-ordinates recovery activities • Ensures that relevant resources are provided • Maintains close liaison with the Head Office and KZN DoE sites • Tracks the progress of recovery activities • Provides the BR team leader with status reports on recovery operations until full recovery has been accomplished • Conduct post-recovery meeting to discuss lessons learnt and update the BCP
Business Recovery ("BR") Communicator	The Business Recovery Communicator is responsible for providing internal and external communication during a catastrophic incident. Depending on the nature of the disasters, the BR Communicator may need to assist with a media response which should be approved by Legal

Role	Description
	Services and the MEC.
Business Recovery ("BR") Operations	The Business Recovery Operations team member is the key contact person between the Head Office, KZN DoE offices, schools and any other KZN DoE entities. This individual has knowledge of the operations of KZN DoE and will be able to make decisions in order to restore operations as soon as possible.
Business Recovery ("BR") Secretariat	The Business Recovery Secretariat is responsible for assessing all decisions and actions which are taken during a disaster in accordance with the risk management procedures and policies of KZN DoE. This should be done to ensure that an audit trail is maintained for all decisions. The Business Recovery Secretariat will work closely with the Financial Approval team to ensure that financial approvals are also performed in-line with KZN DoE's policies and procedures.

Table 7: BR Team

5.4. KZN DoE Head Office BR Team

The table below details the BR team that has been identified for a disaster at the KZN DoE Head Office and any KZN DoE building. Alternate staff members have been identified to replace key member should they be unavailable.

Roles	Responsibility	Substitute for Roles
BR Team Leader	Chief Director: Administrative Services	Director: IT Services Chief Director: HR Management
BR Co-ordinator	Director: Internal Control and Risk Management	Acting Chief Director: Financial Services
BR Secretariat	Director: IT Services' Executive Assistant	Director: Communication and Publication
BR Communicator	Deputy Director : IT services	Director: Facilities Management and Auxiliary Services
BR Operations Team Members	Director: IT Services Director: Demand and Acquisitions Director: Communications Director: Internal Audit and Risk Management Director: Asset Management Director: Budget & Expenditure Monitoring Director: Office of the HOD	Deputy Director: IT Services Deputy Director: Demand and Acquisitions Deputy Director: Communications Deputy Director: Internal Audit and Risk Management Deputy Director: Asset Management Deputy Director: Budget &

		Expenditure Monitoring Deputy Director: Office of the HOD

Table 8: Head office BR Team

5.5. KZN DoE School BR Team

The table below details the BR team that has been identified for a disaster at any KZN DoE School. Alternate staff members have been identified to replace key member should they be unavailable. The BR Team Leader should involve the KZN DoE Team.

Roles	Responsibility	Substitute for Roles
BR Team Leader	Principal	Head Of Department
BR Co-ordinator	Chief Director: Administrative Services	Acting Head Of Department
BR Secretariat	Personal Assistant to the Director: IT Services	School Finance Secretary
BR Communicator	Director: Communication and Publications	Academic Head
BR Operations Team Member	Head of Department	Co-Curricular Head

Table 9: School BR Team

5.6. KZN DoE District BR Team

The table below details the replacement team that has been identified to stand in for the BR team that are tending to a disaster at the KZN DoE districts. Alternate staff members have been identified to replace key member should they be unavailable. The BR Team Leader should involve the KZN DoE BR Team.

Roles	Responsibility	Substitute for Roles
BR Team Leader	Chief Director: Examinations and Assessments	Chief Director: Curriculum and LTSM
BR Co-ordinator	Director: Provincial Administration	Director: Early Childhood Development
BR Secretariat	Personal Assistant to the Director: IT Services	Personal Assistant to the Chief Director: Curriculum Schools
BR Communicator	Director: Assessments	Director: FET curriculum Grade 10-12
BR Operations Team Member	Director: Quality Assurance	Director: Grade 1-9 General Education and Training

Table 10: District BR Team

5.7. Business Recovery Team Call Tree – Remaining Members

Figure 2 illustrates the call tree which must be activated in the event that a catastrophic disaster is declared. The BR Team Leader with the BR Communicator would contact each of the Directorate heads to filter messages to the Department. Refer to Table 21: Top Management Contact List for a list of contact details.

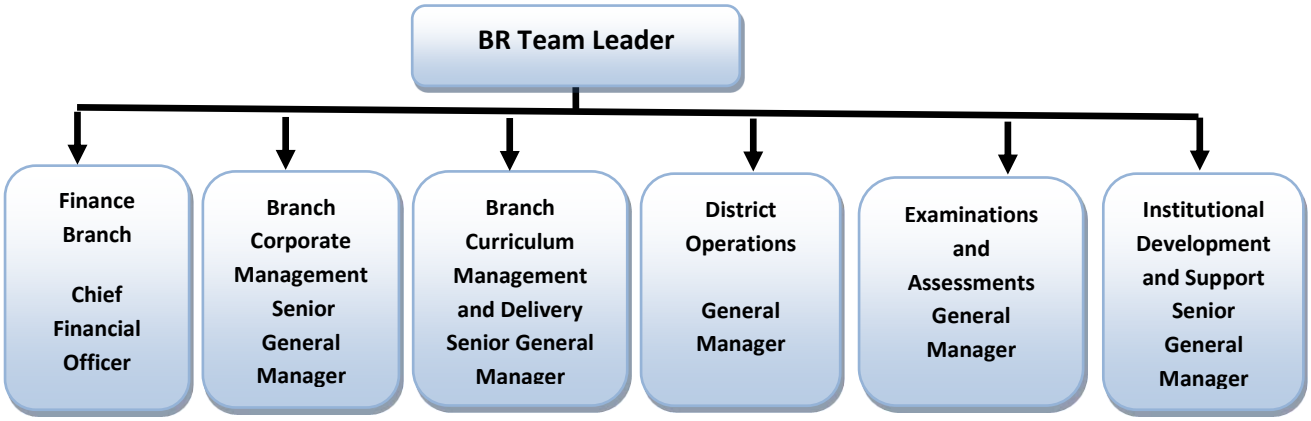


Figure 4: Business Recovery Call Tree

5.8. Cluster and District Office Call Tree

Figure 3 below represents the call tree that should be activated to ensure communication channels are established with the District Offices. This should be performed to ensure that the District Offices are aware of the disaster at the Department Head Office. The District Offices will in turn notify the clusters within their districts of the Head Office disaster. Refer to Table 21: Top Management Contact List.

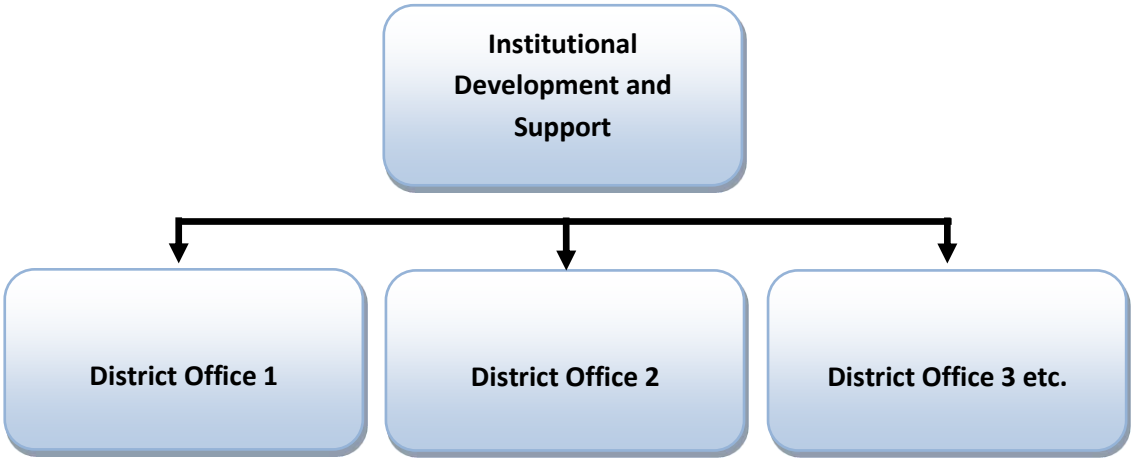


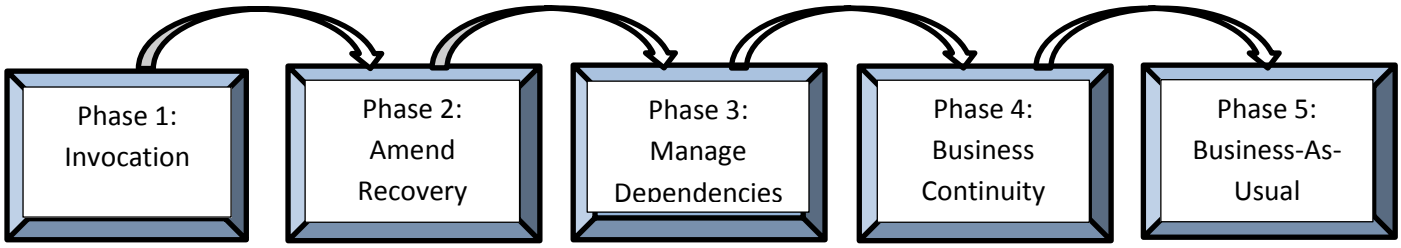
Figure 5: Regions and District Office call tree

Please Note: Consideration should be given by the District Office to notify the relevant Clusters of the disaster. This is based on the anticipated impact to each of these stakeholders.

6. Business Continuity Process

6.1. Business continuity process overview

The business continuity process, as detailed in this document, is depicted in Figure 4 below. The process is divided into five stages from the decision to invoke the BCP through to business resuming business operations as usual.



Phase 1: Invocation

Upon becoming aware of the event, the BR team leader will conduct an initial assessment in order to determine whether to declare a disaster and invoke the BCP. Should the event result in the declaration of a disaster, the process is then moved to the next stage where the recovery strategy is amended and implemented.

Phase 2: Amend Recovery Strategy

BR team members review the recovery strategy and prioritise recovery efforts in accordance with identified business processes and critical times. The selected recovery strategy may be updated where necessary after approval has been obtained from the BR team.

Phase 3: Manage Dependencies

This stage examines whether third party service providers are required to provide services or resources to enable business operations to restart/ continue. Expectations and timeframes are set with third party service providers.

Phase 4: Business Continuity Recovery

At this point, KZN DoE will need to recover from a loss of buildings, loss of equipment, loss of IT services/ systems as well as a loss of human resources.

Phase 5: Business-as-Usual

During the final stage of the recovery process, KZN DoE will return to BAU where processes and operations are run as per KZN DoE standards and expectations. KZN DoE will only reach this stage once the disaster had ended completely.

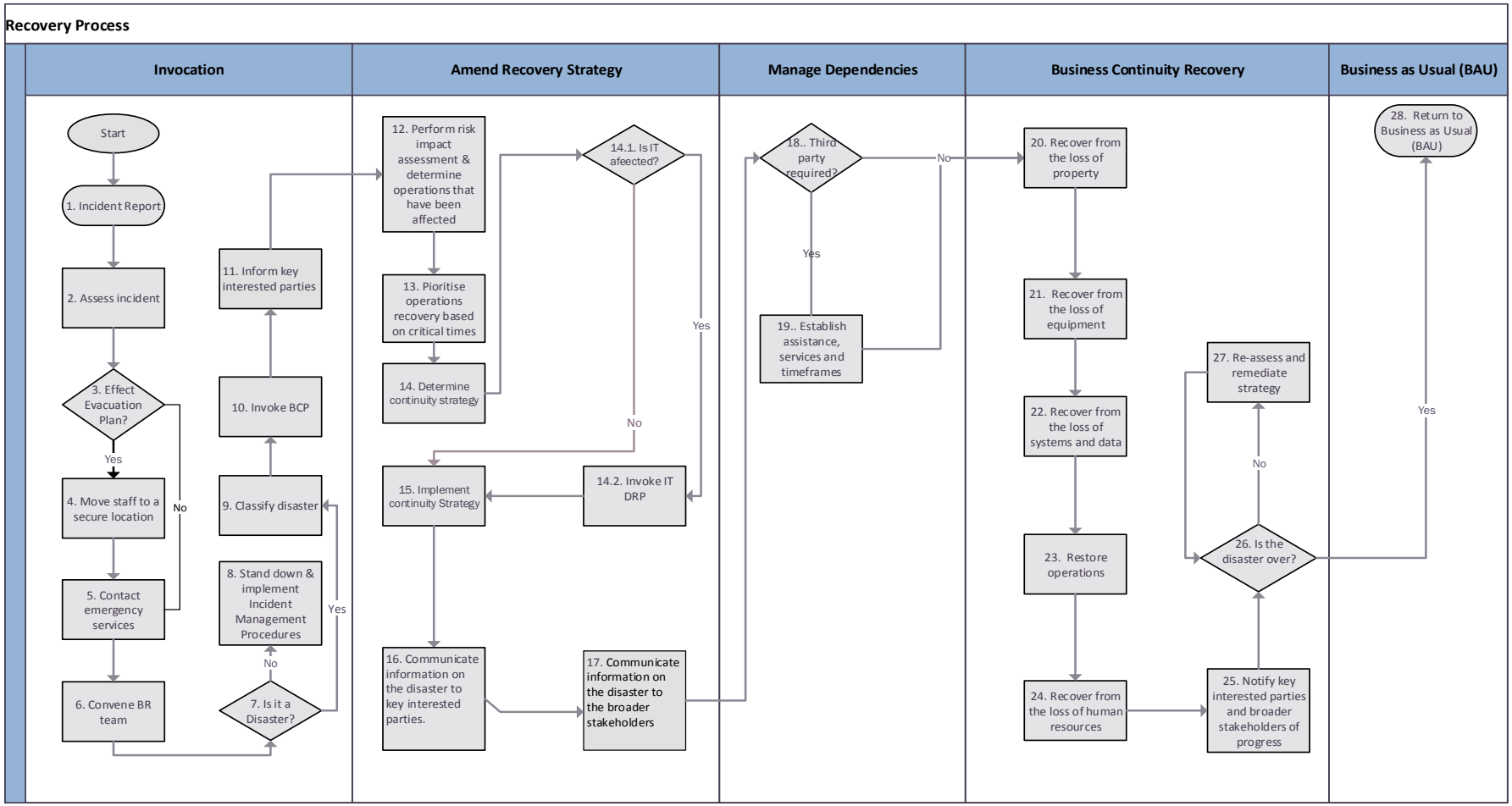


Figure 6: Recovery process

6.2. Business Continuity Process Descriptions

Phase 1: Invocation

1. Incident report

Based on the nature of the incident and location of occurrence, the BR Team Leader may receive notification of the incident from various sources. Ideally, this communication should be made by a senior staff member.

