Cape Peninsula University of Technology

FACTORS INFLUENCING BUSINESS CONTINUITY READINESS OF THE WESTERN CAPE GOVERNMENT

by

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DECLARATION

I, Gillian Lutz, declare that the contents of this thesis represent my own unaided work, and that the thesis has not previously been submitted for academic examination towards any qualification. Furthermore, it represents my own opinions and not necessarily those of the Cape Peninsula University of Technology.

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Signed   **Date**

ABSTRACT

The research was focused on business continuity management as a key discipline towards building a resilient Western Cape Government. It provided an opportunity to identify existing business continuity processes to determine the level of preparedness of the Western Cape Government to ensure continued business due to a disruption.

The inability of the public sector to manage and facilitate sound business continuity processes in anticipation of disruptive events have placed it in a position where it would be unable to deliver services to citizens and stakeholders.

As the current business environment was continuously evolving, Government as an organization was therefore not immune to change and disruption, whether generated internally or externally. For government to be resilient it required the holistic management of risk but also the ability to adapt and respond to change with a limited impact on the delivery of services.

Business Continuity was the core to building and improving organizational resilience. It had been a proven methodology that organizations should embrace as part of a holistic approach to the management of risks and threats.

Legislation and/or policies have been drafted for the public sector to guide with the management of risks. As an organ of state and part of the public sector the Western Cape Government was therefore obliged to manage risks in a way that ensured that government was able to continue to render a service both internally and externally with as little impact as possible. Business continuity management identified the priorities of an organization as well as prepared solutions to address disruptive threats.

The aim of the study was the exploration of the state of business continuity within the Western Cape Government. The objectives of the study were to: Identify current business continuity processes; Evaluate current business continuity processes; Critically analyse existing business continuity documentation; and Identify the links between business continuity and resilience.

The research questions were focused on getting departments to express how business continuity was facilitated; clarity in respect of processes; input source of business continuity documentation; as well as determining whether departments acknowledged the benefits of having business continuity management towards building a resilient Western Cape Government.

Previous work reinforced the importance of having sound business continuity processes in place. From the literature it would appear that business continuity in the public sector was fairly new and developmental in nature. Previous work also recognized that each and every organization was unique and as such the process should be aligned with the core functions and/or mandates afforded by legislation and/or policies.

The research approach deemed most appropriate for this particular study was the Interpretivist approach. Not only was this approach value laden but it allowed for the exploration of the theory and obtaining of rich in-depth data from the participants. It also allowed for the contextualization of the problem as it related to the business continuity processes within the Western Cape Government. The research method was qualitative using interviews and document analysis as the most suited research instruments to elicit qualitative data required to render the research process as valid.

It was concluded that having sound business continuity processes in place would greatly support organizations with the management of disruptions. Business continuity should be *a proactive plan to avoid and mitigate risk associated with disruption of operations* and needed to be managed in a way that objectives were met.

Further to this it should be noted that the resilience maturity of the Western Cape Government remained reactive and concerted efforts towards becoming proactive should be considered.

Key words: Resilient, Business Continuity, Business Continuity Processes, Government, Disruption, Risk Management

ACKNOWLEDGEMENTS

DEDICATION

I would like to dedicate this Thesis to Sebastian and Angelica Lutz.

You are your own limitation!

Table of Contents

LIST OF FIGURES

LIST OF TABLES

APPENDICES

GLOSSARY

Abbreviation	Term
AG	Auditor General
APP	Annual Performance Plan
BCP	Business Continuity Plan
BIA	Business Impact Analysis
CCTV	Close Circuit Television
CD	Chief Director
CEI	Centre for E-Innovation
CFO	Chief Financial Officer
COSO	Committee of Sponsoring Organizations
CPF	Community Police Forum
DD	Deputy Director
DG	Director General
ERM	Enterprise Risk Management
ERMCO	Enterprise Risk Management Committee
ERT	Emergency Response Team
ESKOM	Electricity Supply Commission
EXCO	Executive Committee
FMP	Financial Management Planning
HOD	Head of Department
HR	Human Resources
ICT	Information Communication Technology
ISO	International Organization for Standardization
IT	Information Technology
LO	Liaison Officer
MANCO	Management Committee
MEC	Member of the Executive committee

MISS	Minimum Information Security Standards
MoU	Memorandum of Understanding
MPAT	Monitoring Performance Assessment Tool
NHW	Neighbourhood Watch
NOSA	National Occupation Safety Association (South Africa)
OHS	Occupational Health and Safety
PDCA	Plan-Do-Check-Act
PESTLE	Political, Economic, Social, Technological, Legal, Environmental
PID	Project Initiation Document
PTM	Provincial Top Management
RSAT	Risk Self-Assessment Tool
SAPS	South African Police Services
SHERQ	Safety, Health, Environment, Risk and Quality
SITA	State Information Technology Agency
SMS	Senior Management Service
SRM	Security Risk Management
SSRA	Safety and Security Risk Assessment
SWOT	Strengths, Weaknesses, Opportunities & Threats
WCG	Western Cape Government

CHAPTER 1

INTRODUCTION

1.1   GENERAL INTRODUCTION

Venter (2014:138-139), explained that organizations ought to be considered open systems in relation to their environment and competitors. The boundaries and interfaces that existed between organizations and the external environment were relatively fluid and could not be easily or clearly defined. The external environment from time to time would spring surprises on organizations and managers needed to be prepared to react. Timely and accurate information about the environment proved to be critical for strategic decision making and planning.

