



# BUSINESS CONTINUITY AND DISASTER RECOVERY POLICY

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## 1. INTRODUCTION

The Da Vinci Institute is a registered private higher distance education provider (Registration No. 2004/HE07/003) offering accredited qualifications on NQF levels five to ten, which are registered on the Higher Education Qualifications Sub-Framework (HEQSF). This policy forms part of the institutional Integrated Quality Management System and details the principles for ensuring that programme offerings adhere to the required academic regulatory standards and empower students to contribute to the transformation of their communities, society, and the economy of the future. This approach is underpinned by the Business- and Community-based Action Learning discourse on the co-creation and distribution of relevant knowledge.

Business Continuity refers to the activities required to keep The Institute operational during a period of displacement, interruption or disruption. This includes short or long-term disasters or other disruptions, such as, inter alia, a national, provincial or local disaster, unrest, loss of a utility, loss of a key staff member(s) or the loss of premises.

The Purpose of a Disaster Recovery Plan is to coordinate the recovery of critical business functions in managing and supporting the business recovery process in the event of a disruption or disaster.

This policy is for use should an emergency occur, or, has occurred.

## 2. ACRONYMS

| Term       | Definition  |
|------------|---|
| EXCO       | Executive Committee                                   |
| FAIRC      | Finance, Audit, IT, Infrastructure and Risk Committee |
| IT Manager | Information and Technology Manager                    |

## 3. DEFINITIONS

| Term                           | Definition  |
|--------------------------------|---|
| Business Continuity            | Refers to the activities required to keep The Institute operational during a period of crisis, displacement, interruption or disruption   |
| Business Continuity Plan (BCP) | The creation of a plan through the recognition of threats and risks facing a company, guiding The Institute to respond to a disruption or disaster, and resume, recover and restore the delivery of products and service to ensure the return to regular operations as soon as possible |
| Business Impact Analysis       | Refers to a process of analysing the impact of a crisis, displacement, interruption or disruption. These incidents can be both anticipated and unanticipated, that cause an unplanned, negative deviation from the expected delivery  |

| Term                   | Definition  |
|------------------------|---|
|                        | of products and services according to The Institute's business objectives   |
| Disaster               | Any extraordinary occurrence, including a national, provincial or local disaster declared in terms of the Disaster Management Act, 2002, or a global event, that can cause a significant disruption in operational and/or technological capabilities for a period of time, which affects the operations of the business |
| Disaster Recovery Plan | An institutional plan on how to recover from the disaster and to resume operations  |
| Disaster Recovery Team | Consists of The Institute's Executive Committee who will assess any damage/loss to facilities, equipment and /or data and determine whether the Disaster Recovery Plan should be activated  |
| Impact                 | The outcome of a disruption in terms of how it affects business objectives  |
| Recovery Time          | The duration within which business processes must be restored so as to avoid disruptive consequences associated with a break in business continuity   |
| Resources              | Means all assets, people, skills, technology, premises, supplies and information (whether electronic or not) that The Institute has to have available to use, when needed, to operate and meet its business objectives  |

#### **4. REGULATORY FRAMEWORK**

This policy is benchmarked against and should be read in the context of the relevant legislation underpinning the principles against which institutional policies and operational procedures are developed, implemented, and maintained. These include:

A. Relevant legislation:

- I. Companies Act (No.71 of 2008)
- II. Constitution of the Republic of South Africa (No.108 of 1996)
- III. Disaster Management Act (No.57 of 2002)

B. Applicable Institutional documents:

- i. A4 – Privacy and Confidentiality Policy
- ii. A7 - Communication Policy
- iii. A12 – Records Management Policy
- iv. C7 - Incident and Service Management Information Technology Policy

## **5. SCOPE**

This policy is applicable to all staff and other stakeholders of The Institute.

## **6. PURPOSE**

The purpose of this policy is to:

- a. provide overall guidance to The Institute's stakeholders on the recognition of and response to possible business threats to The Institute
- b. improve the resilience of each department through identifying and managing their varied operational risks inherent in the delivery of The Institute's services.

## **7. POLICY STATEMENT**

It is the policy of The Institute to:

- a. establish and maintain an active and fully supported business continuity plan and supportive structure to ensure the survival and sustainability of The Institute
- b. put measures in place to safeguard the assets of The Institute and to ensure continuity of its activities, systems, and processes
- c. establish capacity to enable The Institute to resume its regular operations as soon as possible in the event of a disruption
- d. ensure that the management of all business disruptions is accompanied by a communication plan.