2. Assess incident

Upon notification, the BR Team Leader, with the assistance of the BR co-ordinator, shall assess the situation in terms of the impact and safety of staff members.

3 & 4. Effect the Evacuation Plan

The BR Team Leader may relocate employees based on the seriousness of the disaster and the threat to human life. Assembly points will be used to convene employees during a disaster. In the event of assembly points being affected by the disaster, the BR Team Leader may choose to move employees to a secure offsite location. A roll count will be performed per Directorate to ensure that all employees are located and are safe from harm.

5. Contact emergency services

The relevant emergency services are contacted (refer to Table 19: Emergency Services for emergency contacts). The BR Team Leader shall ensure that all employees affected by the disaster are provided with professional medical assistance and are placed in contact with a psychologist to assist with emotional/ psychological recovery.

6. Convene the Business Recovery team

The BR Team Leader shall meet with the BR Co-ordinator, BR Communicator, BR Secretariat and BR Operations team members to perform an overall assessment of the incident and determine whether the incident shall be classified as a disaster. A meeting room that has been declared safe to use, should be communicated to the BR team to convene.

7, 8 & 9. Determine if it is a disaster

A detailed assessment is performed by the BR team to determine the extent of the disaster. As part of the assessment the following is considered:

- What buildings have been damaged?
- How many facilities have been affected?
- Who has been injured?
- Has there been loss of life?
- Is the incident affecting examinations or the ability for educators to teach learners?
- Is the media aware and is DoE under public scrutiny?
- Are IT services and/or systems available?

Based on the assessment made by the BR team, the event shall either be declared as a disaster or an incident. If the event is declared as an incident, the BR team will stand down and implement the Incident Management Procedures. If the event is declared a disaster, the BR team shall classify the disaster as per the rating scale detailed in Table 5: Classifying a disaster.

10. Invoke the BCP

The BCP shall now be invoked and will form the basis for the recovery of KZN DoE.

11. Inform key interested parties of the disaster

Key interested parties will need to be informed of the disaster as per Table 10: Key interested Parties. Refer to Table 22: Dependencies Contact List for contact details of interested parties. Employees will need to be given a short informative brief on the disaster and be provided with instructions on the way forward. The

message should be positive and show KZN DoE's commitment to the safety of all employees and learners. Employees should be reminded not to communicate and divulge details of the disaster to any person that is external to KZN DoE.

Key Interested Party	Communicator
Head of Department ("HoD")	BR Team Leader
National Department of Basic Education	HoD
KZN Provincial Treasury	HoD
Office of the Premier	BR Communicator
State Information Technology Agency ("SITA")	BR Communicator with DR team leader
Districts (12)	Chief Directorate: District Operational Management
Office of the State Attorney	BR Communicator with Legal Services
Umalusi	BR Communicator with Examinations Administration

Table 11: Key Interested Parties

Phase 2: Amend Recovery Strategy

12. Perform a risk impact assessment and determine operations that have been affected

The BR Team Leader will provide team members with information regarding the incident. The BR Operations team member shall assess the extent of the disaster, operations/business processes affected, estimated times for recovery, limitation and restrictions. This shall be done with input from relevant operational staff such as firemen etc. Refer to Table 25: Damage Assessment Form for a *"Damage Assessment Report"* which should be completed to assist in assessing the damage to the department. Refer to Table 27: Risk Register for the risks the department has flagged.

13. Prioritise based on critical times

Consideration must be given to the business recovery objectives (in order of priority) listed below:

- 1st priority: Save lives
- 2nd priority: Restore operations such that schools are operational
- 3rd priority: Protect property and equipment
- 4th priority: Communicate to stakeholders
- 5th priority: Continue providing support schools and learners

In addition to this, priority should be considered according to the RTO per Directorate:

Division	Recovery Time Objective	Criticality	Business Process
Office of the MEC	**0-4 hours**	**5**	Refer to Table 11: Process RTO's for Process RTO's, Business processes and Critical time for the Office of the MEC.
Office of the HoD	**0-4 Hours**	**5**	Refer to Table 11: Process RTO's for Process RTO's, Business processes and Critical time for the Office of the HoD.
Office of the SGM	**4-8 Hours**	**4**	Refer to Table 11: Process RTO's for Process RTO's, Business processes and Critical time for the Office of the SGM.
Corporate Management	**4-8 hours**	**4**	Refer to Table 11: Process RTO's for Process RTO's, Business processes and Critical time for Corporate Management.
Information Technology	**Up to 2 days**	**3**	Refer to Table 11: Process RTO's for Process RTO's, Business processes and Critical time for Information Technology.
HR Management	**Up to 1 Week**	**2**	Refer to Table 11: Process RTO's for Process RTO's, Business processes and Critical time for HR Management.
Finance	**Up to 1 Week**	**2**	Refer to Table 11: Process RTO's for Process RTO's, Business processes and Critical time For Finance.
Institutional Development and Support	**Up to 1 Week**	**2**	Refer to Table 11: Process RTO's for Process RTO's, Business processes and Critical time per directorate.
Quality Assurance and Assessment	**Up to 1 Week**	**2**	Refer to Table 11: Process RTO's for Process RTO's, Business processes and Critical time per directorate.
Curriculum Management	**Up to 1 Month**	**1**	Refer to Table 11: Process RTO's for Process RTO's, Business processes and Critical time per directorate.
Curriculum Development Programmes	**Up to 1 month**	**1**	Refer to Table 11: Process RTO's for Process RTO's, Business processes and Critical time per directorate.

Table 12: Summary of Process RTOs

All members of the BR team shall review the various continuity strategies listed below, based on the nature of the disaster. The relevance of the strategy should be assessed and the most appropriate strategies for the event at hand should be selected. The message to be communicated to the various interested parties should be discussed.

Determine if the disaster has affected IT:
14.1 If IT has been affected then invoke the IT DRP.
14.2 If IT has not been affected, carry out Step 15.

Refer to Table 12 below for recovery strategies.

Disaster Impact	Strategy	Details	Responsible Person
Loss of property	**Relocation**	Relocate critical staff to continue operations at an alternate site according to Table 15 and 16.	BR Team Leader to make the decision in

Disaster Impact	Strategy	Details	Responsible Person
Refer to Table 15: Alternate Sites for alternate sites. Refer to Table 16: Workstation Requirements for workstation requirements	**Go Home**	If the impacted Directorate is not critical, send employees home and provide an estimated return date and location.	conjunction with Facilities Management, Auxiliary Services and Head of the impacted building/ Directorate/ District.
	Substitute	Request assistance from alternate Directorates or offices.	
	Do Nothing	The impacted building/location is not critical to KZN DoE and action does need to be taken immediately.	
Loss of equipment Refer to Table 23: List of Equipment for a list of equipment required per directorate.	**Substitute internally**	Use equipment from other KZN DoE offices/ sites.	BR Team Leader, impacted Directorate, Facilities Management and Auxiliary Services.
	Outsource	Engage with a service provider to provide the equipment at a fee.	
	Purchase	Purchase new equipment to replace damaged equipment.	
	Do Nothing	The equipment was redundant or not critical.	
Loss of IT services/systems Refer to Table 24: List of Critical Systems and RTO's for a list of critical systems and RTOs.	**Invoke IT DRP**	Invoke the IT DRP and contact SITA or national departments depending on the affected systems.	BR Team Leader, impacted Directorate and Directorate: Information Technology.
	Manual Workaround	Use manual workarounds while the affected IT services/ systems are being recovered.	
Loss of critical information Refer to Table 17: Vital Records for a list of vital records.	**Recover**	Recover data or files that are backed up or have been archived.	BR Team Leader, impacted Directorate and Directorate: Information Technology.
	Recreate	For data or files that have not been backed up, recreate the information using source data or from others who may have this. For completed examination scripts that have been lost, a National decision is to be made on whether a continuous	

Disaster Impact	Strategy	Details	Responsible Person
		assessment average can be assigned per learner.	
	Do Nothing	There are no backups available and no way to recreate the information.	
Loss of Third Party Refer to Table 22: Dependencies Contact List for a list of KZN DoE critical third parties	**Substitute Internally**	Request assistance from resources within KZN DoE who can perform the required duties. Use KZN DoE policies and procedures to support this strategy. Implement penalty clauses on the SLA with the Third Party if relevant.	BR Team Leader and individual responsible for the third party.
	Outsource	Investigate outsourcing required services to another suitable third party.	
	Substitute Externally	Recruit temporary/ permanent staff.	
	Do Nothing	There are no suitable replacements and/or it is not feasible to replace the third party. No action to be taken until the third party has recovered.	
Loss of life (Key Personnel) Refer to Table 14: Critical Resources for a list of critical resources.	**Substitute Internally**	Request assistance from resources within KZN DoE who can perform the required duties. Use KZN DoE policies and procedures to support this strategy.	BR Team Leader, HR Services Directorate and affected Directorate Head.
	Outsource	Investigate outsourcing required services to a suitable third party.	
	Substitute Externally	Recruit temporary/ permanent staff.	
	Do Nothing	The unavailable resource did not perform a critical function and action does not need to be taken immediately.	

Disaster Impact	Strategy	Details	Responsible Person
Loss of Utilities	**Backups**	Electricity - switch over to the generator or UPS. Water - use water tanks, if available	BR Team Leader to make the decision in conjunction with Facilities Management, Auxiliary Services and Head of the impacted building/ Directorate/ District
	Go Home	If conditions are not suitable for working, employees should be instructed to go home with a return date provided.	
	Outsource	Engage with a service provider to provide the utility.	
	Do Nothing	Wait until the utilities are provided.	

Table 13: Recovery strategies

15. Implement continuity strategy

In implementing the strategy, the BR team may need to amend the strategies where required to ensure that BC objectives are adequately met. The message to be communicated to the various interested parties should also be finalised.

16. Communicate information on the disaster to key interested parties

The BR Co-ordinator shall prepare an initial stakeholder briefing from a business continuity perspective. This may include informing key stakeholders that a decision is being made by management regarding the course of action going forward and, where applicable, providing interim instructions.

At this point individuals listed in Table 10: Key interested Parties shall be notified of the recovery strategy. Additional information on the disaster is communicated such as the strategy to be taken, status of the disaster. Refer to Table 22: Dependencies Contact List for contact details of the key interested parties.

17. Communicate information on the disaster to the broader stakeholders

The BR Co-ordinator shall prepare an initial staff brief which may include informing broader stakeholders that a decision has been made by management regarding the course of action going forward and, where applicable, providing interim instructions. (Refer to Section 5: Dealing with The Media) for details on dealing with the media.

The BR Team Leader will provide direction as to the communication of the disaster that will be sent to third party service providers and suppliers as well as the communication media to be used.

Refer to Table 13: Broader Stakeholders for a list of broader stakeholders and Table 22: Dependencies Contact List for contact details of the stakeholders.

Phase 3: Manage Dependencies

18 & 19 Third party assistance

The BR team shall assess the required recovery activities and identify requirement for professional third party assistance to ease the internal deficiencies caused by the event. Third parties may be engaged with to perform the following:

- Key activities related to urgent and critical business processes
- Specialised functions / processes completely (outsourced services)
- Provide critical resources required for recovery

If an external service provider is not required then, KZN DoE must continue with the recovering from the loss of property (Step 20.)

Refer to Table 22: Dependencies Contact List for a List of KZN DoE Third Parties/dependencies.

The following steps should be followed when securing third party assistance:

- The team shall compile a list of specific activities/ functions required as well as additional resources needed to ensure that critical business processes are adequately actioned
- Once a list has been compiled, the BR team shall then identify third parties who are able and willing to provide the required services/ resources
- First preference should always be given to already existing approved suppliers from the supplier database
- In the event that an already existing service provider is unable or unwilling to assist, a new service provider will be engaged after approval has been gained from the BR Team Leader

Once a service provider has been engaged with and services/ resources have been procured, commitment shall be gained to ensure that the service provider delivers within the required time frames.

Phase 4: Business Continuity Recovery

20. Recover from the loss of property

The following proceedings control the recovery from the loss of property:

- Management will ensure that there is sufficient co-ordination with staff working at alternate offices as well as the KZN DoE offices.
- Based on the impact of the disaster, alternate arrangements may have to be made for the schools that are impacted. The BR team shall ensure that a suitable relocation premises is established and made available in a timely manner.

Refer to Table 16: Workstation Requirements when choosing a suitable alternate location.

Disaster at:	Alternate Locations:	Work-space
KZN DoE Head Office (228 Pietermaritz Street)	• Howard Avenue, Durban • Truro House, Durban • Malgate Building, Durban • Burger Street, Pietermaritzburg • Durban Teachers Centre, Durban	To be confirmed with the venue at the time of the disaster
KZN DoE Head Office (247 Burger Street)	• KZN DoE Head Office (228 Pietermaritz Street) • Howard Avenue, Durban • Truro House, Durban • Malgate Building, Durban • Durban Teachers Centre, Durban	To be confirmed with the venue at the time of the disaster
School	• Learners must be moved to other classrooms in the schools if feasible. • If the above is not possible, learners are only allowed to stay at home for a maximum of three days. • If the above is not possible, learners must be moved to other schools and transport must be organised. • If the above is not possible, then learners must be moved to a public building e.g. Local City Hall.	To be confirmed with the venue at the time of the disaster
Examination centre	• Local City Hall • Neighbouring School Hall	To be confirmed with the venue at the time of the disaster.