Denyer (2017:5), clarified that in order to be responsive to the ever-changing external environment required organizations to predict, plan for, react and adjust to change and rapid events of disruption to continue and flourish. Simply put, it required organizations to become resilient. Viljoen (2015:50) described resilience as the ability of a functional organization to encounter change and disruption without disastrous transformations.

With the current environment continuously evolving, organizations were required to adapt to change and disturbance, and Government as an organization was therefore not immune, whether generated internally or externally. In order for Government as an organization to become resilient required risks to be managed appropriately in order to continue to deliver services to the citizens. This essentially required Government to be adequately prepared to deal with change and disruption.

1.2   BACKGROUND TO THE STUDY

The current risk landscape of South Africa as reported by the Institute of Risk Management (2019:45–46) had experienced significant shifts for example: the impact of fraud and corruption on the State; increased value added tax; land issues; the national elections and the use of technology.

The Government in South Africa had an obligation to provide services and infrastructure to the citizens of the country. As such, the leadership within the public sector were obligated in terms of the Public Finance Management Act 1 of 1999 (1999:36) to ensure that the risks confronting government departments were managed appropriately. South Africa. National Treasury (n.d) defined risk as an undesirable result, authentic or probable that could affect the Public Service's

ability to deliver services and the achievement of objectives as a result of certain risk elements. Government's inability to manage risks appropriately so that it could continue to render services to the citizens were illustrated below:

- Government's inability to respond to disruption was demonstrated by Etheridge (2018) when it was reported that a building in Johannesburg occupied by government departments was negatively impacted by a fire. At a press conference, the MEC for Infrastructure Development revealed that the building was only 21% compliant with safety regulations. It was announced that the employees that were impacted by the fire would be accommodated at an alternate building as soon as one could be found. In the interim staff were requested to remain at home. Should business continuity processes have been in place the Minister would have been in a position to reassure both citizens and staff as to the location of the alternate site where staff would be accommodated in the interim from which critical services would be rendered as well as the expected downtimes. This would not have been necessary if they had been safety and health compliant and also had a system to ensure the continuity of business. The scenario was indicative of a lack to manage the continuity of business due to the non-understanding of as well as the importance of these processes.

- Ferguson (2018) further stated that in South Africa, not many departments of the public service understood the theory and requirements of the management of business continuity. Very few departments understood the reasons for developing and maintaining systems resistant to events.

- Selowa (2016) presented that although the public sector had not reached the relevant maturity levels in business continuity, it did however have the potential to lead business continuity in South Africa, setting up resilient structures, to withstand both man-made and natural disasters.

- Herman (2018) reported that the State Information Technology Agency (appointed to render an efficient and value-added information and communication technology service to the public sector) apologized to all government departments and citizens for the system failure that occurred in all government departments, in particular at the home affairs offices. The State Information Technology Agency however conceded that the system recovery procedures needed to be revised so as to prevent a re-occurrence. This further supported the views held by Selowa, Ferguson above and also the observations of the author that an improved understanding of business continuity was required by the public sector.

- Based on observations of the author the recent water crisis experienced in the Western Cape Province also highlighted the public sector's lack of understanding of business continuity.

Provincial government departments were tasked to identify critical work functions to inform the development of a provincial response. This process proved to be difficult.

The above scenarios were indicative of Government's inability to deal with disruptive events even though various pieces of legislation required such. A requirement of the Minimum Information Security Standards (1996:8), applicable to Government, required that all institutions of government were to provide for contingency planning in the event of disruption. The Disaster Management Act 57 of 2002 (2002:2) also placed an obligation on the organs of state to manage disasters to ensure the continuity of business. As an organ of state and part of the public sector the Western Cape Government was therefore obliged to manage risks in a way that ensured that government was able to continue to render a service both internally and externally with as little negative impact as possible.

The Institute of Risk Management (2019:47) suggested that there should be three risk development focus areas that should be focused on: (1) The Future; (2) Understanding Disruption and (3) Know the Level of Risk Maturity. The Western Cape Government also shared the sentiment of the Institute of Risk Management (2019:47) in that it had articulated disruptions related to technology, service delivery, water and climate change as transversal risks affecting service delivery. This also meant that all Western Cape Government Departments were confronted with these disruptors in the achievement of their core objectives.

To ensure the achievement of core objectives under all conditions required assurances that business would continue which ultimately meant that business continuity management had become crucial. Wong and Shi (2015:22) held the view that business continuity management was a proactive approach that enabled the optimization of continued operations that also secured the performance of the organization. The methodology was concerned with how to deal with threats and the consequences of these threats on critical services.