## **8. BUSINESS CONTINUITY PLAN (BCP)**

The BCP constitutes the following:

- a. Business Impact Analysis Register (Risk)
  - I. Business Impact Analysis will be conducted annually considering potential disaster scenarios and the potential impact thereof on the business
  - II. Ranking each scenario in terms of potential eventuality
  - III. Discarding scenarios that are not likely to occur
  - IV. Categorising and ranking remaining disaster scenarios in terms of the impact thereof on the business
  - V. Defining each potential disaster within each scenario category
  - VI. The risk register is considered monthly at the EXCO meetings and is considered and discussed at the FAIRC meetings.
- b. Disaster Recovery procedure - to be followed in the event that a disaster has occurred (refer to Annexure A)

- c. Disaster Recovery plan – to be referred to in the event of a disaster (refer to Annexure B)

## 9. MANAGEMENT OF THE POLICY

The EXCO and IT Manager oversee the management of this policy in all the relevant pursuits of The Institute, and are responsible to:

- a. make available the necessary resources to implement a business-continuity management system
- b. ensure that the business-continuity management system achieves its intended outcome(s)
- c. establish a management environment conducive to the continual improvement of business continuity
- d. upon the advice of the Executive Chairman and/or CEO, to declare a disaster and activate the disaster recovery plan.

## 10. REVIEW OF THIS POLICY

Regular review and amendment of this policy will be done in line with the approved institutional policies. This will take place in consultation with the relevant quality assurance structures at departmental and institutional level, under the auspices of the official custodian of this policy, namely the Executive: Operations.

## 11. A14 – P1 - DISASTER RECOVERY PROCEDURE

### 1 Procedure Description

This procedure document will be followed when a disaster occurred, and business continuity is needed.

| Step | Description   | Notes   |
|------|---|---|
| 1    | A member of the Disaster Recovery Team (DRT) is notified by a relevant stakeholder when a possible disaster occurs, and notifies the rest of the DRT            |   |
| 2    | The Disaster Recovery Team to assess the damage/loss to facilities, equipment and /or data and determine whether the Disaster Recovery Plan should be activated | Ensure the safety of all staff and stakeholders, as well as limit access to the affected areas, if relevant |

|   |   |  |
|---|---|--|
| 3 | The Disaster Recovery Team to agree on a plan of action and allocate responsibilities accordingly   | Including the seeking of legal advice, if necessary                                |
| 4 | The Executive: Strategy and Stakeholder Management to prepare and send a communication to all relevant stakeholders to inform them of the way forward | The CEO to provide feedback on a regular basis to the Board regarding the progress |
| 5 | The Disaster Recovery Team to obtain the relevant quotations to restore information/facilities/equipment and prepare a project plan                   |  |
| 6 | The Disaster Recovery Team to monitor the progress of the project plan and regularly provide updates to the relevant stakeholders                     |  |
| 7 | The affected managers to take accountability for their teams to ensure they have tasks to complete and to monitor the output                          |  |

### Stakeholders

| # | Stakeholder |
|---|-------------|
| 1 | CEO         |
| 2 | EXCO        |
| 3 | IT Manager  |

## 12. ANNEXURE B – DISASTER RECOVERY PLAN

### 1. PURPOSE

The Disaster Recovery Plan is designed to ensure the continuation of vital business processes in the event of an emergency or crisis situation, to control all activities associated with a crisis situation in a pro-active manner, and to lessen the potential negative impact on the business caused by, for example, negative media publicity. This plan is readily available to:

- a. respond effectively in a crisis situation
- b. manage the crisis in an organised and effective manner
- c. provide regular business updates and communication
- d. limit the magnitude or impact of any crisis situation to the various departments.

### 2. DISASTER/EMERGENCY SITUATION PRIORITIES

To ensure minimum disruption to business operations it is of critical importance to adhere to the following requirements when managing the disruption:

- a. Promptly respond to a disaster or emergency situation
- b. Notify the necessary trained staff
- c. Ensure the safety of employees and visitors both inside and outside of the building
- d. Follow documented plans and procedures to ensure the quick, effective execution of recovery strategies for critical business functions
- e. Rapidly resume regular services to clients
- f. Rapidly resume regular business functions.

### **3. COUNTER-DISASTER MEASURES**

#### **3.1. Physical Access**

A system is in place where all staff and any visitors sign-in at the entrance to the premises to minimise potential risk of unsolicited access.

#### **3.2. Health and Safety**

The Health and Safety Manager is responsible to ensure compliance with the Occupational Health and Safety (OHS) Act and has to have at least one fire drill per annum.

Emergency telephone numbers for Police, Fire Department and Ambulance services are displayed throughout the building.

#### **3.3. Fire Prevention**

The Institute is required to comply with Fire Safety Regulations.

#### **3.4. Communication Lines**

The Institute relies on telephones lines to perform its business. In the event that existing lines are interrupted, cell phones will be utilised.

### **4. ASPECTS TO BE INCLUDED IN THE DISASTER RECOVERY PLAN**

#### **4.1. Development of the Plan**

The plan for each category of disaster is based on:

- a. Rapid access to emergency contact lists
- b. Communication to relevant staff, students and stakeholders specifying actions that need to be taken.