Table 14: Alternate Sites in the event of a disaster

21 Recover from the loss of equipment

The BR Team Leader shall contact the Senior General Managers to ensure that backup infrastructure/equipment is implemented in a timely manner to ensure that operations can continue where possible. Back up infrastructure may be used until a full recovery has taken place. The BR Team leader shall decide on the said continued usage of infrastructure when the disaster has ended.

Refer to Table 23: List of equipment for the List of equipment required per directorate

Equipment that may need to be purchased will go through an Emergency Expense Approval. Refer to Appendix 2: Emergency Expense Approval Form and obtain the necessary approval.

22 Recover from the loss of systems /IT services

The following considerations should be made when recovering from the loss of systems and data:

- In the event that IT systems, infrastructure and/ or data have been affected by the disaster, the BR team will initiate recovery using its IT DRP. In the interim, where possible, the various departments will continue operations using alternate systems and manual workaround processes. If the impact requires SITA involvement, the IT DR Team Leader will need to inform the SITA Account Manager. *Refer to Section 7: Escalating a Technology Incident*
- In the event that IT equipment required by staff has been affected, the BR Co-ordinator will liaise with the DR Team to arrange the required equipment
- Lost data will be recovered by using backup restorations performed by the IT department or from the copies of critical documents taken offsite
- Once systems and data have been recovered, the DR Team shall ensure that staff members upload relevant backlogged or corrupt data from paper / alternate copies
- The DR Team shall inform the BR Co-ordinator on the recovery of IT systems, applications and data.

23 Restore operations at the alternate site

The BR Co-ordinator shall communicate with Senior General Managers and relevant third parties regarding their readiness to proceed with operations at the alternate site. This process however, shall take place in line with continuity capabilities where certain processes will be recovered sooner than others. Refer to Table 11: Process RTOs per Directorate. Any business process/operation delays should be communicated to the BR Team leader on a timely basis. The BR team shall then monitor the success of the recovery and arrange for stand by staff to return to KZN DoE.

The BR Team Leader must communicate with Senior General Managers, to provide an update of the affected site as well as the estimated time frames to return to Business-As-Usual.

24 Recover from the loss of human resources

The BR team shall determine the availability of staff members and succession planning, in line with the operating level required. In the event that the available staff complement falls below the minimum level of staff required to perform business processes, adequately suitable alternate staff members may be engaged to continue with business operations.

The BR team shall determine the following:

- Which staff members will be required to relocate to an alternative site?
- Which staff members/ functions can be transferred to other buildings/ offices?
- Which staff members will be sent home to await further instructions?
- How will learners be accommodated?

Where necessary, staff shortages will also be supplemented with the assistance of external service providers. Job descriptions should be readily available to govern the actions that will be performed by staff that are temporarily standing in for others.

Refer to Table 10: Key Interested Parties for the critical staff members who would need to be replaced in the event that they are incapacitated.

25 Notify key interested parties and broader stakeholders of progress

The BR Co-ordinator shall ensure that the relevant stakeholders are informed that KZN DoE has recommenced the execution of its critical business processes.

The following parties should be notified:

- Table 10: Key interested parties
- Table 22: Dependencies Contact List
- Table 13: Broader Stakeholders

27 & 28 Determine whether the disaster is over

The BR Co-ordinator shall maintain communication with the Senior General Managers, examination centres and the schools to track the effectiveness of the recovery strategy that was selected. Remedial action will be effected as required after approval has been gained from the BR team. All status updates should be regularly recorded.

Refer to Table 3: Status Update Tracking for logging of status updates.

Phase 5: Business as Usual (BAU)

29 Return to Business-as-Usual

Once operations are running as they should and processes are being effected as per KZN DoE standards, business may resume as usual. The BR team along with management shall document a disaster report to formulate a lessons learnt matrix which may be used for future disaster scenarios.

Refer to Table 26: Business Recovery Process Checklist for a checklist of items to be completed in the event of a disaster. The checklist is based on the above.

7. Dealing with Media

It is important to remember that all communications with the media should only be conducted by the authorised KZN DoE representative – Senior Manager of the Directorate of Communications and Publications during a disaster. It is important to allocate a media liaison to ensure that the information provided to the media is correct and the probability of the media possessing confidential information is low.

In the event that a KZN DoE staff member has to communicate with the media relating to the disaster, the following guidelines should be used:

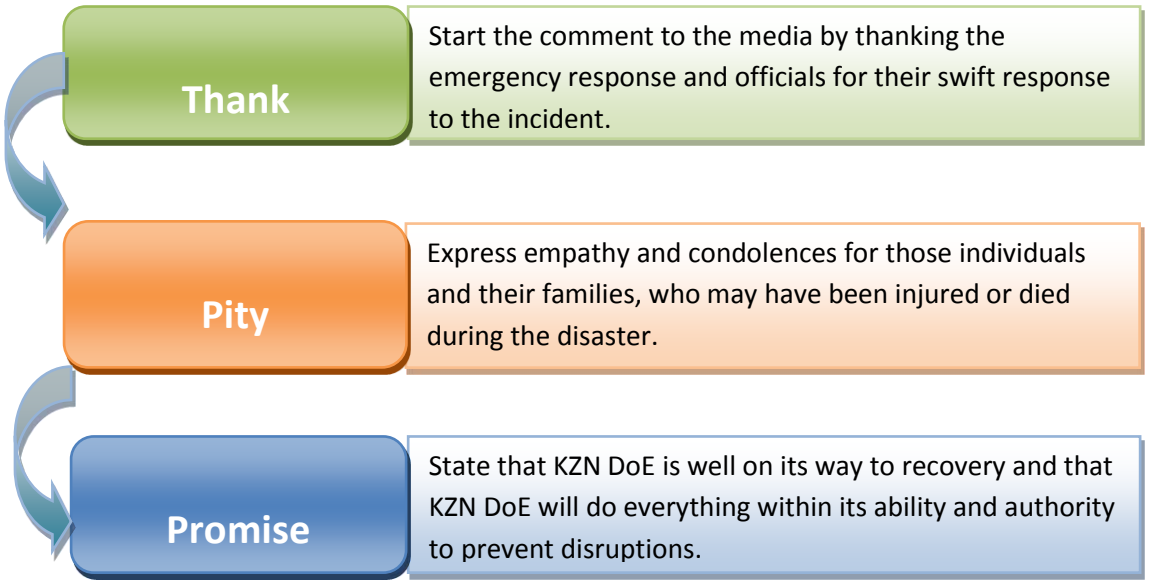


Figure 7: Guidelines for communicating to the media in the event of a disaster

The following information may be of use when dealing with, or preparing to deal with, the media:

- A positive dialogue with the press will assist in unbiased coverage. Furthermore, it will assist in building a degree of goodwill that should encourage fair future coverage
- Never offer “no comment” as a reply to a question
- The spokesperson is to be accessible to/by the media at all times, which will demonstrate to the media that KZN DoE is being transparent through availing the media and public with as much information as possible
- Statements to the media should not be heavily rehearsed to prevent the communication sounding too scripted
- Whenever possible, standby statements are to be prepared addressing the potential crisis
- Language used should be as positive as possible with as little technical jargon as possible. This will portray the fact that KZN DoE expects to resolve the situation favourably
- KZN DoE’s media Spokesperson (Senior Manager of the Directorate of Communications and Publications) should be well equipped to provide the media with basic information such as KZN DoE’s history and biographies of key executives
- When dealing with BROADCAST REPORTERS, the media spokesperson is to answer questions with key messages in easily digestible 15 - 20 second sound bites. Longer statements can be taken out of context through the tape editing process. Having the question repeated is also an effective tactic for the spokesperson to create more time to formulate a suitable answer
- When dealing with PRINT REPORTERS, longer statements and replies may be given, however such responses need to be well formulated

- Television reporters and still photographers will be looking for visual effects to "tell the story". The location of the interview must carefully be pre-selected
- Staff members who were involved in the crisis are to be interviewed by members of the BR Team as soon as possible (while details are still fresh in their minds). This is important for two reasons:
  - To elect less traumatised individuals available for media interviews
  - To extract data first hand on how the incident occurred (this can subsequently be used to implement preventative measures to prevent a similar crisis)
  - To determine post-event de-traumatising counselling needs
- Key aspects to avoid in addressing the media
  - Do not provide information "off the record"
  - Do not be evasive or hesitant in a response to the media
  - Do not give out any unauthorised information
  - Never withhold information which is available anyway, or from another source
  - Do not promise to call back, unless forced to
  - Do not be trapped into speculating about the causes and effects of the disaster
  - Do not forget to be helpful
  - Never lose your temper

7.1. Items to be addressed during media announcements:

- Provide information on the nature of the disaster/emergency
- Provide information on the nature of deaths or injuries
- Discuss continuing peril or absence of peril
- Provide the names of dead or injured, but only if next-of-kin have been informed
- Approximate the time of the incident and when it was brought under control
- Provide information on the location of the accident/incident
- Provide insight into the effect that the disaster has on continuing operations and staff
- Provide the addresses, ages and length of service of any dead or injured
- Have a fact sheet prepared for explaining the operational process, how many staff etc.

7.2. Example Media Release Statement

The following is an example of a media release statement which should be used, if required, during a disaster:

MEDIA ADVERTISEMENT **KZN DEPARTMENT OF EDUCATION** **PUBLIC ANNOUNCEMENT** **DIRECTORATE: COMMUNICATION AND PUBLICATION**
The KwaZulu-Natal Department of Education would like to inform all its stakeholders and third parties that, while the Head Office remains out of order, they may direct any queries, concerns or comments to the Executive Management Team at the following: KZN DoE Head Offices: 247 Burger Street, Pietermaritzburg, 3201 Tel: 033 392 1004 Fax: 033 392 1203 In the event the above building is affected: 228 Pietermaritz Street, Pietermaritzburg, 3201 Tel: 033 846 5518 The Department's communication staff, under the management of KZN DoE, will be on hand to deal with any matters requiring the department's urgent attention to ensure service quality during this difficult time. KZN Department of Education Designation: Director: Communications and Publications

8. Technology Issues Escalation Process

The following process should be followed in the event that a technology issue is experienced with the Transversal systems which are not as a result of the connection between the Department and SITA.

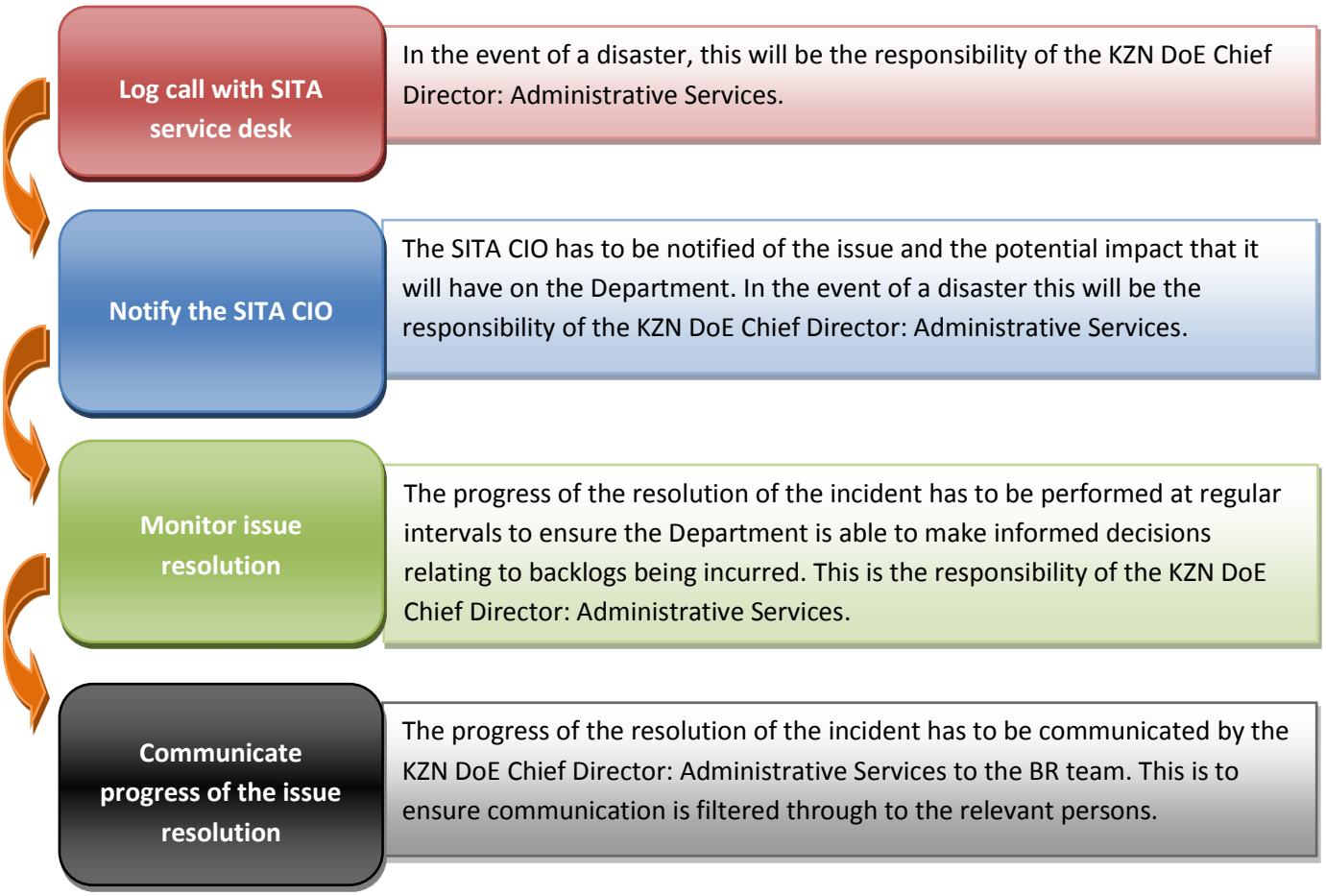


Figure 8: The technology issues escalation process

9. Appendix 1: Common Data

9.1. Table 1: Distribution and Version Control

Distribution List	Designation	Version
Dr. EV Nzama	Head of Department	1.0
Ms. M Thusi	Chief Director: Administrative Services	1.0
Mr S Halimana	Director: IT Services	1.0
Dr. JB Mthembu	Chief Director: Examinations and Assessments	1.0
Ms. BT Dlamini	Director: Early Childhood Development	1.0
Ms. NJ Dlamini	Chief Director: Institutional Development Support	1.0
Ms. TA Gumede	Chief Director: District Operations	1.0
Miss. G Madlala	Chief Director: Social Enrichment Programs	1.0
Ms. W. Hadebe	Chief Director: Infrastructure Planning and Delivery Management	1.0
Dr. HP Gumede	Director: Rural Education and Inclusive Education	1.0
Ms. V Saunders-Carson	General Manager: Office of the MEC	1.0
Vacant	Chief Director: Office of the Head Of Department	1.0
Mr. GN Ngcobo	Acting Deputy-Director General: Corporate Management	1.0
Mr L Rambaran	Acting Chief Financial Officer	1.0
Mr GN Ngcobo	Chief Director: HR Management	1.0
Mr. Q. Mzobe	Deputy Director: Security Advisory Services	1.0
Ms. C. Browne	Director: Internal Control and Risk Management	1.0
Mr. M. Mahlambi	Director: Communication and Publications	1.0
Mr. R Penniston	Director – Provincial Administration	1.0