Business continuity was not concerned with being compliance driven but rather service oriented. Business continuity had become quite topical that International Standards were developed to guide organizations.

1.3   RESEARCH FOCUS

The Business Continuity Institute (2018:4) determined that the continuity of business was the key discipline central to build and improve an organization's resilience. It was demonstrated that business continuity could be adopted by organizations as a holistic approach to manage threats and risks. Business continuity identified the priorities of an organization as well as prepared solutions to address disruptive threats. Business continuity had been demonstrated as the approach to be adopted by organizations to manage threats and risks. This research was

therefore focused on business continuity management as a key discipline towards building a resilient Western Cape Government. It provided an opportunity for the identification of existing business continuity processes in order to determine the level of preparedness of the departments of the Western Cape Government when faced with a disruption.

1.4   PROBLEM STATEMENT

Government's unpreparedness to anticipate and deal with disruptions were demonstrated by Selowa (2016), Ferguson (2018), Herman (2018) and most recently the electric outages due to the failure of ESKOM to provide same. The inability of the public sector to manage disruptive events by having sound business continuity processes in place was problematic as it put the public service in a position where it would be unable to deliver services to citizens and stakeholders.

The following assumptions were made in respect of the public service which indicate the challenges and/or problems which might exist:

- An adequate understanding of business continuity management processes does not exist;
- Expectation that a template for completion would be provided, as a one-size-fits-all approach;
- Does not have the capacity to manage business continuity processes;
- Does not have the appetite for business continuity management as it was a cumbersome process; and
- Does not see the value of including business continuity in strategic planning processes of departments.

In an attempt to assist departments to fulfil their core function(s) it was intended that this study would provide insight with regards to the readiness of the government of the Western Cape to deal with disruptions which could affect their effective functioning and delivery of efficient services.

1.5   RATIONALE AND SIGNIFICANCE OF THE STUDY

An interruption to business functions could have widespread effects on the public sector which included the government of the Western Cape. The ability of the government of the Western Cape to continue to deliver on the mandates afforded in terms of the Constitution and/or legislation whether internally or externally to the citizens of the Western Cape Province would severely be compromised. With this being said one needed to be mindful that both the internal and external environments within which the public sector were required to operate were continuously changing. The public sector was required to manage all risks inclusive of emerging risks and include these in their risks registers where deemed appropriate. An outcome of business continuity would be

the ability to identify critical functions and/or business processes that would be required for continued business, assess the risks identified, draft an action plan to circumvent, ensure that the action plan worked and practice it.

The King Committee on Corporate Governance (2016:82) in the King IV report supported the key role that the leadership played as provided for in terms of the Public Finance Management Act 1 of 1999 (1999:36) towards building government resilience within the public sector. The Accounting Officers or Head of Departments in terms of the Public Finance Management Act, Act 1 of 1999 make up the leadership in the government of the Western Cape. The leadership were subsequently referred to as the Provincial Top Management and were therefore tasked with ensuring good governance. South Africa (Western Cape) (2016) of the government of the Western Cape tabled business continuity as a provincial risk. The risk was articulated as the: *"Ability to plan for disruptive events and continue and restore business after such events."*

The research study was significant towards the building of government resilience and focused on business continuity as the key discipline. In relation to the management of business continuity within the Western Cape Government, the study provided an idea of the current state, determined whether a fundamental comprehension of the concept was understood, the implementation of a system that would facilitate the determination of functions and/or processes critical for the organization, internal and external risks, risk assessment, the effects on service delivery and expected downtimes. It was envisaged that the outcome of the study would contribute to improving the readiness of the Western Cape Government to respond to disruptions appropriately.

1.6   AIM, OBJECTIVES AND RESEARCH QUESTIONS

1.6.1   Aim of the study

In order for Government as an organization to become resilient in the face of change became paramount. For Government to be resilient it required that risks were not only managed holistically but also to be able to adapt and react to change with a limited impact on the delivery of services. The study was therefore focused on determining how business continuity was currently managed in the Western Cape Government. The study would enable a better understanding of the readiness to respond to and recover from a disruptive event whilst maintaining continued service delivery (both internally and externally). Clarification of roles and responsibilities as well as facilitating a common understanding on how business continuity was to be managed. The study was exploratory in that the purpose was to determine the existing processes used to manage the continuity of business within the Western Cape Government.

1.6.2   Objectives

The objectives of the study were to:

- Identify current business continuity processes within Western Cape Government departments;
- Evaluate and examine the current business continuity processes within Western Cape Government departments;
- Critically analyse existing business continuity documentation used within Western Cape Government departments; and
- Identify the linkages between business continuity and resilience.

1.6.3   Research Questions:

The research objectives were guided by the research questions in trying to ascertain what the current business continuity processes within the government departments of the Western Cape Government were. The aim was to ascertain existing departmental platforms that drive the business continuity agenda and whether the business continuity processes were adequately managed and facilitated at departments. The research questions were:

- What are the current business continuity processes within Western Cape Government departments?
- How can the current business continuity processes within Western Cape Government departments be evaluated?
- How were the business continuity documentation used within Western Cape Government departments analysed?
- What are the linkages between business continuity and resilience?