## **4.2. Disaster Declaration**

A disaster will be declared at the appropriate level and the recovery plans will be activated. Human Resources will be informed of any staff affected by the disruption and the actions to be taken.

## **4.3. Disaster Recovery Actions**

Where relevant and necessary:

- a. The relevant stakeholders will be notified of the disaster declaration
- b. The Human Resources will arrange staff counselling, if deemed necessary, or other actions to inform and support staff
- c. Press releases will be prepared in line with the recovery plan
- d. Relevant clients will be contacted and advised of the disaster and the recovery process, either immediately or at the earliest suitable time.

## **4.4 Emergency Evacuation**

The Operations Executive must contact the emergency services if required, including:

- a. Ambulance Services
- b. Fire Services
- c. Police Services
- d. Medical Services
- e. Providing first-aid by trained staff, if required
- f. Ensuring execution of fire drills and roll calls if required
- g. Attending to any staff that require assistance.

## **5. Human Resources**

Human Resources has responsibility for:

- a. Re-assuring and supporting staff
- b. Communicating with next of kin in the event of injury or death.

### **5.1 Evacuation of Staff**

The establishment of a safe environment outside the building. Staff need to be evacuated in an orderly manner to minimise injuries.

### **5.2 Public Relations**

In the event of a major disaster, the Stakeholder and Strategy Management Department will develop a crisis communication strategy and issue notifications, information and assurances via the relevant media and communication channels.

## **6. Restoration and Return of Staff**

Should the disaster involve the collapse of the premises:

- a. The rebuilding and restoration of the premises will begin once the evacuation has been successfully managed and insurance claims completed
- b. The existing premises may be revamped, or new premises sought. The restoration process must be executed to ensure that all the required disaster prevention measures are effectively implemented at the restored or new office site
- c. As the restoration process nears completion the return of staff and service facilities to the restored or new office site must be implemented.

## **7. Finance and Insurance**

The Finance department plays an important role in ensuring effective business resumption in the post-disaster environment by implementing the following actions:

- a. Arranging the required insurance/funds to enable the recovery process
- b. Arranging for the authorisation of additional official signatories in the post disaster situation if required
- c. Assisting management in the analysis of Service Level Agreements and the potential financial penalties as a result of the disaster

### 13. EMERGENCY / EVACUATION OF BUILDING PROCEDURE

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#### Procedure Description

This procedure document will be followed to provide guidance on the protocol in case of an emergency as well as when the building needs to be evacuated due to a fire or bomb threat.

An emergency can include, but is not limited to the following:

- a. Medical emergency where first aid or other medical assistance is required
- b. Fire emergency where the fire marshal needs to put out a fire or where the emergency fire services is required
- c. Bomb threat / robbery / any other hostile situation.

| Step | Description   | Notes  |
|------|---|--|
| 1    | The staff member who identifies any emergency situation should notify the health and safety representative.   | Should the health and safety representative not be on site, contact any of the executive members on site.        |
| 2    | The health and safety representative will identify the nature of the emergency and contact the relevant parties.  |  |
| 3    | For minor medical emergencies the health and safety representative will contact the internal first aider to attend to the situation.                          | Da Vinci has 2 certified first aiders.   |
| 4    | For more serious medical emergencies the health and safety representative will contact the emergency medical services / ambulance to attend to the situation. | The number of the ambulance and emergency medical services is available at reception and the staff notice board. |

|   |   |   |
|---|---|---|
| 5 | For minor fire emergencies the health and safety representative will contact the internal fire marshal to attend to the situation.  | All fire fighting equipment is services annually as per regulation.<br>The number of the fire brigade is available at reception and the staff notice board.   |
| 6 | If staff members need to be evacuated from the building, the health and safety representative will contact the 4 wing leaders to safely escort the staff members to allocated emergency exit points in their respective areas and go to the assembly points marked outside. The health and safety representative will also ring the bell for more than 20 seconds to identify an emergency where the building needs to be evacuated. The health and safety representative will do a headcount and contact anyone not present to determine their whereabouts. Wing leaders need to ensure that their wing was fully evacuated. | Staff members to take their belongings with them if possible.<br>Should there not be time to gather belongings, it should be left behind as staff safety is priority.<br>Staff members should evacuate in the safest way possible and not obstruct or hinder the fire marshal in performing their duties or other staff members from safely exiting the building. |
| 7 | For more serious fire emergencies the fire marshal will contact the emergency fire services to attend to the situation  |   |
| 8 | For bomb threats, robberies and other hostile or emergency situations, contact the health and safety representative as well as the security officer on duty. The health and safety representative will determine whether the building needs to be evacuated or not, and will contact the police services to attend to the situation. The security officer will contain the situation as far as possible.  | The number of the police services is available at reception and the staff notice board.   |

## Stakeholders

| # | Stakeholder            |
|---|------------------------|
| 1 | Human Resource Manager |
| 2 | Executive: Operations  |
| 3 | CEO                    |