Table 1: Distribution and Version Control

9.2. Table 2: Revision History

Date	Author	Version	Changes Made	Impact
29 January 2016	SITA	First Draft	Updated from first review from SITA	Aligned to KZN DoE
11 May 2016	SITA	Second Draft	Updated from desktop walkthrough exercise	Aligned to KZN DoE
6 February 2017	SITA	Third Draft	Updated with new staff and roles	Aligned to KZN DoE

Table 2: Revision History

9.3. Table 3: Sample Status Update tracking

Status Update Tracking	
	Comments
Status update example • *Date: 11 May 2030* • Time*: 11:30*	*Disaster: Fire at the head office server room* *Status update 1, Day 1 of the incident* - *All Business Units have been informed,* - *All top management have been contacted* - *IT DR team has been contacted* - *IT DR team meeting is scheduled to take place May 12, 2030 08:00am* - *IT DR team has performed a damage assessment and risk assessment and determine if the incident was critical.*
Status update 1 • Date: DD-MM-YYYY • Time: HH:MM	
Status update 2 • Date: DD-MM-YYYY • Time: HH:MM	

Sample

Table 3: BCP StorageSample Status Update Tracking

9.4. Table 4: BCP Storage

Format	Location	Date Performed
Paper (hard copy)	Malgate Building, Stalwart Simelane Street, Durban	
Paper (hard copy)	228 Pietermaritz Street, Pietermaritzburg	
Paper (hard copy)	247 Burger Street, Pietermaritzburg	
Paper (hard copy)	47 Howard Avenue	
Electronic (soft copy) on the file server	IT Directory: XXX	

Table 4: BCP Storage

9.5. Table 5: Classifying a disaster

	SEVERITY LEVEL				
Impact Area	**1 - Insignificant**	**2 - Minor**	**3 - Moderate**	**4 - Major**	**5 - Catastrophic**
Finance	Revenue decrease < R 1.8 mil	Revenue decrease: 1.8 mil – 5.4 mil	Revenue decrease: 5.4 mil – 9 mil	Revenue decrease: 9 mil – 12.6 mil	Revenue decrease > 12.6 mil
Reputation	Insignificant Local complaints, Minor disruptions to relations	Minor local public attention	Local impact-significant local public concern, Breakdown in relations with stakeholders	Regional impact-regional public concern, Breakdown in relations with stakeholders	National impact-national public concern, Breakdown in relations with the Minister and National Departments
Legal and Compliance	Low level legal case	Minor legal issue	Serious breach of the law. Moderate penalties	Major breach of the law. Considerable penalties	Very considerable penalties and prosecutions. Multiple law suits and jail terms

Table 5: Classifying a disaster

9.6. Table 6: BR Team

Role	Description
Business Recovery ("BR") Team Leader	• Declares a disaster after initial assessment of the incident • Convenes a BR team meeting • Reviews and amends business continuity strategies as required • Provides oversight and approval for the recovery activities • Provides the shareholders with status updates regarding recovery activities
Business Recovery ("BR") Co-ordinator	• Co-ordinates recovery activities • Ensures that relevant resources are provided • Maintains close liaison with the Head Office and KZN DoE sites • Tracks the progress of recovery activities • Provides the BR team leader with status reports on recovery operations until full recovery has been accomplished • Conduct post-recovery meeting to discuss lessons learnt and update the BCP
Business Recovery ("BR") Communicator	The Business Recovery Communicator is responsible for providing internal and external communication during a catastrophic incident. Depending on the nature of the disasters, the BR Communicator may need to assist with a media response which should be approved by Legal Services and the MEC.
Business Recovery ("BR") Operations	The Business Recovery Operations team member is the key contact person between the Head Office, KZN DoE offices, schools and any other KZN DoE entities. This individual has knowledge of the operations of KZN DoE and will be able to make decisions in order to restore operations as soon as possible.
Business Recovery ("BR") Secretariat	The Business Recovery Secretariat is responsible for assessing all decisions and actions which are taken during a disaster in accordance with the risk management procedures and policies of KZN DoE. This should be done to ensure that an audit trail is maintained for all decisions. The Business Recovery Secretariat will work closely with the Financial Approval team to ensure that financial approvals are also performed in-line with KZN DoE's policies and procedures.

Table 6: BR Team

9.7. Table 7: Head Office BR Team

Roles	Responsibility	Substitute for Roles
BR Team Leader	Chief Director: Administrative Services	Director: IT Services Chief Director: HR Management
BR Co-ordinator	Director: Internal Control and Risk Management	Acting Chief Director: Financial Services
BR Secretariat	Director: IT Services' Executive Assistant	Director: Communication and Publication
BR Communicator	Deputy Director : IT services	Director: Facilities Management and Auxiliary Services
BR Operations Team Members	Director: IT Services Director: Demand and Acquisitions Director: Communications Director: Internal Audit and Risk Management Director: Asset Management Director: Budget & Expenditure Monitoring Director: Office of the HOD	Deputy Director: IT Services Deputy Director: Demand and Acquisitions Deputy Director: Communications Deputy Director: Internal Audit and Risk Management Deputy Director: Asset Management Deputy Director: Budget & Expenditure Monitoring Deputy Director: Office of the HOD

Table 7: Head Office BR Team

9.8. Table 8: School BR Team

Roles	Responsibility	Substitute for Roles
BR Team Leader	Principal	Head Of Department
BR Co-ordinator	Chief Director: Administrative Services	Acting Head Of Department
BR Secretariat	Personal Assistant to the Director: IT Services	School Finance Secretary
BR Communicator	Director: Communication and Publications	Academic Head
BR Operations Team Member	Head of Department	Co-Curricular Head

Table 8: School BR Team

9.9. Table 9: School BR Team

Roles	Responsibility	Substitute for Roles
BR Team Leader	Chief Director: Examinations and Assessments	Chief Director: Curriculum and LTSM
BR Co-ordinator	Director: Provincial Administration	Director: Early Childhood

		Development
BR Secretariat	Personal Assistant to the Director: IT Services	Personal Assistant to the Chief Director: Curriculum Schools
BR Communicator	Director: Assessments	Director: FET curriculum Grade 10-12
BR Operations Team Member	Director: Quality Assurance	Director: Grade 1-9 General Education and Training

Table 9: District BR Team

9.10. Table 10: Key Interested Parties

Key Interested Party	Communicator
Head of Department ("HoD")	BR Team Leader
National DoE	HoD
KZN Provincial Treasury	HoD
Office of the Premier	BR Communicator
State Information Technology Agency ("SITA")	BR Communicator with DR team leader
Districts (12)	Chief Directorate: District Operational Management
Office of the State Attorney	BR Communicator with Legal Services
Umalusi	BR Communicator with Examinations Administration

Table 10: Key Interested Parties

9.11. Business Process Priorities - Table 11: Process RTO's

Division	Business Process	Recovery Time Objective	Criticality	Critical Time
Office of the MEC	1. Management of the department – public facing	**0-4 hours**	**5**	Public meetings
Office of the HOD	1. Internal control 2. Inter government relations 3. Executive support	**0-4 Hours**	**5**	-
Office of the SGM	Small, Medium and Micro-sized Enterprises (SMMEs)	**4-8 Hours**	**4**	-
Corporate Management	**CD: Administrative Management Services** 1. Dir: Strategic Management, Monitoring and evaluation 2. Dir: Communication and Publication (internal and external) 3. Security Advisory Services (Security for examinations, various sites, vetting, screening, breaches) 4. Dir: Facilities management and Auxiliary Services (maintenance)	**4-8 hours**	**4**	**CD: Administrative Management Services** During and after examinations, release of and post release of results. Schools open.
	Dir: Security Services 1. Provides physical security for the sites.			**Dir: Security Services** Examinations
	Dir: Legal Services 1. Provide legal service for the department.			
Information Technology	1. Manage third parties 2. Provide first line support 3. Project management 4. Management of transversal systems 5. Procurement of IT assets	**Up to 2 days**	**3**	1. Everyday 2. During examinations 3. Project dependency 4. During

Division	Business Process	Recovery Time Objective	Criticality	Critical Time
HR Management	1. Dir: HR services 2. Dir: Performance Management 3. Dir: Employee Relations 4. Dir: Human Resource Development 5. Dir: Organisational Development	**Up to 1 Week**	**2**	***If a disaster occurs during the monthly payroll run, the RTO becomes Up to 2 Days.***
Finance	**Dir: Logistics, Assets and Disposals:** Provide detailed and trackable asset register for purchasing of assets, adding of new assets and avoiding misallocation. Acquire, receiving and distribution of inventory.	**Up to 1 Week**	**2**	**Dir: Logistics, Assets and Disposals:** Reporting: 31 March and 30 September 31 March, 1 June, 1 September, 1 December
	Dir: Demands and Acquisitions: 1. Provide demand management services. 2. Provide acquisition management services. 3. Manage compliance, performance and risk assessments in relation to demand and acquisition services.			**Dir: Demands and Acquisitions:** 31 March - 1 April / 30 April

Division	Business Process	Recovery Time Objective	Criticality	Critical Time
	Dir: Budget and Expenditure Monitoring: Attending the budget workshop, workshop with responsibility managers, prepare budget, annual cash flow preparation and budget adjustments. 1. Compile the budget of the Department. 2. Monitor budget and expenditure performance of various programs within the Department. 3. Conduct expenditure corrections of misallocated expenses for the Department. 4. Ensure reconciliation of captured budgets on BAS and the tabled budgets. 5. Provide advisory and support services to Program and Responsibility Managers within the allocated funds. 6. Conduct quarterly annual budget performance reviews and reports. 7. Conduct virements and adjustment budgets in terms of the PFMA. 8. Compile the In-Year- Monitoring tool and other reports in line with legislative prescripts and report thereto.			**Dir: Budget and Expenditure Monitoring** 1 June Budget Submission - September Budget Process - 1 June Draft to be submitted - August and Final to be submitted April the next year

Division	Business Process	Recovery Time Objective	Criticality	Critical Time
	Dir: Salary and tax management: 1. Process garnishee payments 2. Control salaries and other payment services. 3. Manage suspense accounts relating to salaries. 4. Conduct salary related account reconciliations. 5. Manage, reconcile and report tax related transactions for the Department. 6. Provide ongoing support to District managers.			**Dir: Salary and Tax Management** 1. Payroll: 28 Feb to submit to SARS 2. Persal - 2 weeks before payment date dependent on the month 3. Payroll Tax - Aug
	Dir: Financial Accounts: 1. Exercise transaction expenditure control. 2. Provide creditor payment services. 3. Provide revenue debtor collection recovery services. 4. Manage the suspense account in relation to creditor payments. 5. Conduct monthly and annual account reconciliations. 6. Manage the bank account regularly. 7. Prepare interim and annual financial statements for the Department.			**Dir: Financial Accounts:** Close books: Monthly Budget vs expenditure: 5th/10th of every month Financial Statement - Draw-up: 31 March Financials due: 31 May To handover to AG: 31 August
Institutional Development Support	**Circuit Management:** Provision of management support to schools **TLS – GET and FET:** Teaching and Learning Support **Physical Planning:** Infrastructure support **Human Resource Management:** Management of staff, recruiting, pension benefits, leave management	**Up to 1 Week**	**2**	**Financial Management:** Month end/ Year end

Division	Business Process	Recovery Time Objective	Criticality	Critical Time
	Financial Management: Payment of staff salaries **Psychological Services:** Provide assistance to learners and teachers **Auxiliary Services:** Logistics management, office accommodation, transport, security			
Quality Assurance and Assessment	1. To administer the examination system 2. To provide logistics and certification services 3. To administer examination system	**Up to 1 Week**	**2**	***If a disaster occurs during the examination period, the RTO***
Curriculum Management	**CD: Curriculum Management:** 1. LTSM Process - Updating and printing of LTSM catalogue: Providing schools with appropriate books and stationery catalogues. 2. Requisitioning Process - Managing and monitoring completion and submission of requisitions by schools 3. LTSM Order - All LTSM orders placed with suppliers 4. Monitoring of LTSM delivery - Monitoring of LTSM delivery to schools and addressing queries	**Up to 1 Month**	**1**	**CD: Curriculum Management** 1. March and April June - November 2. May and June 3. July and August 4. August and November
	CD: Curriculum Development Programs: 1. Assessments, examinations, tests, capturing of marks, progress of schools, examinations in July, senior certificate examinations and LTSM procurement, 2. supply of reports, national strategy on learner attainment (informs the system of the performance of the schools on the systems)			