1.7   RESEARCH METHODOLOGY

1.7.1   Research Design

In order to achieve the outcome of the research, De Vos, Strydom, Fouche and Delport (2011:312) provided that research design was focused on the final result and the steps in the process. William (2006) claimed that research design was dependent on the intention of the study, the type of question, skills and the resources available. For this particular study the research design was exploratory using the qualitative method.

McLeod (2017) provided that the purpose of qualitative research was understanding the social realities of groups as well as individuals by studying them in familiar environments. When following an approach that was qualitative it was deemed exploratory as it sought to describe why and how a phenomenon or behaviour operated in a particular context.

The qualitative approach for the collection of data was through interviews that were semi structured and focus groups. The questions were open ended which allowed for in-depth discussions using words that they were familiar with which also assisted with gauging the participants understanding of the topic. The qualitative approach also allowed for content analysis which was used for the analysis of the business continuity documentation.

1.7.2   Research Instruments

Research instruments as identified by Wilkinson and Birmingham's (2003:3) were tools used to collect information relevant to the research project. The instruments used for this research study were the use of interviews, that is, semi structured and focus group as well as interrogating business continuity documentation.

The view of Wilkinson and Birmingham's (2003:45) was that although the semi structured interview was deemed less flexible it still allowed for sufficient flexibility to shape the flow of information. The questions in this study were predetermined which allowed for the interview to be directed. Wilkinson and Birmingham (2003:53) maintain that interviewees were encouraged to provide more information with the use of open ended questions than the use of closed questions. The use of open ended questions in this study allowed participants to expand on responses and also to obtain clarity in respect of the questions posed.

Wilkinson and Birmingham (2003:90) went on to explain that the use of research from focus groups was included in the qualitative approach. The use of focus group research was ideal to collect rich, definitive data from a tiny sized group. A topic of mutual interest to the participants would be the focus. In this study the emphasis was to understand the experience of participants, beliefs, opinions, viewpoints and expectations.

In the study the participants were asked the same questions which were open ended and allowed for encouraged meaningful dialogue. The answers of the participants were captured in writing and in some instances recorded. The collection of business continuity documentation used within the Western Cape Government departments allowed for comparative analysis. The documentation was provided for analysis was in hard copy.

1.7.3   Sampling Frame

In a video Fong (n.d.) presented that the sampling frame was a statement of who or what population one intendeds to research. It helped with knowing who the focus of the research was. Simply put, to determine the sampling frame one needed to understand who the population was. As explained by De Vos et al. (2011:223) a population encompassed the whole number of persons, organization units that were concerned with the problem being researched. Sampling referred to choosing a subgroup from the bigger population. The sample frame for the research

study included those officials who have been tasked with facilitating business continuity in their respective departments of the Western Cape Government (population). The officials hold the rank of Assistant Director and Chief Security Advisor and provide Western Cape Government Departments with advice related to the development of business continuity plans.

1.8   DATA CAPTURING AND ANALYSIS

The data gathered in the interviews (focus group and semi structured) were captured to be analysed. A number of pre-set questions were posed to participants in the interviews (focus group and semi structured). Responses were recorded with the taking of notes and/or tape recordings. The recordings were transcribed. Opportunities were given to clarify the questions which allowed for further elaboration by participants on statements and/or viewpoints. The descriptive responses derived during the interviews took the form of written words. This collection method was deemed appropriate in order to collect data that was comprehensive and comparable. The responses were then coded into themes and tabulated. In order to check for relationships, the descriptive data was used. Business continuity documentation requested from departments allowed for comparative analysis using the International Standard as the basis of analysis. The International Standard (ISO 22301:2012) will be explained in greater detail in chapter 2.

1.9   OUTLINE OF REMAINING CHAPTERS:

The remaining chapters in brief will include the following.

Chapter 1: Introduction

This chapter provided an introduction and general account of the study.

Chapter 2: Literature Review

The Literature Review provided further insight in respect of existing literature on the research topic; how the existing literature supported the research problem and provided for a critical analysis. This chapter also provided extensive references to related research and theory in the field of business continuity. The literature studied was not solely limited to the field of business continuity but also explored other relevant theory which had an impact on business continuity for government. In this regard it was related to understanding government, its operations, resilience and enterprise risk management. The literature review provided historical context and an overview of current context, noted relevant theories and concepts, and provided definitions of the relevant terminology. The literature review led but also justified the objectives and questions of the research. The appropriate literature needed to be studied in order to provide a critical evaluation.

Chapter 3: Research Methodology

The process followed to answer the research questions were explained in this chapter. How the data was collected, the identification of the target group through the sampling frame, methods of analysis and techniques used to interpret the data.

Chapters 4 - 5: Findings and Analysis and Discussion

These chapters allowed for the arrangement of the findings (verbatim), explanation of the data collected, limitations of the study were highlighted and the learnings recognized. In the Discussion the interpreted data was further deliberated in relation to the theory and the research questions.

