Annexure K: Enterprise Risk Management Elements

T2.2-xx: Returnable: Enterprise Risk Management and Business Continuity Management Requirements (Due Diligence Criteria)

The preferred Contractor(s) from the approved list to identify and evaluate the potential risk elements associated with the Works/ Services etc. and possible mitigation thereof for the relevant Procurement Phase. The risk elements and the mitigation as identified thereof by the preferred Contractor(s) are to be submitted with other returnable documents in separate file.

If no risks are identified "No Risk" must be stated on this schedule.

The Preferred Contractor(s) to demonstrate their understand of potential Business Continuity threats, through a relevant Business Impact Analysis process and measures to be implemented to recover associated Works/ Services within pre-defined recovery times, to ensure Business Continuity.

NB: The Preferred Contractor(s) from approved list required to methodically prepare comprehensive documentation that addresses the elements of Risk Management and Business Continuity Management to be assessed. These documents shall be organized into a 'Separate Risk Management Folder' by all potential bidders. This segregation is crucial to guarantee that the assessment process for Risk Management and Business Continuity Management Elements is conducted with objectivity, fairness, and transparency, and is solely based on the merit of the Contractor(s)' respective risk management documents submitted post award.

Attached submissions:
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The Assessment Criteria Guideline for the specific Tenderer's Risk Elements will be as follows:

1. Assessment Elements: Risk Management and Business Continuity Management (BCM)	
Tender Number:	
Tender Description:	
1.1. Business Continuity Management (BCM)	**Due Diligence**
Detailed Business Continuity Management Document prepared and based on Business Continuity Management best practices and relevant Standard must cover the BIA and Business Continuity Plan (BCP). This structured approach in assessing BCM submissions will help to ensure a comprehensive assessment of each bidder's ability to manage and respond to business disruptions effectively. The assessment will consider how well these elements integrate with the project or service specifics or proposed RFI solution, reflecting the bidder's understanding of the unique requirements of the project and preparedness and resilience when faced with potential unforeseen disruptions during piloting or execution of the project or service or associated solution proposed in RFP. The BCM will be assessed based on the following key elements: 1.1.1. **BCM Policy and Framework for the Tenderer: -** Bidder's Policy Statement Alignment with industry standards and best practices; and Clarity and comprehensiveness of the BCM policy and framework. 1.1.2. **BCM Risk Assessment and Mitigation:** - Thoroughness in identifying business continuity related potential business continuity risks; Effectiveness of proposed BCM mitigation strategies; and BCM relevance to pilot site or project-specific risks. 1.1.3. **Incident Management and Response Plan:** - Detailed incident management procedures; Clarity in response roles and responsibilities; and Practicality and speed of response in emergency situations (Experience in incident management or BCP or IT Disaster Recovery Plans simulation scenario). 1.1.4. **Business Continuity Plans for Critical Functions Process:** - Specific plans for each critical business function process relevant to project or service to be rendered post tender award; Depth in detailing continuity strategies; and Consistency with overall business objectives and project or service goals. 1.1.5. **Communication Plan during Disruption:** - Clarity and effectiveness of communication strategies; and Identification of key stakeholders and methods of communication. 1.1.6. **BCM Training and Awareness Programs:** - Scope and frequency of training programs; and BCM Strategies to enhance staff awareness and preparedness.	The 10 listed critical elements for the BCM are required. All elements will be assessed as per the guide provided, for adequacy and relevance to the project / pilot service offering etc. A Risk Management and Business Continuity Management Assessment Report to be generated covering BCP Elements and to be shared with appointed Contractor post tender award during kick-off sessions.