Division	Business Process	Recovery Time Objective	Criticality	Critical Time
Curriculum Development Programmes	**ELITS:** Manage the School Library Infrastructure - Functions include: • School library development program: central, institutional and mobile • Development of cluster education centres: science lab, Computer lab, library, meeting room • Reading promotion initiatives • Information skills and ICT integration into the library offerings **Quality Assurance:** Improvement of learner performance through: • Overseeing the completeness of the registration of learners • ANA administration • Development of learners and the curriculum • Assurance of provincial tests, Grades 1-9: Setting of the tests, development of marking manuals, assurance of results • 360 school evaluations: Review of desktop evaluation, external evaluation and reporting	**Up to 1 month**	**1**	**ELITS**: January and June **Quality Assurance:** June, August, November March, April and May

Table 11: Process RTO

9.12. Table 12: Recovery Strategies

Disaster Impact	Strategy	Details	Responsible Person
Loss of property Refer to Table 15: Alternate Sites for alternate sites. Refer to Table 16: Workstation Requirements for workstation requirements	**Relocation**	Relocate critical staff to continue operations at an alternate site according to Table 15 and 16.	BR Team Leader to make the decision in conjunction with Facilities Management, Auxiliary Services and Head of the impacted building/ Directorate/ District.
	Go Home	If the impacted Directorate is not critical, send employees home and provide an estimated return date and location.	
	Substitute	Request assistance from alternate Directorates or offices.	
	Do Nothing	The impacted building/location is not critical to KZN DoE and action does need to be taken immediately.	
Loss of equipment Refer to Table 23: List of Equipment for a list of equipment required per directorate.	**Substitute internally**	Use equipment from other KZN DoE offices/ sites.	BR Team Leader, impacted Directorate, Facilities Management and Auxiliary Services.
	Outsource	Engage with a service provider to provide the equipment at a fee.	
	Purchase	Purchase new equipment to replace damaged equipment.	
	Do Nothing	The equipment was redundant or not critical.	
Loss of IT services/systems Refer to Table 24: List of Critical systems and RTO's for a list of critical systems and RTOs.	**Invoke IT DRP**	Invoke the IT DRP and contact SITA or national departments depending on the affected systems.	BR Team Leader, impacted Directorate and Directorate: Information Technology.
	Manual Workaround	Use manual workarounds while the affected IT services/ systems are being recovered.	
Loss of critical information	**Recover**	Recover data or files that are backed up or have been archived.	BR Team Leader, impacted Directorate

Disaster Impact	Strategy	Details	Responsible Person
Refer to Table 17: Vital Records for a list of vital records.	**Recreate**	For data or files that have not been backed up, recreate the information using source data or from others who may have this. For completed examination scripts that have been lost, a National decision is to be made on whether a continuous assessment average can be assigned per learner.	and Directorate: Information Technology.
	Do Nothing	There are no backups available and no way to recreate the information.	
Loss of Third Party Refer to Table 22: Dependencies Contact List for a list of KZN DoE critical third parties	**Substitute Internally**	Request assistance from resources within KZN DoE who can perform the required duties. Use KZN DoE policies and procedures to support this strategy. Implement penalty clauses on the SLA with the Third Party if relevant.	BR Team Leader and individual responsible for the third party.
	Outsource	Investigate outsourcing required services to another suitable third party.	
	Substitute Externally	Recruit temporary/ permanent staff.	
	Do Nothing	There are no suitable replacements and/or it is not feasible to replace the third party. No action to be taken until the third party has recovered.	
Loss of life (Key Personnel) Refer to Table 14: Critical Resources for a list of critical resources.	**Substitute Internally**	Request assistance from resources within KZN DoE who can perform the required duties. Use KZN DoE policies and procedures to support this strategy.	BR Team Leader, HR Services Directorate and affected Directorate Head.
	Outsource	Investigate outsourcing required services to a suitable third party.	

Disaster Impact	Strategy	Details	Responsible Person
	Substitute Externally	Recruit temporary/ permanent staff	
	Do Nothing	The unavailable resource did not perform a critical function and action does not need to be taken immediately.	
Loss of Utilities	**Backups**	Electricity - switch over to the generator or UPS. Water - use water tanks, if available	BR Team Leader to make the decision in conjunction with Facilities Management, Auxiliary Services and Head of the impacted building/ Directorate/ District.
	Go Home	If conditions are not suitable for working, employees should be instructed to go home with a return date provided.	
	Outsource	Engage with a service provider to provide the utility.	
	Do Nothing	Wait until the utilities are provided.	

Table 12: Recovery strategies

9.13. Table 13: Broader Stakeholders

Entities to Inform	KZN DoE personnel to inform entity
Labour unions	BR Communicator
Governmental/ regularity authorities	BR Communicator
Media	BR Communicator
Suppliers/ dependencies	Senior General Manager of affected directorate
Attorneys	HoD
Employees	BR Communicator

Table 13: Broader Stakeholders

9.14. Table 14: Critical Resources

Key Individual	Skill	Business Unit	Alternate
HOD	Knowledge of Department	Corporate Services	No Alternate source
2 people currently available	2 Language specialists	Curriculum Development ELITS	No Alternate source
3 people currently available	3 Mathematics specialists	Curriculum Development ELITS	No Alternate source
3 people currently available	3 staff members with Library qualifications - diploma/degree/teaching	Curriculum Development ELITS	No Alternate source
8 people currently available	8 staff members who can conduct School evaluations	Curriculum Development ELITS	No Alternate source
Vivian Devendrath	Finance and budgeting skills	Curriculum Management	No Alternate source
Zama Ngcobo	Data (Analysis) access and Excel	Curriculum Management	No Alternate source
Hlengiwe Njoko	Administrative skills	Curriculum Management	No Alternate source
Siza Shange	Administrative skills	Curriculum Management	No Alternate source
Jali Nzimande	Computer skills, filing skills	Curriculum Management	No Alternate source
Sinethemba Ndlovu	Administrative skills	Curriculum Management	No Alternate source
Nobathembu Mthembu	Administrative, planning and organising	Curriculum Management	No Alternate source
Nonjabulo Ngcobo	Excel and administrative	Curriculum Management	No Alternate source
Alison Lea	Computer skills, filing skills	Curriculum Management	No Alternate source
FET - Mr Makathini	All skills they posses	Curriculum Management	No Alternate source
Grade R	All skills	Curriculum Management	No Alternate source
ELITS	All skills	Curriculum Management	No Alternate source
GET	All skills	Curriculum Management	No Alternate source
School Governance - Mr Kheswa	All skills	Curriculum Management	No Alternate source
HJE Coetzee (assistant manager, systems administrator)	Systems administrator	Examinations	No Alternate source
R Penniston	First point of call - Senior Manager	Examinations	No Alternate source
DA Sewlall	Assistant manager, Printing	Examinations	No Alternate

Key Individual	Skill	Business Unit	Alternate
			source
MP Nxumalo	Administration	Examinations	No Alternate source
I Coopasamy	Senior admin officer, assistant systems administrator	Examinations	No Alternate source
RB Mngoma	Certifications	Examinations	No Alternate source
XKD Makhanya	Senior administrative officer	Examinations	No Alternate source
S Singh	Senior administrative officer	Examinations	No Alternate source
M Maphanza	Senior administrative officer	Examinations	No Alternate source
KC Nxumalo	Senior administrative officer	Examinations	No Alternate source
VU Kassie	Senior administrative officer	Examinations	No Alternate source
NV Mcambi	Deputy Manager	Examinations	No Alternate source
R Kisten	Data typist - Processing of question papers - processing of question papers	Examinations	No Alternate source
2 Assistant directors	2 assistant Directors for Printing and Certification	Examinations	No Alternate source
AP Mbatha	Data typist - processing of question papers - processing of question papers	Examinations	No Alternate source
FM Njapa	Senior administration officer	Examinations	No Alternate source
S Chetty	Data Typist - capturing unit	Examinations	No Alternate source
J Pillay	Data Typist - capturing unit	Examinations	No Alternate source
PN Mkhize	Personal assistant to the senior manager	Examinations	No Alternate source
CES: Mr HPH Kubheka	Circuit Management	Institutional Development and Support	No Alternate source
CES: Mr VC Maharaj	Circuit Management	Institutional Development and Support	No Alternate source
CES: Mr L.F Mbongwe	Circuit Management	Institutional Development and Support	No Alternate source
CES: Mrs T.L Mazibuko	TLS - FET	Institutional Development and Support	No Alternate source
CES: Mrs T.G Dlamini	TLS - GET	Institutional Development and Support	No Alternate source

Key Individual	Skill	Business Unit	Alternate
CES: Mr KS Narainsamy	HRM - Staffing and HRM Support	Institutional Development and Support	No Alternate source
Signatures required for payment	senior staff members	Institutional Development and Support	No Alternate source
Mbali/Chris/Thabiso	Department and Process knowledge	IT services	No Alternate source

Table 14: Critical Resources

9.15. Table 15: Alternate Sites

Disaster at:	Alternate Locations:	Work-space
KZN DoE Head Office (228 Pietermaritz Street)	• Howard Avenue, Durban • Truro House, Durban • Malgate Building, Durban • Burger Street, Pietermaritzburg • Durban Teachers Centre, Durban	To be confirmed with the venue at the time of the disaster
KZN DoE Head Office (247 Burger Street)	• KZN DoE Head Office (228 Pietermaritz Street) • Howard Avenue, Durban • Truro House, Durban • Malgate Building, Durban • Durban Teachers Centre	To be confirmed with the venue at the time of the disaster
School	• Learners must be moved to other class rooms in the schools if feasible. • If the above is not possible, learners are only allowed to stay at home for a maximum of three days. • If the above is not possible, learners must be moved to other schools and transport must be organised. • If the above is not possible, then learners must be moved to a public building e.g. Local City Hall.	To be confirmed with the venue at the time of the disaster
Examination centre	• Local City Hall • Neighbouring School Hall	To be confirmed with the venue at the time of the disaster

Table 15: Alternate Sites

Table 16: Workstation requirements

Directorate	BAU	Workstation requirements (Tables and Chairs)						
		0-4 hours	4-8 hours	8 – 24 hours	Up to 2 days	Up to 1 week	Up to 1 Month	More than 1 month
Finance	60				12	24	60	
Corporate services	200			20		30		
Curriculum Development	56							15
Curriculum Management	56				67			
Examinations	93	20	93	93	93	93	93	93
Institutional Development and Support	15					15		
IT services	11	4	4	4	4	4	4	4
Total	491	24	97	117	176	166	157	112

Table 16: Workstation Requirements

9.16. Table 17: Vital Records

Record	Type of Information (hard copy or electronic)	Directorate	Alternate Source
Request to Quote	Hard Copies	Finance	Depending on timing, archive copies may be at the ABSA building
Evaluation documents (committee minutes)	Hard Copies	Finance	Depending on timing, archive copies may be at the ABSA building
Signed requisitions	Hard Copies	Finance	Depending on timing, archive copies may be at the ABSA building
Quotations from various suppliers	Hard Copies	Finance	Copy of the quotation is maintained by the supplier.
Final order	Hard Copies	Finance	Depending on timing, archive copies may be at the ABSA building
Invoice	Hard Copies	Finance	Copy of the Invoice is maintained by the supplier.
Confirmation of goods received	Hard Copies	Finance	Copy of the Goods received note is maintained by the supplier.
Bid documents	Hard Copies	Finance	Depending on timing, archive copies may be at the ABSA building
I-Drive	Soft Copy	Corporate Services	System
Legal services hard copy documents	Hard copy	Corporate Services	Court docs - public record. Fire proof safe too small
Contracts	Hard copy	Corporate Services	The other party in which the contract is with
ELITS Manuals	Electronic	Curriculum Development ELITS	Hard copies, other directorates may have this.
QA Reports for schools	Electronic	Curriculum Development ELITS	Records from schools
ELITS Libwin	Electronic	Curriculum Development ELITS	None: Hosted on a local server
Submissions - approvals by HOD	Hard copy	Curriculum Development ELITS	Hard copies, other directorates may have this
Audit Reports	Electronic	Curriculum Development ELITS	Hard copies, other directorates may have this

Record	Type of Information (hard copy or electronic)	Directorate	Alternate Source
Quarterly/Final Reports	Electronic and hard copy	Curriculum Development ELITS	Hard copies, other directorates may have this
Contracts for Procurement - LTSM	Hard copies	Curriculum Management	Procurement office may keep an invoice/ the supplier will have a copy of the invoice
Registration forms	Hard copy and soft copies	Examinations	No alternate source
Examinations scripts	Hard copy and soft copies	Examinations	No alternate source
Mark sheets	Hard copy	Examinations	No alternate source
SLA's	Hard copy	Examinations	Vendors
Contracts	Hard copy	Examinations	Vendors
Claims	Soft copy	Examinations	No alternate source
End user documents	Soft copy	Examinations	No alternate source
Capturing System	Soft copy	Examinations	No alternate source
Examination scripts	Examination scripts	Institutional Development and Support	No alternate source
Personal laptops/hard drives	Personal laptops/hard drives	Institutional Development and Support	No alternate source
I-Drive	Server	IT services	user laptops

Table 17: Vital Records

9.17. Table 18: Business Recovery Team Details

Name	Designation	Primary Number	Alternate Contact Details	E-mail Address
Ms. Mbali Thusi	Chief Director: Administrative Services	0828817484	0338465107	Mbali.Thusi@kzndoe.gov.za
Miss Chantelle Browne	Director: Internal Control and Risk management	0794988131	0333921060	Chantelle.Browne@kzndoe.gov.za
Ms. Sane Mthombeni	Executive Assistant to the Director: IT Services	0818933902	TBC	Sane.Mthombeni@kzndoe.gov.za
Mr Thabiso Pitso	Deputy Director: IT services	0839677365	TBC	Thabiso.Pitso@kzndoe.gov.za
Mr Simesihle Halimana	Director: IT Services	0338465518	0823034249	Simesihle.Halimana@kzndoe.gov.za
Mrs Maria Mkhize	Director: Demand and Acquisitions	0338465432	0845524149	maria.mkhize@kzndoe.gov.za
Mr Muzi Mahlambi	Director: Communications	0333921029	0825191420	muzi.mahlambi@kzndoe.gov.za
Mrs. Sindi Zakuza - Njakazi	Director: Asset Management	0338465444	0731853666	sindi.zakuza-njakazi@kzndoe.gov.za
Mr. Ntokozo Mpanza	Director: Budget & Expenditure Monitoring	0338465450	0727361100	ntokozo.mpanza@kzndoe.gov.za
Mr. Nkosinathi Mpungose	Director: Office of the HOD	0333921004	0726246063	nkosinathi.mpungose@kzndoe.gov.za
Ms. Zodumo Sishi	Head of Ministry: Office of the MEC	0333552406	TBC	zodumo.sishi@kzndoe.gov.za