Chapter 6: Conclusion

The key findings were summarized and presented with the inclusion of suggestions for further study and the provision of recommendations. In order to comprehend the continuity of business in its current state within the Western Cape Government required the exploration of current processes. The study affirmed the limited understanding of business continuity management within the Western Cape Government. The benefits of having a business continuity management system being implemented in the Western Cape Government was demonstrated. Although the Western Cape Government would benefit from a standardized approach, the development of a framework to guide departments would be useful.

1.10   SUMMARY AND CONCLUSION

Chapter 1 provided background in respect of the research study. Chapter 2 explored the existing literature about the continuance of business as a key discipline towards improving the resilience of organizations.

CHAPTER 2

LITERATURE REVIEW

2.1   INTRODUCTION

The intention of Chapter 2 was to provide a review of completed and ongoing research that have been conducted to identify current knowledge or methodology that may be appropriate. Government as an organization were mandated to provide services to the people of the country. The study would allow the Western Cape Government to ascertain levels of preparedness and/or readiness to continue to render services to the citizens and/or stakeholders due to a disruptive event. The absence of business continuity management would compromise government's ability to provide services to the citizens of the country. Determining the state of business continuity management in the government of the Western Cape was therefore the focus of the study. It would allow to exclusively address challenges and propose an approach that supported business continuity theoretically with practical implementation that was department/unit specific for the Western Cape Government. Existing studies would however, influence the development of an appropriate system for the Western Cape Government taking the gaps identified, noted challenges and feasibility of solutions into account and provide possibilities as to how business continuity could be institutionalized within the public sector to contribute to overall government resilience.

Key to improving and building resilience for the Western Cape Government required the exploration of business continuity as the discipline. The British Standards Institute (2012:2) defined business continuity as the ability, following a disruptive event, to sustain the delivery of services or products at pre-set levels.

Chapter 2 was geared to providing a South African perspective, which required an adequate understanding of how government operated in a South African context, what good governance meant, the management of risks and how business continuity not only contributed to the resilience of the Western Cape Government but Government in general. The key sources for the basis of the review were applicable legislation and/or policies and procedures for the government of the Western Cape. This chapter was arranged as follows:

- Understanding Government;
- Risk Management in the Public Sector;
- Understanding Resilience;
- Business Continuity Management; and
- Institutionalization of Business Continuity Management within the Western Cape Government.

2.2.   GOVERNMENT

Understanding of government in the context of South Africa in as far as it related to: structure; governance; applicable legislation, policy and/or guiding documents relevant for the public sector were examined. The terms government and public sector might be used interchangeably.

2.2.1   STRUCTURE OF THE SOUTH AFRICAN GOVERNMENT

South Africa. Constitution (2017:21) provided that the Constitution of the Republic of South Africa (Constitution) determined how government worked. The three (3) areas of government were; National Government, Provincial Government and Local (Municipal) Government. The spheres were distinctive, interrelated and interdependent. Figure 2.1 (Western Cape Provincial Parliament 2015) demonstrated the three (3) spheres of government.
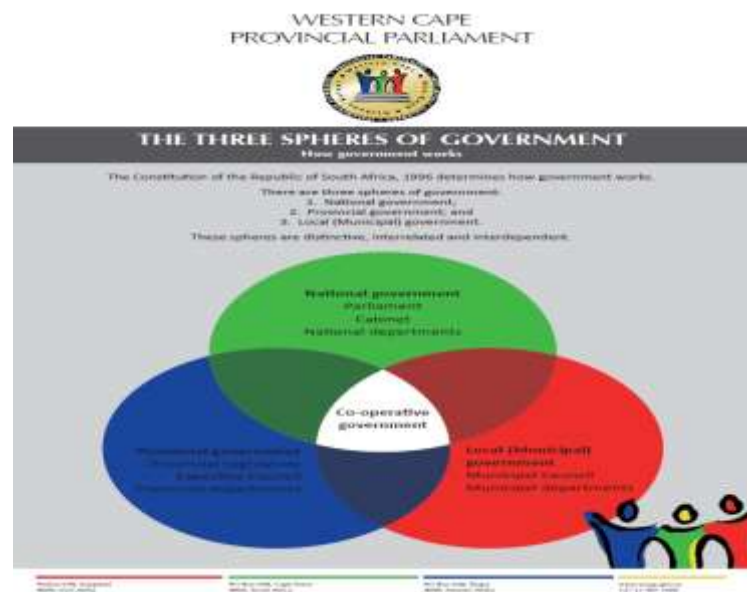
Figure 2.1: The Three (3) Spheres of Government
Source: Western Cape Provincial Parliament (2015)

The Oxford South African pocket dictionary (2002:386) defined government as the group of people who govern a state. It further included that government was the action or way of governing a state. It was concerned with controlling the policy and affairs of a state. Therefore, Government had an obligation to render services and infrastructure to improve the lives of the people in the country.