1.1.7. Testing and Maintenance of Business Continuity Plans: - Regularity of BCP testing; Documented revisions and updates to the plans; and Ability to adapt and improve plans based on test or simulation outcomes. **1.1.8. Third-party Supplier and Vendor BCM Compliance: -** Assurance of BCM compliance among Tenderers suppliers and vendors; Strategies to manage third-party risks; Integration of vendor risks into overall BCM strategy. **1.1.9. Crisis Leadership and Decision-making Structure:** - Clearly defined crisis leadership roles; Decision-making processes during crisis; and Capability to maintain control and direction under crisis conditions. **1.1.10. Common Data:** Provision of Common Data for critical Resources required during disruption or disaster events and required to relocate to recovery site or expected to work from home if workplace is not accessible during disaster, flooding, heat wave or labour unrest.	
1.2. Business Continuity Management - Business Impact Analysis (BIA)	**Due Diligence**
Detailed Business Continuity Management Document prepared and based on Business Continuity Management best practices and relevant Standard must cover the BIA and Business Continuity Plan (BCP). The BIA will be assessed based on the following key elements: **1.2.1. Business Continuity Management and Identification of critical processes within the project / service: -** Demonstration of Business Resilience, Agility and that the critical activities and/ or processes are identified. These are activities and/ or processes if disrupted prevent project or pilot completion / service delivery. **1.2.2. Recovery Time Objective (RTO) in case of any interruption that may arise: -** Detail for each of the above critical activities and/ or processes what is the determined acceptable recovery time objective for re-instatement of the activity/ process (consider all applicable SLA or regulatory requirements). **1.2.3. Recovery Strategy: -** How will the service provider/ supplier recover - Detail the step-by-step process as to how the critical activities and/ or processes will be recovered? In which order? Whom is to undertake the recovery etc. **1.2.4. Operational dependencies:** - Note all internal and external dependencies for the recovery of the listed critical activities and/ or processes e.g.: Operational equipment, telephones; facilities; etc. needed to ensure continuity. **1.2.5. Alternative supply of equipment and/ or supply of extra staff:-** Provide adequate information on how alternate equipment or additional experienced staff will be secured if a BCM incident negatively impacting these resources as originally allocated for completion of a project/pilot/ delivery of a service.	The 6 listed critical elements for the BIA are required. All elements will be Assessed as per the guide provided, for adequacy and relevance to the project / Pilot / service offering etc. A Risk Management and Business Continuity Management Assessment Report to be generated covering BIA Elements and to be shared with appointed Contractor post tender award during kick-off sessions.

1.2.6. Battle Box:- Provide details on whether a battle box is established and what it entails/ contains. This may be either a physical collection or an electronic repository of recovery plans, other necessary documentation, templates, memo's, letter heads etc. required for re-instatement of business-critical systems. In some instance this can also include off-site stores of certain equipment or electronic devices etc.	
1.3. Business Continuity Management - Business Continuity Plan (BCP)	**Due Diligence**
The detailed BCP or related annexures to the plan must contain: **1.3.1. Emergency operating procedure:** - Must detail the steps to be followed following an emergency/ incident at the site / location of impact. **1.3.2. Business Continuity Invocation Action: -** Once the incident is under control and its impact determined and assessed, this details the when, the how and by whom the BCP will be invoked. **1.3.3. Project Recovery Resources:** - Identify and list the recovery resources. These maybe additional resources or re-arrangement of existing resources as required to support the recovery of critical activities and/ or processes as detailed in the BCP, within the RTO. **1.3.4. Business/ Supplier Contact List: -** Demonstrate that these have been identified and means to easily contact them is in place. **1.3.5. Emergency Contacts:** - inclusive as per item 1 to initially deal with the incident (emergency services etc), then thereafter must also include the BCM recovery team members, names, and contact details.	The 5 listed elements for the BCP are required. All elements will be assessed as per the guide provided, for adequacy and relevance to the project / service offering etc. A Risk Management and Business Continuity Management Assessment Report to be generated covering BCP Elements and to be shared with appointed Contractor post tender award during kick-off sessions.
1.4. Risk Management - Risk Management Plan (RMP) - Project/ Pilot Operational Risks be based on the scope of works/ services etc.	**Due Diligence**

The assessment of the detailed RMP will be based risk management best practices or applicable standards and on the scope of works, must contain the following: **1.4.1. Submitted Risk Management Policy and Framework for the Tenderer:** - Policy Statement Alignment with industry standards and best practices; and Clarity and comprehensiveness of the Risk Management Policy and Signed by the employee or owner. **1.4.2. Identification of Risks of Project /Pilot Service Interruption during the project/pilot execution:** - A risk register that contains the identified risks of service interruption and / or non-delivery of services etc. during the project/pilot execution. Demonstrate an understanding of the internal and external threats to effective service delivery within scope and to quality. **1.4.3. Risk Analysis Methodology: -** Demonstrate for risk identified, the causes, risk consequence/ impact and risk likelihood/ probability rating and how the risk rating is calculated. The methodology may also provide a view on the effectiveness of controls and the residual risk after application of controls. **1.4.4. Ranking of the Risks:** - Once the risk register is completed a risk heat map and listing of the risks by name/ risk description from highest to lowest ranked risk provided in the RFI Response document. **1.4.5. Risk Mitigation Measures for the identified risks and Responsible Person: -** Provided in the risk register for each assessed risk the controls in place to manage the risk along with additional risk tasks to further mitigate the risk; and Responsible person: Ensure the risks have assigned risk owners, assigned control owners for the checking on controls and any other person assigned a risk action to complete under the risk register.	The 5 listed elements for the RMP are required. All elements will be assessed as per the guide provided, for adequacy and relevance to the project / service offering etc. A Risk Management and Business Continuity Management Assessment Report to be generated covering RMP Elements and to be shared with appointed Contractor post tender award during kick-off sessions.