Table 18: Recovery strategies

9.18. Table 19: Emergency Services

	Entity/Name	Primary Contact	Alternate Contact
KZN	Metro Police	031 560 8004/9	031 560 8018
	KZN Provincial Explosives Co-Ordinator	031 312 1490	031 312 1529
	Durban North Disaster Management Services	031 451 9800	031 361 0000 (Emergency)
	Durban North Fire Department	031 361 0000	031 564 5151
	Umhlanga Hospital	031 560 5500	0800 33 6967
	Durban North Communications Services	086 110 5936 (Halo Communications)	031 579 3062 (Natal Cable and Sound CC)
Pietermaritzburg	Pietermaritzburg police station SAPS	0338452400	0333879680 (SAPS)
	KZN DoE Psycho-social Services	033 348 6126	033 348 6127
	Pietermaritzburg Provincial Explosives Co-Ordinator	033 3553806	0333553803
	Pietermaritzburg Disaster Management Services	033 3922032	0338455960
	Pietermaritzburg Fire Department	0338455960	033 845 5900
	Hospital	033 8975097 (Netcare St. Anne's Hospital)	0338973000 (Grey's Hospital)
	Jabs Communication Services	033 342 6121	-

Table 19: Emergency Services

9.19. Table 20: Media Services

Name	Media Agency	Primary Contact	Alternate Contact
KZN	The Daily News	031 308 2911	DNnews@inl.co.za
	SABC	Head Office: Auckland Park, Johannesburg 011 714-9111	Regional Office: KwaZulu-Natal 031 362-5111
	East Coast Radio	031 570 9495	studio@ecr.co.za
	The Witness	033 355 1111	zubair.ayoob@witness.co.za
Pietermaritzburg	Gold Stem Media	0333420005	217 Boom Street, Pietermaritzburg
	Majestix Marketing	078 8396078	www.majestixmarketing.co.za
	Africa Media Online	0333459445	www.africamediaonline.com

Table 20: Media Services

9.20. Table 21: Top Management Contact List

Name	Designation	Primary	Alternate
Dr SNP Sishi	Head of Ministry: Office of the MEC	033 392 1003	0722026334
Dr E.V Nzama	HoD	033 392 1008	0834681267
Mr. GN Ngcobo	Acting Deputy-Director General: Corporate Management	TBC	TBC
Ms. N.J Dlamini	Chief Director: Institutional Development Support	033 392 1012	0762499604
Miss. S. Mdlalose	Director: Legal Services	033 392 1123	0721033793
Mr M.W. Mahlambi	Director: Communication and Publications	033 392 1029	0825191420
Ms TPJ Khoza	Director: Strategic Management	033 392 1086	0832525111
Dr. J.B Mthembu	Chief Director: Examinations and Assessments	031 327 7081	0833078877
Ms T.A. Gumede	Chief Director: District Operations Management	033 392 1108	0784604774
Ms. W. Hadebe	Chief Director: Infrastructure	033 846 5523	0718646465
Dr H.P Gumede	Chief Director: Rural Education	033 846 5319	0834607519
Mr. L. Rambaran	Acting CFO	033 392 1120	0828811396
Ms U.N. Maikoo	General Manager: Supply Chain Management	033 846 5418	0828280834
Ms G.N Madlala	General Manager: Social Enrichment	-	0834199085
Ms B.T Dlamini	Acting General Manager: Curriculum Development	033 846 5132	0710467117
Mr G.N Ngcobo	General Manager: Human Resource Management	033 846 5404	0824837879
Ms T. Aiyer	Manager: IGR	033 392 1059	0828897988
Ms C. Browne	Senior Manager: Internal Control	033 392 1056	079 4988131
Ms V. Carson	General Manager: Office of the MEC	-	0713020526

Table 21: Top Management Contact List

9.21. Table 22: Dependencies Contact List

Name	Directorate	Primary Number	Alternate Contact	E-mail Address	Relationship Manager (client)
National DoE	All	TBC	TBC	TBC	TBC
KZN Provincial Treasury	All	TBC	TBC	TBC	TBC
Department of Basic Education	All	TBC	TBC	TBC	TBC
Office of the Premier	All	TBC	TBC	TBC	TBC
SITA	All	TBC	TBC	TBC	TBC
UThukela District	All	TBC	TBC	TBC	TBC
Umlazi District	All	TBC	TBC	TBC	TBC
Pinetown District	All	TBC	TBC	TBC	TBC
iLembe District	All	TBC	TBC	TBC	TBC
Ugu District	All	TBC	TBC	TBC	TBC
Umgungundlovu District	All	TBC	TBC	TBC	TBC
Sisonke Districts	All	TBC	TBC	TBC	TBC
Amajuba Districts	All	TBC	TBC	TBC	TBC
UThungulu Districts	All	TBC	TBC	TBC	TBC
Zululand Districts	All	TBC	TBC	TBC	TBC
Umkhanyakude Districts	All	TBC	TBC	TBC	TBC
Umzinyathi Districts	All	TBC	TBC	TBC	TBC
Office of the State Attorney	All	TBC	TBC	TBC	TBC
Umalusi	All	TBC	TBC	TBC	TBC
Labour Unions		TBC	TBC	TBC	TBC
Legal		TBC	TBC	TBC	TBC
Telkom	All	TBC	TBC	TBC	TBC
Water	All	TBC	TBC	TBC	TBC
Electricity	All	TBC	TBC	TBC	TBC
Security company	All	TBC	TBC	TBC	TBC
Cleaning company	All	TBC	TBC	TBC	TBC

Name	Directorate	Primary Number	Alternate Contact	E-mail Address	Relationship Manager (client)
Auctioneering companies	Finance	TBC	TBC	TBC	TBC
Department of Public Works	Finance	TBC	TBC	TBC	TBC
Department of Transport	Finance, Corporate Services	TBC	TBC	TBC	TBC
Municipalities - Msunduzi and eThekwini	Finance	TBC	TBC	TBC	TBC
Government Pension	Corporate Services	TBC	TBC	TBC	TBC
Health Risk Services	Corporate Services	TBC	TBC	TBC	TBC
KZN archives	Corporate Services	TBC	TBC	TBC	TBC
Higher Education institutions	Corporate Services	TBC	TBC	TBC	TBC
National departments	Corporate Services	TBC	TBC	TBC	TBC
Bargaining Councils	Corporate Services	TBC	TBC	TBC	TBC
Printing solutions	Curriculum Development ELITS	TBC	TBC	TBC	TBC
ETDP SETA	Curriculum Development ELITS	TBC	TBC	TBC	TBC
Infrastructure	Curriculum Development ELITS	TBC	TBC	TBC	TBC
IEB	Curriculum Development ELITS	TBC	TBC	TBC	TBC
Municipal libraries	Curriculum Development ELITS	TBC	TBC	TBC	TBC
Ndabase printing solution	Curriculum Management	TBC	TBC	TBC	TBC
EMIS	Curriculum Management	TBC	TBC	TBC	TBC
ECD	Curriculum Management	TBC	TBC	TBC	TBC
Unions	Curriculum Management	TBC	TBC	TBC	TBC

Name	Directorate	Primary Number	Alternate Contact	E-mail Address	Relationship Manager (client)
SGD - school governing body	Curriculum Management	TBC	TBC	TBC	TBC
Education portfolio committee	Curriculum Management	TBC	TBC	TBC	TBC
Department of Basic Education	Examinations	TBC	TBC	TBC	TBC
Process Litho	Examinations	TBC	TBC	TBC	TBC
TWF	Examinations	TBC	TBC	TBC	TBC

Table 22: Dependencies Contact List

9.22. Table 23: List of Equipment

Equipment	Equipment Requirements							
Finance:	**0-4 Hours**	**4-8 Hours**	**8-24 Hours**	**Up to 2 Days**	**Up to 1 Week**	**Up to 1 Month**	**More than 1 Month**	**Total**
Computers/Laptops				12	24	60		**96**
Telephones				3	6	10		**19**
3G Cards				3	3	6		**12**
Stationery								
Cars				2	6	10		**18**
Multifunctional printer				1	1	1		**3**
Source Documents								
Corporate Management (includes the HR Services and Office of the MEC, HOD and SGM):								
Computers/Laptops			20		30			**50**
Cellphones				10				**10**
Flash drives				10				**10**
Printers, scanners, photo copy machine				1				**1**
Curriculum Development:								
Desktops							3	**3**
Telephones (Cellphone, Land Line)						3	4	**7**
Laptops						5	6	**11**
Printer/Fax/Photocopy							1	**1**
USB						2	2	**4**
Curriculum Management:								
Desktop Computer				9				**9**
Laptop				56				**56**
USB Stick				10	10	46		**66**
White Boards				1	1	1		**3**
Photocopy Machine				1	1	1		**3**
Printer				2	1	1		**4**
Fax Machine				1	1			**2**
Quality Assurance and Assessment:								
Computer	20	93	93	93	93	93	93	**578**
Multifunctional printers	5	25	25	25	25	25	25	**155**
Telephones	15	75	75	75	75	75	75	**465**
USB	20	93	93	93	93	93	93	**578**
Network points	0	5	25	25	25	25	25	**130**
Stationery	0	20	93	93	93	93	93	**485**
Institutional Development and Support:								

Desktop Computers					5			**5**
Laptops					15			**15**
Data Video Projector					0	0	0	**0**
Wireless Data Cards					0	0	0	**0**
Telephones					4	4	4	**12**
Fax/Printers/scanners					2	2	2	**6**
Cellphones					0	0	0	**0**
USB					4	4	4	**12**
Information Technology:								**50**
Computers/Laptops	3	3	3	3	3	7	7	**29**
Telephony	3	3	3	3	3	4	4	**23**
3g Cards	3	3	3	3	3	7	7	**29**
Grand Total:								**2960**

Table 23: List of Equipment

9.23. Table 24: List of Critical Systems and RTO's.

	Finance	Corporate Management	Curriculum Development	Curriculum Management	Quality Assurance and Assessment	Institutional Development and Support	Information technology
BAS (Basic Accounting System)	Up to 1 Week	4 -8 hours				Up to 1 Week	More than 1 Month
Email (MS Outlook)	Up to 1 week	8 - 24 Hours	Up to 1 Month	Up to 1 Week	8 - 24 Hours	Up to 1 Week	Up to 1 Week
Hardcat (Hardware Catalogue)	Up to 1 Month	4 – 8 Hours					
MS Office	Up to 1 week	Up to 2 Days	Up to 1 Month	Up to 1 week	8 – 24 Hours		Up to 1 Week
EMIS (Education Management Information System)		Up to 2 Days		Up to 1 week	8 - 24 Hours	8 - 24 Hours	
Persal (Personnel and Salaries Admin System)		Up to 2 Days				Up to 1 Week	
SA SAMS (SA School and Management Admin System)		Up to 2 Days	Up to 1 Month	Up to 1 week		Up to 1 Week	
Remedy (SITA Service Desk)		8 – 24 Hours		Up to 1 week			8 - 24 Hours
Snap Survey Tool		Up to 1 Week		Up to 1 week			

	Finance	Corporate Management	Curriculum Development	Curriculum Management	Quality Assurance and Assessment	Institutional Development and Support	Information technology
Vulindlela (online reporting tool)		Up to 1 Week					
Access		Up to 1 Week					
Metrofile		Up to 1 Week				Up to 1 Week	
eChannel		Up to 1 Week					
GET Mainframe (housed by Examination Admin) - obtaining data			Up to 1 Month				
School self-evaluation system - use for monitoring			Up to 1 Month				
Libwin (Library Management System)			More than 1 Month	Up to 1 week			
ECD (Early Childhood Development)				Up to 1 week			
EPMDB (Employee Performance Management and Development)				Up to 1 week			

	Finance	Corporate Management	Curriculum Development	Curriculum Management	Quality Assurance and Assessment	Institutional Development and Support	Information technology
IECS (Integrated Examinations Computerised System)				Up to 2 Days	8 - 24 Hours		
Mainframe Examination				8 - 24 Hours	8 - 24 Hours		
NEIMS (National Education Information Management System)				8 - 24 Hours			
PMDS (Performance Development and Management System)				8 - 24 Hours			
LURITS (Learner Unit Record Information and Tracking System)					8 - 24 Hours		

Table 24: List of Critical Systems and RTO's

9.24. Table 25: Emergency Response Team

Roles	Responsibility
Emergency Response Team Leader	Director: IT Services
Facilities Management Officer	Deputy Director: IT Services
Occupational Health and Safety Officer	Deputy Director: Security Advisory services
Environmental Health	Personal Assistant to the Director: IT Services

Table 25: Emergency Response Team

9.25. Table 26: Crisis Management Team

Roles	Responsibility
Crisis Management Team Leader	TBC
Emergency Response Team Leader	TBC
Directorate Heads	• Director IT Services • Director: Demand and Acquisitions • Director: Communications • Director: Asset Management • Director: Internal Audit and Risk Management • Director: Budget & Expenditure Monitoring • Director: Office of the HOD • Director: Office of the MEC
Business Recovery Team Leader	TBC
Disaster Management (***optional***)	TBC

Table 26: Crisis Management Team

10. Appendix 2: Forms and Templates

1.1. Emergency Expense Approval Form

The form below should be used for the approval of expenses in the event of a disaster.

Business Continuity Management	**Emergency Expense Approval**	
Primary approver name		
Primary approver signature		
Secondary approver name		
Secondary approver signature		
Beneficiary	**Amount Required**	**Purpose**

Please see below the electronic copy of the above form.

Emergency Expense Approval Form (electronic copy)	KZN DoE Expense form.xls
Located at	**Finance**

The individual/s listed in the table below will be responsible for all financial activities and approvals during the disaster.