2.2.1.1 National Government

Western Cape (South Africa), (n.d.) stated that the National Government of South Africa was made up of Parliament, Cabinet and various Departments. The National Government were required to carry out the functions outlined in the Constitution, Legislation and enacted by Parliament. The Departments that made up the national administration were charged with implementing legislation and with the provision of services to the public. Each department was responsible to deliver a different public service, for example, health, education.

2.2.1.2 Provincial Government

In terms of South Africa. Constitution (1996:53) the country was divided into nine (9) provinces, each with its own provincial parliament and administration. The nine (9) provinces were: Western Cape, Eastern Cape, KwaZulu-Natal, Free State, Gauteng, Limpopo, Mpumulanga, Northern Cape and North West. Provinces were to give effect to the national administration by actioning the strategic priorities which have been delegated by Cabinet to the appropriate ministers and departments.

South Africa. Constitution (1996:54), gave provincial government's exclusive powers over certain matters. Schedule 4 and 5 of the Constitution listed the functional areas over which the provincial legislatures had exclusive competence to legislate. Western Cape (South Africa), (n.d.) provided that it was the provincial government for the Western Cape Province. The Western Cape Government was required to deliver services and infrastructure to the citizens of the Western Cape Province and comprised thirteen (13) departments.

2.2.1.3 Local Government

South Africa. Constitution (1996:74) maintained that the local domain of government consisted of municipalities. A municipality governed the local government activities of a community in line with national and provincial legislation. The purpose of local government for local communities was to be accountable; sustainable services; supportive of economic and social development. Local governments were further required to create an enabling environment that were healthy, safe and inclusive. Inclusivity meant that the people and organizations operating in the area should participate in local government matters.

2.2.1.4 The Public Service

The successful implementation of government's programs and policies were dependent on the Public Service (employees of government). Staff training (2018) stated the Batho Pele approach

was introduced to transform the public service by enabling the employees of government to commit to putting the needs of the people first.

2.2.2 GOVERNANCE

The Australian Institute of Company Directors (2017) set out that good governance was at the heart of any successful business. It maintained that a well-governed organization was one that had systems and processes under control, strategy mapped out and risk monitored. Well governed organizations generally achieved much better outcomes than those that were not. The leadership were the determents of how well governed an organization was. In the Public Sector good governance meant the responsible handling of public funds. CQI (2016) held the belief that poor governance exposed organizations to increased financial, reputational and operational risk. The following were deemed relevant in respect of governance for the South African Government:

2.2.2.1 Management Practices in the Public Service

South Africa. Department of Planning, Monitoring and Evaluation (2013:3) developed mechanisms to prompt and institutionalize practices that involved monitoring and evaluation. One such initiative was the Management Performance Assessment Tool (MPAT). The purpose of MPAT was focused on overseeing the practices of management. The assumption of MPAT was that if the practices of management were improved so would the delivery of services.

The implementation of the MPAT methodology in line with South Africa. Department of Planning, Monitoring and Evaluation (2013:16) benchmarked management practices that were viewed as acceptable. These included the planning, governance, being accountable, and management of human and financial resources of departments. MPAT identified the following key management processes: Strategic; Governance and Accountability; Human Resource and Finance.

South Africa. Department of Planning, Monitoring and Evaluation (2013:26) further articulated that to manage strategically required that the strategic plan be implemented in the organization, this was done through the Annual Performance Plan. It also required monitoring progress and the evaluation of the results in order to implement improvements.

Effective governance and accountability in compliance with South Africa. Department of Planning, Monitoring and Evaluation (2013:29) minimized inadequate management but also improved service delivery efficiencies. Of importance was the structure of management, audit committees, the management of risk and delegations (financial and administrative).

South Africa. Department of Planning, Monitoring and Evaluation (2013:32) also maintained that the most important resource was people. Departments were measured for compliance in respect

of the Human Resources which included planning and strategy; administration and practices; management of performance and the management of employee relations.

South Africa. Department of Planning, Monitoring and Evaluation (2013:36) maintained that the processes to manage finances involved the use of funds to render services to the public. The financial management processes included the prioritization of programmes, budgetary processes, the management of resources efficiently and the exercise of controls.

2.2.2.2   King IV Report

The King Committee on Corporate Governance (2016:3) in the King IV Report on Corporate Governance for South Africa (King IV report) acknowledged that the times we were currently living in were characterized by changes essentially in society as well as business. The context of the King IV report was based on these changes in respect of content and approach. The fundamental concept of the King IV report was based on the National Development Plan 2030 of South Africa and the Africa 2063 Agenda that shared the common theme to accomplish sustainable value creation. The King IV report further maintained that the world had changed in the following respects: financial instability; climate change; increased pressure on the use of natural assets; ever-present social media platforms; continued technology disruptions; advancements in technology and greater expectations from stakeholders. The disruptions on industries and business were so profound that many believed that they were in the midst of the Fourth Industrial Revolution.

The King IV report also noted that risk needed to be governed in such a manner that provided support to the organization in determining and the achievement of strategic objectives. To achieve this the role of leadership became crucial. Leadership's primary governance role and responsibility was to lead; determine the direction strategically; policy approval; planning; monitoring and evaluation as well as establishing accountability. Therefore, effective risk management should be delegated to management to implement and execute.

