

Annexure F

**1. Due Diligence: Risk Management and Business Continuity Management**

Tender Number : HOAC-HO-51865

Tender description : SUPPLY AND DELIVERY OF RECOVERY (TRACK BULLDOZERS, EXCAVATORS AND LOW BED TRAILER) EQUIPMENT WITH A FULL MANAGED MAINTENANCE FOR A PERIOD OF 7 YEARS.

1.1. Business Impact Analysis	Assessment Criteria
<p><b>The following elements of the Business Impact Analysis will be assessed:</b></p> <p><b>1.1.1. Identification of critical processes within the project / service:</b> (a) Demonstrate that the critical activities and/ or processes are identified and the critical activities and/ or processes if disrupted prevent project completion/ service delivery.</p> <p><b>1.1.2. Recovery Time Objective (RTO) in case of any interruption that may arise:</b> (a) Detail acceptable RTO for the continuation of identified critical activities and/ or processes after a disruptive event. (Consider any SLA or regulatory requirements applicable to the activity and/or process).</p> <p><b>1.1.3. Recovery Strategy: How will the service provider/ supplier recover.</b> (a) Detail step by step process as to how the critical activities and/or processes will be recovered; (b) In what order the critical activities and/or processes will be recovered and by Whom.</p> <p><b>1.1.4. Operational dependencies:</b> (a) List applicable internal and external dependencies for the recovery of the listed critical activities and/ or processes e.g.: Operational equipment, telephones etc. needed for continuity.</p> <p><b>1.1.5. Alternative supply of equipment and/ or supply of extra staff:</b> (a) Provide adequate information on how alternate equipment or additional experienced staff will be secured/ sourced in the event that a BCM incident negatively impacts these resources. (Consider the original requirements for completion of a project and/or delivery of a service).</p> <p><b>1.1.6. Battle Box:</b> The battle box may amongst other things include a physical collection or an electronic repository of recovery plans, work instructions, manual documented processes, standard operating procedures, templates, letterheads etc. required for continuity of business critical systems. In some instance this can also include off-site stores of certain equipment or electronic devices etc. (a) Detail the contents of a battle box for continuation of the critical activities and/ or processes after a disruptive event.</p>	<p>All elements for the BIA are required.</p> <p>All elements will be assessed as per the guide provided, for adequacy and relevance to the project / service offering etc. and a due diligence report provided.</p>
1.2. Business Continuity Plan (BCP)	Assessment Criteria
<p>The following elements of Business Continuity Management and the BCP will be assessed:</p> <p><b>1.2.1. Emergency operating procedure:</b> (a) Detail the steps to be followed, after an emergency incident on the site/ location of impact, is experienced.</p> <p><b>1.2.2. Business Continuity Invocation Action:</b> Once the incident is under control and its impact determined and assessed. (a) Detail the process on when, how and by Whom, the BCP will be invoked.</p> <p><b>1.2.3. Project Recovery Resources:</b> These are additional resources or the re-arrangements of existing resources, required to support the recovery of critical activities and/ or processes as per the BCP, within the RTO. (a) Identify and list the recovery resources</p> <p><b>1.2.4. Business / Supplier Contact List:</b> Internal / external service providers, etc. on whom a reliance for operational continuity is required. (a) Provide a list of the identified business / supplier contact list.</p> <p><b>1.2.5. Emergency Contacts (BCP):</b> Aligned to the BCP invocation process (1.2.2) (a) Include a list of BCM recovery team members, their names and contact details, i.e. the BCM Common Data.</p>	<p>All elements for the BCP are required.</p> <p>All elements will be assessed as per the guide provided, for adequacy and relevance to the project / service offering etc. and a due diligence report provided.</p>
1.3. Risk Management Plan - For project / Operational Risks, the identified Risks should be based on the scope of works	Assessment Criteria
<p>The following elements of Risk Management will be assessed:</p> <p><b>1.3.1. Identification of Risks of Service Interruption during the project:</b> The provided risk register: (a) Name the identified risks to service interruption and / or non delivery of services etc. during the project. (b) List/ align the causes giving raise to the risks and</p> <p><b>1.3.2. Risk Analysis Methodology:</b> How is the identified risks analysed and rated: (a) Provide risk consequence/ impact and risk likelihood/ probability rating table/ categories. (b) Clearly show how the risk rating/ score is calculated (e.g. Impact x Likelihood = Risk Rating/ Score), for plotting of risk from High to Low, and/or similar.</p> <p><b>1.3.3. Ranking of the Risks:</b> (a) Provide a listing of the risks by its name from Highest to Lowest ranked risks.</p> <p><b>1.3.4. Mitigation of the identified risks:</b> In the risk register: (c) List/ align the risk controls in place to manage the identified risks. (d) If applicable, additional risk tasks over controls already in place, to further mitigate the risk be provided.</p> <p><b>1.3.5. Responsible person:</b> In the risk register: (a) Risks be assigned to named, risk owners and named owners for controls or any additional risk task.</p>	<p>All elements for the Risk Assessment are required.</p> <p>All elements will be assessed as per the guide provided, for adequacy and relevance to the project / service offering etc. and a due diligence report provided.</p>
Due Diligence	
<p>1. Be fair and objective in your due diligence process. 2. Complete the due diligence in full and provide comments to support findings/ areas of improvement where necessary. 3. The document should be completed in a neat and tidy manner due to the fact that it will become an official document. 4. Be transparent and share your observations with the company representative (applicable where site visit was conducted to verify information supplied) and assessment team. 5. No copies of the completed due diligence document must be provided to the company representative. 6. On completion of the due diligence the results to be discussed with the contractor via SCM. 7. After the tender award the tenderers representative may be advised of their shortcomings in terms of their SHE submission.</p>	