Name	**Designation**	**Primary Number**	**Alternate Number**
Mr L Rambaran	Acting Chief Financial Officer	033 3921120	0828811396

The above mentioned individuals will compile the required documentation to indicate the increased cost of working expenditure and the “business lost” value where required.

The following additional responsibilities will be fulfilled by these individuals:

- Emergency expense sanctioning
- Co-ordination for the payment of salaries and key invoices
- Introduction of emergency financial authorisation and control procedures
- Maintenance of an audit trail for emergency expenditure

1.2. Damage Assessment Form

Damage Assessment Report	
Date:	
Nature of disaster:	
Cause of the disaster:	
Possible expansion of the disaster:	☐ Yes ☐ No (if yes, please give details)
Magnitude of the disaster:	☐ Low ☐ Medium ☐ High
Impact on physical infrastructure including IT equipment (damage caused):	☐ Low ☐ Medium ☐ High
What was affected?	
Estimated time to restore services:	
Notes: • **Injuries or death of staff/ learners/ visitors (liaise with fire marshals and / or first aiders).** • **Safety of staff, school and office environment.** • **Extent of the damage to the offices/ buildings (including meeting rooms, air-conditioners, filing rooms, electrical and water supplies).** • **Extent of damage to the IT facilities/ UPS/ power.** • **Extent of damage to computing equipment within the IT facility (such as PC's, laptops and printers).** • **Which directorates, if any, are unaffected and can continue with work??** • **Liaison with public authorities (emergency services)**	

Table 25: Damage Assessment form

11. Appendix 3: Checklists

1.3. Business Recovery Process Checklist

This table relates to the business recovery process.

1. Incident report	Resp. Person	Complete
Review the incident report received to understand the events that transpired.	**BR team**	☐
2. Assess incident		**Complete**
Initial assessment of the disaster is performed.	**BR team**	☐
Determine the impact of the disaster on staff in terms of safety.	**BR team**	☐
3 & 4 Effect Evaluation Plan		**Complete**
Evacuate staff to assembly points or secure offsite location.	**BR team**	☐
5 Contact emergency services		**Complete**
Assess the nature of the disaster and contact the relevant emergency services. Refer to Table 19: Emergency Services for contact details.	**BR team**	☐
6 Convene BR team		**Complete**
Establish the BR team based on the nature of the disaster.	**BR Team Leader**	☐
Establish a safe meeting location.	**BR Team Leader**	☐
Notify the BR team of the meeting details.	**BR Team Leader**	☐
7 Determine if the incident is a disaster		**Complete**
Discuss the nature of the disaster and the impact it has had on the business and/or learners.	**BR team**	☐
Determine if the incident should be handled by the incident management process.	**BR team and HOD**	☐
Re-assess whether the current BR team is sufficient for the nature of the disaster on hand. Bring in additional team members if required.	**BR team**	☐
If the incident is not a disaster, refer to the Incident Management procedure which details actions to be taken for day-to-day incidents	**BR team**	☐
8 & 9 Classify disaster		**Complete**
Using the scales defined, determine the severity and impact of the disaster. Refer to Table 5: Classifying a disaster	**BR team**	☐

10 Invoke BCP		Complete
Officially declare a disaster and invoke the use of the BCP and subsidiary documents.	**BR Team Leader and HoD**	☐
BR team to make a decision on which Directorates will go to the relevant business recovery sites based on process RTO's.	**BR Team**	☐
11 Inform key interested parties of the disaster		**Complete**
Consult the Top Management regarding the disaster.	**BR Team Leader**	☐
Consult with legal regarding the disaster.	**BR Secretariat**	☐
Communicate with Chief Directors. Give them immediate instructions to clarify the following: • Safety of staff • Work in progress at the time of the incident • Lost or inaccessible vital records (hard copy files, etc.) team members	**BR Communicator**	☐
Brief critical process owners as soon as possible. Ensure the following is contained in the briefing as a minimum: • An update on the incident/crisis to date • Safety of staff update • Immediate actions for people to complete • Timing and method of the next update	**BR Team**	☐
BR team to make a decision on which Directorates will go to the relevant business recovery sites. Please refer to Table 16: Workstation Requirements for the spatial requirements for each of the Directorates.	**BR Operations**	☐
12 Perform a risk assessment and determine business processes that have been affected		**Complete**
Perform a status update on the disaster and review all available disaster related information.	**BR team**	☐
Assess the extent of the disaster and the operations/ business processes affected.	**BR team**	☐
Estimate the recovery time and compare this with the RTO.	**BR team**	☐
Identify any limitation or restrictions that could affect the recovery.	**BR team**	☐
13 Prioritise based on critical times		**Complete**
Understand the important times of the day/month/year per business process affected.	**District Directors**	☐
Prioritise the recovery of business processes based on the defined RTO's and important times.	**District Directors**	☐

14 Review continuity strategy		Complete
Review the defined continuity strategies.	**BR team**	☐
Determine which strategy is relevant based on the nature of disaster.	**BR team**	☐
Discuss the message to be communicated to the various parties on the disaster.	**BR Communicator**	☐
Amend the strategy if necessary.	**BR team**	☐
Agree the strategy among the BR team.	**BR team**	☐
15 Implement continuity strategy		**Complete**
Begin recovery based on the strategy.	**BR team**	☐
Establish a contact number for any queries to be logged through i.e. from staff/media etc.	**BR Communicator**	☐
Confirm the relocation site for the relevant Directorates to the relevant staff members as soon as this site is confirmed.	**BR Communicator**	☐
Coordinate business recovery with IT recovery if applicable.	**BR team**	☐
Initiate tracking and monitoring of the recovery attempt.	**BR Secretariat**	☐
16 Communicate information on the disaster to key interested parties		**Complete**
Communicate to staff that the BCP has been activated and that they are not permitted to speak to the media under any circumstances.	**BR Communicator**	☐
Notify next-of-kin should any fatalities have occurred. Offer psychological services.	**BR team**	☐
Provide the staff with direction regarding the disaster and steps to follow based on the selected strategy.	**BR Communicator**	☐
Contain the disaster by informing staff that all queries are to be directed to the KZN DoE enquiries line and no statements should be made to the media.	**BR Communicator**	☐
Consult the National DoE regarding the disaster and strategy selected for recovery.	**BR team**	☐
In the event that a technology issue is experienced complete the SITA incident escalation process if necessary.	**BR team and IT DR team**	☐
Contact each of the Department Districts to notify the clusters of the disaster as well as to make preparations for the use of district office as alternate working space if required.	**BR team**	☐

In the event that there is not enough space at the Department District and Regional offices, contact other Provincial Government Departments or public venues.	**BR team**	☐
17 Communicate information on the disaster to broader stakeholders		**Complete**
Send official communication to all Department staff members to remain at home/alternate site based on the risk that is posed to the Department.	**BR Communicator & HOD**	☐
Notify dependent Departments of the disaster and the action plan for getting critical staff operational. Also determine whether other Provincial Government Departments are experiencing similar issues if the disaster may be wide spread.	**BR team**	☐
Determine if a media statement is required at this stage.	**HOD**	☐
If a media release statements is required, review the template in Appendix 2: Forms and Templates and update it based on the situation.	**HOD**	☐
Notify affected schools of the disaster and re-assure them of the steps being taken to recover.	**BR team**	☐
Notify labour unions if the disaster has impacted staff.	**BR team**	☐
Contact legal to obtain guidance on any legal matters to be addressed.	**BR Secretariat**	☐
Notify the necessary provincial departments of the disaster i.e. Department of Labour/Water Affair/ Environmental Affairs/Transport.	**BR team**	☐
18 & 19 Third party assistance		**Complete**
Determine which suppliers may be affected by the disaster.	**BR team**	☐
Notify suppliers of the disaster and arrangements made to halt/re-direct supplies.	**BR team**	☐
Inform the suppliers of estimated timeframes until deliveries are to resume.	**BR team**	☐
Determine if third party assistance is required for the implementation of the recovery strategy.	**BR team**	☐
Determine the nature of assistance required and short-list suitable third parties or use existing service providers.	**BR team**	☐
Contact third party and engage based on KZN DoE's requirements.	**BR team**	☐
Allocate a BR team member to monitor the third party's involvement and services being rendered to ensure KZN DoE's requirements are met.	**BR team**	☐

20 Recover from the loss of property		Complete
Assess the extent of damage to property.	**BR team**	☐
Based on the nature of damage to the property, consider construction/purchase/rent/temporary relocation of operations.	**BR team**	☐
Notify other KZN DoE sites to arrange seating for staff moving to other locations.	**BR team**	☐
Inform staff of arrangements for the first 2 weeks after the disaster i.e. work from home/HO/schools/other DoE sites.	**BR team**	☐
Inform Learners of arrangements for the first 2 weeks after the disaster i.e. move home/city hall/schools, if necessary.	**BR Communicator**	☐
21 Recover from the loss of equipment		**Complete**
Assess the extent of damage to equipment.	**BR team**	☐
Determine if a replacement is available and implement the replacement.	**BR team**	☐
If a backup is not available, consider purchase/rent/repair or other feasible alternatives.	**BR team**	☐
22 Recover from the loss of systems/ IT services		**Complete**
Assess the extent of loss of systems/ IT services.	**BR team**	☐
Invoke the IT DRP.	**BR team**	☐
Where possible, continue business operations using manual work-arounds.	**BR team**	☐
Restore from backup tapes.	**BR team**	☐
Retrieve vital records from offsite storage location.	**BR team**	☐
23 Restore operations		**Complete**
BR Team Leader is to provide an update of the affected site and estimated time frames to return to Business-As-Usual.	**BR Team Leader**	☐
Communicate with Senior Managers from each directorate about restoration steps to be taken.	**BR team**	☐
Restore prioritised business processes. Refer to Table 11: Process RTO's for the process RTO's for KZN DoE.	**BR team**	☐
Communicate any delays to the BR team.	**BR team**	☐

Monitor the success of the recovery and re-strategize if necessary.	**BR team**	☐
Consider continuation of business operations at an alternate site if the primary site is unavailable.	**BR team**	☐
24 Recover from the loss of human resources		**Complete**
Determine the skills required to replace unavailable staff.	**BR team**	☐
Determine if an alternate staff member is able to stand in. If not, consider hiring, contracting from external service providers. Refer to: • Table 7: Head Office BR Team if Head office is affected. • Table 8: School BR Team if the schools are affected • Table 9: District BR Team if the districts are affected	**BR team**	☐
Brief the alternate staff member on KZN DoE's requirements.	**BR team**	☐
Monitor progress of the staff member.	**BR team**	☐
25 Notify key interested parties and broader stakeholders on progress		**Complete**
Notify and update all interested parties on the progress of the recovery.	**BR team**	☐
Ensure proper reporting and paperwork is completed to track the progress of the recovery.	**BR team**	☐
Ensure issues identified are logged and timeously addressed.	**BR team**	☐
26 & 27 Determine if the disaster is over		**Complete**
Communicate with Senior Managers to track the effectiveness of the recovery strategy.	**BR team**	☐
Remediate or re-strategise if recovery is inadequate.	**BR team**	☐
28. Business-As-Usual		**Complete**
Ensure operations are running as per KZN DoE's standards.	**BR team**	☐
Document a disaster report to formulate lessons learnt.	**BR team**	☐
Decide on whether staff can resume work at the site and inform staff.	**BR team**	☐
Assess the scale of the backlog to be cleared as well as the anticipated time which it will take to clear this backlog.	**BR team**	☐
Inform interested parties/stakeholder that the disaster is over and the	**BR team**	☐

arrangements to continue operations.		
Communicate to next-of-kin KZN DoE's condolences with any injuries or loss of life which may have occurred during the disaster.	**BR team**	☐
Update the BC documentation based on lessons learnt.	**BR team**	☐
Decide on a date in which staff will be moved to the Department Head Office premises.	**BR Team**	☐
Determine whether all the Department staff will be relocated at once back to the Head Office premises or whether the critical staff will be moved first to ensure continuity of the re-established business process following the disaster.	**Head of Department**	☐
If only the critical staff are to be moved to the Head Office premises first, communicate to the relevant Directorates at the various business recovery sites.	**BR Team**	☐
If the whole staff compliment should return to the Department Head Office at once, communicate the required date and initial actions required from staff to the Department staff compliment. Please refer to Figure 2: Business Recovery Call Tree and Figure 3: Regions and District Office Call Tree for the communication channels to be followed.	**BR Team**	☐
Ensure the relevant third parties and stakeholders are notified of the planned move date as well as the anticipated date for full recovery of all business processes. Please refer to Figure 2: Business Recovery Call Tree and Figure 3: Regions and District Office Call Tree for the communication channels to be followed.	**BR Team**	☐
Communicate to all the next of kin the department's condolences with any injuries or loss of life which may have suffered during the disaster.	**BR Team**	☐
Psychological support could be provided to staff who have been involved in the recovery attempt and who have not been able to process the events which had occurred. The Department could utilise internal psychologists for this purpose or request this from a national government perspective	**BR Team**	☐
Consider using the staff who have been involved in the Business Recovery phase for maintaining the critical operations initially while the remainder of the staff could assist with clearing any backlogs	**BR Team**	☐
Once the backlog clearing has commenced, and if possible to do so, consider granting the staff who have been involved in the Business Recovery phase with compassionate leave. These staff members would have been working inevitable long hours during the Business Recovery phase and may require this time to recuperate and to lift their morale	**BR Team**	☐