2.2.2.3   Western Cape Government Corporate Governance Framework

Western Cape (South Africa). Provincial Treasury (2009:1) developed the Government Governance Framework 2008 for government departments. The framework was viewed as an integrated approach to enable the decision makers to choose the best possible options towards the achievement of objectives. The Framework made provision to implement controls that were designed to mitigate pre-identified risks, receipt of the correct information timeously to track progress made and to make timely interventions when required.

The review of the King Code on Corporate Governance prompted the Western Cape Government to follow suit as confirmed in Western Cape (South Africa). Department of the Premier (2018:1).

The Government Governance Framework 2008 was therefore reviewed and replaced with the Corporate Governance Framework for the Western Cape Government. The intention of the Western Cape (South Africa), (2018:1, 3) was to enable the organization to shift from governance for compliance to governance aimed at improving service delivery. The current service delivery environment was geared towards the achievement of outcome oriented goals within a weakened economic outlook. The reality however was that complications at ground level impacted the Western Cape Government's capability to react to the needs of the community.

The intention of the Western Cape (South Africa), (2018:3) was to set out the corporate governance components, principles and practices which must be institutionalized throughout each department in the execution of its business and/or function in the pursuance of its objectives. The Western Cape (South Africa), (2018: 6) identified six (6) integrated categories of corporate governance. They were: Control Environment; ICT Governance; Risk and Opportunity Management; Control Activities; Information, Communication and Reporting; Monitoring and Evaluation.

2.2.3   GUIDING DOCUMENTS

The guiding documents for the Western Cape Government were:

2.2.3.1   The National Development Plan

South Africa. National Planning Commission (2011:28) stated that the National Development Plan was a long-term development plan for South Africa which aimed by 2030 to eradicate poverty and lower injustices.

The National Development Plan 2030 was drafted to assist government by 2030 to provide a "*decent standard of living"* for all South Africans. The National Development Plan explained that a "*decent standard of living*" consisted of the following essential aspects: water, houses, sanitation; provision of electricity and; public transport that was safe and reliable; a good education and the development of skills; safe and secure environments; good health care; social protection; jobs; sufficient nutrition; leisure and recreation; and an environment that was clean. As specified in the Western Cape (South Africa). (2014:7) the National Development Plan was adopted by National Cabinet in 2012 as the model to accomplish a "*decent standard of living*" for the people of the country. The Provincial Strategic Plan of the Western Cape Government 2014 – 2019 (Provincial Strategic Plan 2014-2015) as provided for by the Western Cape (South Africa), (2014:2, 3) outlined five (5) strategic goals. The overall aim was to achieve an environment supportive of the improvement of growth for the economy, more jobs, improved outcomes for

health, better education, building environments that improved the living for the people of the Western Cape Province.

The aim of the five (5) Provincial Strategic Goals were as follows:

- "*Strategic Goal One: Creating Opportunities for Growth and Jobs;*
- *Strategic Goal Two: Improving Education Outcomes and Opportunities for Youth Development;*
- *Strategic Goal Three: Increasing Wellness, Safety and Tackling Social Ills;*
- *Strategic Goal Four: Enabling a Resilient, Sustainable, Quality and Inclusive Living Environment; and*
- *Strategic Goal Five: Embedding Good Governance and Integrated Service Delivery through Partnerships and Spatial Alignment".*

This was indicative that the Provincial Strategic Plan 2014-2019 of the government of the Western Cape was therefore aligned to the National Development Plan 2030 and demonstrated commitment to the provision of services to the citizens of the Western Cape Province. This commitment cemented the resolve of the Western Cape Government to the continuity of business to the citizens of the Western Cape Province.

2.3   RISK MANAGEMENT

The Institute of Risk Management South Africa (2017:6), provided that the risk landscape of South Africa continued to change at a rapid rate. The top ten (10) risk profiles were dominated by political, economic and societal risks. Throughout 2016, the adverse effects of these risks were felt, which resulted in the reputation of the country being viewed not so positively. As a result, the priorities and objectives for 2030 (National Development Plan of South Africa) could be compromised. The three (3) industries that were the most exposed were: "*Government and Public Services; Mining, Engineering and Construction; and Energy, Water and Utilities."*

From the above it was apparent that Government and the Public Service were greatly at risk. This section was focused on providing context in respect of the public service risk landscape and the relevant legislation, policies and/or procedures applicable for the management of risk in the public sector. It was crucial for risks to be managed in order to ensure the continuation of business. Business continuity was defined by Smith (2012:2) as the ability of an organization to continue to deliver services as a result of a disruptive event. The section was further arranged to provide insight into: the management of risk in the public sector; custodians in the public sector to manage

risk of processes of the public service to manage risk; the public-sector risk management framework and enterprise risk management.