Assess the scale of the backlog to be cleared as well as the anticipated time which it will take to clear this backlog.	**BR Team**	☐
Plan and assign the relevant resources who will be responsible for clearing the backlogs.	**Department Heads**	☐
Communicate the relevant third parties and stakeholders the plan and anticipated timing for clearing the backlogs.	**Business Recovery Team**	☐
Consider the release of a press statement to indicate that operations have been resumed at the Head Office premises and that the Department is currently in the process of clearing the backlogs.	**Business Recovery Team**	☐
Communication continuously with third parties, stakeholders and media representatives the progress of the BAU process and backlog clearance to instil faith and trust in the department.	**BR Team**	☐
Shut down the recovery operations at the alternate sites in an orderly fashion and ensure that: • Head Office equipment which may have been deployed at these sites is returned; • Data (physical and logical) which may have been generated at the recovery sites are saved/collected and moved to the Head Office; and • Any fees payable to the recovery sites have been settled or are in the process of being paid.	**BR Team** **Relevant Directorates**	☐
Start collating and preparing the relevant audit trails for decisions and authorisations during the recovery attempt for reporting and auditing purposes.	**BR Team**	☐
Prepare a "Lessons Learnt" document and schedule a debrief meeting to discuss this document.	**BR Team** **Department Heads** **Chief Directors**	☐
Conduct internal surveys on how staff experiences the management of the disaster for inputs into the lessons learnt document.	**BR Team** **Department Heads** **Chief Directors**	☐
Update the relevant BCM related documentation to reflect the lessons learnt considerations and any additional steps in the management processes which was created on an ad-hoc basis during the disaster.	**BR Coordinator**	☐
Re-perform a risk assessment of the Head Office premises to ensure that new risks from the restoration and refurbishing of the building are identified and the appropriate measures implemented to prevent these	**BR Coordinator**	☐

risks from materialising.		
Update the Business Impact Analysis documentation with any learnings which have been identified during the disaster.	**BR Coordinator**	☐
Ongoing Actions (until BAU)		**Complete**
Ensure correct authorisation and completion of relevant forms	**BR Team**	☐
Continue to communicate with all staff, including those not directly involved in the recovery effort.	**BR Team**	☐
Continue to liaise on a regular basis with the Emergency and BR team	**BR Team**	☐
Continue to update the Emergency response team on a regular basis as requested. Ensure all communication is cascaded to the whole department via Business Recovery Team members. Briefings should take place with all staff on a daily basis as a minimum. Briefings should include those not directly involved in the recovery effort.	**BR Team**	☐
Communicate with your Chief Directors. Give them immediate instructions to clarify the following: • Safety of staff • Work in progress at the time of the incident Lost or inaccessible vital records (hard copy files, etc.) team members	**BR Team**	☐
Brief critical process owners as soon as possible. Ensure the following is contained in the briefing as a minimum: • An update on the incident/crisis to date • Safety of staff update • Immediate actions for people to complete Timing and method of the next update	**BR Team**	☐
Monitor the recovery of critical processes/functions ensuring this is accomplished in a timely and prioritised manner.	**BR Team**	☐
Manage any HR issues as they arise, seeking support from HR Services.	**BR Team**	☐
Discuss the recovery of non-critical processes performed by your Directorate with the Emergency and BR team. These non-critical processes should be recovered after 1 month unless the EMT advises otherwise.	**BR Team**	☐
Liaise with the landlord to determine whether an assessment has been performed and whether the building is ready for occupation according to local regulations.	**BR Team**	☐
Obtain the following information from the Senior General Manager for the Directorate of Facilities Management and Auxiliary Services: • Will the Directorates return to the same space as previously	**BR Team**	☐

occupied? • Is the building exactly the same as prior to the incident in terms of floor layout? • Has all the required equipment such as IT, telephony, network infrastructure etc. been implemented? • Has the building been refurnished to accommodate the same amount of staff members as prior to the disaster? • Has the building been secured against potential theft and robbery?		
Once confirmed that the building is ready for occupation, determine an action plan for relocating the Department staff to the Head Office premises.	**BR Team**	☐
Liaise with the alternate site to determine if staff who need to be moved can occupy the alternative site.	**BR Team**	☐
Once confirmed that the building is ready for occupation, determine an action process document for relocating KZN DoE staff to the Head Office / Schools.	**BR Team**	☐

Table 26: Business Recovery process Checklist

12. Appendix 4: Table 27 Risk Register

#	Risk Description	Root Cause	Existing Control	Control Risk Level	Suggested Mitigating Action Plan	Responsible Division	Responsible Officer	Due Date	Status
1	The length of the procurement process is long and involves multiple steps and the involvement of various directorates.	The procurement process is legislated. The procurement process occurs through SITA for most assets.	There are no current controls in place.	Significant	During a disaster, an alternate process should be defined and implemented with a budget allocated for disasters such that the emergency procurement process is streamlined and efficient.	Finance	Mr L Rambarran (Finance)		
2	Adequate governance and tools have not been implemented to operationalise IT security.	KZN DoE employees use their own devices to access DoE. These devices do not always have the latest antivirus updates and latest patch updates.	The SCCM will deploy the required security policies, antivirus updates and patch updates going forward.	Significant	The implementation of an IPS and an IDS as part of server centralisation project should take place.	IT/ SITA	Mr S Halimana (Director: IT Services)	Jun-16	In progress

#	Risk Description	Root Cause	Existing Control	Control Risk Level	Suggested Mitigating Action Plan	Responsible Division	Responsible Officer	Due Date	Status
3	There is a lack of sufficiently skilled IT resources to provide operational and strategic support for the DoE.	There is a lack of skilled resources to manage services e.g. SCCM provided by SITA. The position for a CIO is still vacant.	Reliance is placed on controls implemented by SITA.	Significant	An organisational structure for IT should be drawn updated to ensure that it is compliant with the Corporate Governance of IT.	HOD. Premier Office	HOD. Premier Office		
4	Inadequate connectivity to email, intranet and online applications.	Connectivity from 247 Burger Street, Dokkies and 228 Pietermaritz Street is limited. Configuration from LANs/ WANs are inadequate. Load shedding hampers internet connectivity.	The SLA with SITA details a penalty clause for non-service delivery on ensuring that connectivity with high speed is in place and is in working order.	Critical	Out of date options should be reviewed to migrate to a VPN- bandwidth optimisation option. The WAN SLA should also be reviewed to reflect this.	IT/ SITA	Mr S Halimana (Director: IT Services)	WAN SLA- Jan 2016 VPN- July 2016	In progress

#	Risk Description	Root Cause	Existing Control	Control Risk Level	Suggested Mitigating Action Plan	Responsible Division	Responsible Officer	Due Date	Status
5	There is a key dependency on SITA for IT services.	DoE is dependent on SITA for various IT services including the hosting and backups of key production servers.	The SLA held with SITA includes penalty clauses for inadequate hosting and backup services.	Significant	SLA's held with SITA should be updated to be more stringent with key production server managements. Skills should also be developed in-house to alleviate the knowledge gap of server management.	IT	Mr S Halimana (Director: IT Services)	Updated SLA-Feb 2016	In progress
6	KZN DoE has unsupported software such as Microsoft XP. Patches are therefore out of date for all machines with Microsoft XP	The Patch Management Process including a review of updates is not adequate.	Systems are being upgraded to ensure that they are supportable.	Significant	Patches must be managed through the SCCM deployment.	IT/ SITA	Mr S Halimana (Director: IT Services)	Jan-16	In progress

#	Risk Description	Root Cause	Existing Control	Control Risk Level	Suggested Mitigating Action Plan	Responsible Division	Responsible Officer	Due Date	Status
7	There is a single core firewall at SITA. Access to firewall and servers at SITA are completely managed by SITA and DoE does not have access. DoE also does not also have the skills to manage firewalls and servers. Vulnerability assessments and penetration testing is also not occurring at SITA.	Lack of reporting from SITA and updated SLA held with SITA. No capacity and skills within the current IT organisation.	Reliance is placed on controls implemented by SITA.	Significant	The development of SLA's for individual services must be performed by SITA.	IT/ SITA	Mr S Halimana (Director: IT Services)		

#	Risk Description	Root Cause	Existing Control	Control Risk Level	Suggested Mitigating Action Plan	Responsible Division	Responsible Officer	Due Date	Status
8	The SITA SLA does not address all the needs and requirements of KZN DoE. Annexure SLA's have not yet been developed and agreed upon.	Miscommunication between top management and IT. The SITA contract was signed with the promise to obtain annexure SLA's but this did not take place.	No current controls in place.	Significant	The development of SLA's for individual services performed by SITA.	IT/ SITA	Mr S Halimana (Director: IT Services)		
9	The asset register is inaccurate and out-of-date.	A process has not yet been implemented to update the asset register.	Assets are purchased as and when approved by the DoE and bulk ordered by SITA.	Significant	A process will be developed to include both IT and Finance for the procurement of IT assets.	IT/ Finance	Mr S Halimana (Director: IT Services)		
10	Backups are not available for hard copy documents.	Lack of duplicated hard copy documents at the legal offices.	No current controls in place.	Significant	A process for scanning and saving key documentation on to KZN DoE Servers should be considered.	All Directorates			

#	Risk Description	Root Cause	Existing Control	Control Risk Level	Suggested Mitigating Action Plan	Responsible Division	Responsible Officer	Due Date	Status
11	No information security policies have been implemented at KZN DoE.	There has been no formalised Information Security Policies, Standards and Guidelines especially for the use of IT assets and systems.	No current controls in place.	Significant	KZN DoE is to define and implement Information Security policies based on SITA requirements and best practice guidelines.	IT/ SITA	Mr S Halimana (Director: IT Services)		
12	The access to key systems is limited to certain employees due to licensing costs. This could influence segregation of duties conflicts.	Access to BAS and Persal is limited to key employees due to licensing costs.	Access to systems should be granted based on role requirements.	Significant	Role based access will be granted based on users job responsibilities detailed in approved access forms.	IT/ SITA	Mr S Halimana (Director: IT Services)		

#	Risk Description	Root Cause	Existing Control	Control Risk Level	Suggested Mitigating Action Plan	Responsible Division	Responsible Officer	Due Date	Status
13	KZN DoE processes are predominantly manual which hinders the growth and efficiency of the department.	Leave processes are manual. Case management systems (case history) are maintained on Microsoft Excel.	The leave policy is defined but is not being adequately followed.	Significant	KZN DoE should consider process optimisation and re-engineering to enhance efficiencies.	Department of Education (HoD). MEC			
14	Teacher strikes at a school/ provincial/ national level.	Teachers strike due to inadequate salaries or lower quality working conditions.	No current controls in place.	Significant	KZN DoE to assess the reasons for strikes and work on mitigating actions to prevent future strikes.	HoD/ MEC			

#	Risk Description	Root Cause	Existing Control	Control Risk Level	Suggested Mitigating Action Plan	Responsible Division	Responsible Officer	Due Date	Status
15	Within Finance, there are various source documents that are approved manually.	At the KZN DoE, automated processing has not yet been established for all manual activities.	No current controls in place	Significant	The approvals process should be automated via access controls on systems. Remote access to approve should also be made available such that the staff member need not be physically present to approve.	Finance			
16	At periods closer to deadlines/ increased processing periods, there are bandwidth challenges that create bottlenecks and makes the system inefficient.	The bandwidth lines in use at KZN DoE inadequately accommodate processing demands.	No current controls in place.	Critical	KZN DoE to acquire faster line speeds and higher bandwidth lines that can support all the KZN DoE processes.	IT/ SITA	Mr S Halimana (Director: IT Services)		

#	Risk Description	Root Cause	Existing Control	Control Risk Level	Suggested Mitigating Action Plan	Responsible Division	Responsible Officer	Due Date	Status
17	Request for quotation and voucher notes are compiled from the invoices between KZN DoE and their suppliers. These voucher notes are all hard copy documents which lends itself to many inefficiencies.	The SCM process and payment process is currently manual.	No current controls in place.	Significant	The SCM process should be automated to make it more efficient.	IT/ SITA with SCM	Mbali Thusi (Chief Director: Administrative Services; SCM)		
18	Chief Director: Administrative Services is the responsible party for both the IT DRP and the BCP. The BCP is ideally supposed to be maintained by business to relieve some of the	Chief Director: Administrative Services is currently the responsible person for both the BCP and IT DRP in the event of a disaster	No personnel from business has been appointed for the role of BR Team Leader	Significant	The role of the BR Team Leader should be assigned to a responsible party from business.	KZN DoE - IT and other directorates	Mbali Thusi (Chief Director: Administrative Services)		

#	Risk Description	Root Cause	Existing Control	Control Risk Level	Suggested Mitigating Action Plan	Responsible Division	Responsible Officer	Due Date	Status
	responsibility from the Chief Director: Administrative Services in the event of a disaster.								

Table 27: Critical Risks.

13. Appendix 5: Abbreviations, Acronyms and Terms

Abbreviation	Term	Description
BR team	Business Recovery Team	Business unit operational teams responsible for the recovery of key business processes to a Revised Operating Level ("ROL") during the first stages of a crisis situation. Also responsible for the recovery of all business process during the normalisation phase of a crisis situation.
BIA	Business Impact Analysis	The process by which the impact of a disaster is on a business unit or function is assed in terms of people, environmental, social, technological, legislative and economic impacts.
BAU	Business As Usual	This indicates the normal state of business to which a recovery attempt should progress after the ROL has been achieved.
-	Disaster	A sudden, unprocessed documented catastrophic event causing great damage or loss. Any event that causes an organisation to be unable to provide critical business functions for a pre-determined period of time.
-	Incident	A sudden, unprocessed documented event causing damage or loss. Depending on the severity of the event, the incident may be classified as a disaster if the event causes an organisation to be unable to provide critical business functions for a pre-determined period of time.
IT DR	IT Disaster recovery	IT DRP is a plan for business continuity in the event of a disaster that destroys part or all of a business's resources, including IT equipment, data records and the physical space of an organization.
SMME	Small, Medium and Micro-sized Enterprises	**SMME** Development - Government has prioritised entrepreneurship and the advancement of Small, Medium and Micro-sized Enterprises (**SMMEs**) as the catalyst to achieving economic growth and development.
KZN	KwaZulu-Natal	South Africa
DoE	Department of Education	-
HoD	Head Of Department	Head of the Department of Education
RTO	Recovery Time Objective	**Recovery Time Objective** (RTO) is the duration of **time** and a service level within which a business process must be restored after a disaster in order to avoid unacceptable consequences associated with a break in continuity
RPO	Recovery Point Objective	**Recovery Point Objective** refers to the amount of data at risk. It's determined by the amount of time between data protection events and reflects the amount of data that potentially could be lost during a disaster **recovery**. The metric is an indication of the amount of data at risk of being lost