2.3.1   MANAGING RISK IN THE PUBLIC SECTOR

The viewpoint of Venter (2014:146) was that the classic risk management strategies limited to financial analysis were no longer acceptable. Risk management strategies needed to be expanded to include destabilizing events arising from other external forces. The Western Cape Government as a public sector would therefore be obliged to render a service both internally and externally. It was crucial that they were able to continue to deliver critical services to not only the citizens of the Western Cape but also to their internal partners due to disruption related to a theat.

South Africa. National Treasury (2016) specified that in the public sector, risk management was focused on having frameworks and systems in place for the management of risk. The efforts from stakeholders had gone unnoticed which ensured that the results of the management of risk had added value. Risk management in the public sector was largely still regarded as a burden.

South Africa. National Treasury (1999:9) in terms of section 3.2.1 of the National Treasury Regulations required that in order to identify emerging risks the assessment of risks was to be done frequently. South Africa. National Treasury (2010:67) assigned Provincial Treasuries to monitor and assess the implementation of risk management for provincial governments in terms of the Public-Sector Risk Management Framework. The management of risk was therefore an essential function of an organization and its leaders. Of significance was the fact that risks needed to be managed for the entire organization and not only in respect of specific business units and/or functions.

2.3.2   CUSTODIANS OF RISK MANAGEMENT IN THE PUBLIC SECTOR

South Africa. National Treasury (n.d.) stated that the Office of the Accountant General, a division of the National Treasury was responsible to promote and enforce transparency of institutions of the three (3) spheres of Government. This required the management of revenue expenditure, liabilities and assets. The Office of the Accountant General was also responsible to develop guidelines and policies in relation to Accounting, Internal Audit and Risk Management. They provided support to the public sector (national and provincial), municipalities and institutions (independent) established by the Constitution on how to manage risks.

South Africa (1999:36), in terms of Section 38(1)(a) of the Public Finance Management Act (Act 1 of 1999), Heads of Departments as Accounting Officers in their respective Departments were

mandated to "*ensure and maintain effective, efficient and transparent risk management systems*". South Africa (1999:47) in the Public Finance Management Act maintained that Heads of Departments in the Public Service were therefore mandated with the management of all risks resultant from threats which could hamper their ability to deliver services and achievement of stated objectives.

The Constitution (South Africa), (1999:44) stipulated that the Provincial Governments legal foundation for risk management was established in terms of Section 45 of the Public Finance Management Act (Act 1 of 1999 as amended by Act 29 of 1999).

South Africa. National Treasury (2017) indicated that in the Western Cape Government there were marked progress in the deliverance on key policy imperatives, but they were still faced with a number of crucial service delivery and fiscal risks. South Africa. National Treasury (2018) also indicated that the risks they were faced with included uncertainty in the economic climate and low levels of growth, impact of the constrained fiscal environment, impact of the drought and increasing demand for provincial government services.

South Africa. National Treasury (2016) held the view that the risk management challenges experienced by the public sector were as follows: Leniency towards line management; non tangible value add from risk management; seen as a burden by management; management not held accountable; performance monitoring; frequent changes in leadership and high vacancy rates at senior levels within the public sector (high rate of "acting positions"); embedding of strong risk culture still in infancy stage; Risk management not entirely integrated into management decision making; Risk Management not incorporated in performance agreements of management – change in the strategy included on paper but not actually in job descriptions.

2.3.3   THE RISK MANAGEMENT PROCESS IN THE PUBLIC SECTOR

A classic process for the management of risk in the public sector involved:

- identification of events or occurrences in the future that threatened success;
- determining the level of risk by looking at probability and impact;
- consideration to tolerate, treat, transfer or terminate a risk;
- reviewing tools to ensure that decisions pertaining to the management of risk were relevant and robust, and stood up to scrutiny by stakeholder; and
- provision of updates on processes to decision maker and those responsible for governance.

2.3.4   THE PUBLIC-SECTOR RISK MANAGEMENT FRAMEWORK

The Western Cape Government applied its processes for the management of risk in line with the National Treasury Public Sector Risk Management Framework, which has at its core the principles of the Committee of Sponsoring Organizations (COSO) Enterprise Risk Management Integrated Framework, further enhanced by the ISO 31000: 2009 Risk Management Standard where relevant. The Committee of Sponsoring Organizations also referred to COSO (2014:v) developed a guide to evaluate and improve the enterprise risk management of organizations.

2.3.4.1   Background

Accounting Officers were required to ensure alignment to the Public Finance Management Act, in support of good corporate governance principles as well as the Western Cape Government Enterprise Risk Management Policy Statement, to the principles of good governance. The Western Cape Government Enterprise Risk Management Policy Statement was adopted by Provincial Top Management on 14 April 2015. Prospective solutions to current risk management challenges in the public service were: to instil corporate values; change the tone at the top; managers to lead by example; empowerment in respect of decision making; investment in employee development; creation of an inclusive organization; leadership; development of a particular view incorporating risk, governance and compliance.

South Africa. National Treasury (2010:2) as the lead for managing risk was tasked to enhance the effectiveness and uniformity of this function. The Public-Sector Risk Management Framework was the tool designed to serve this purpose. It served as a guide for the institutions of the public sector to enforce and support effective, efficient and transparent systems for the management and control of risk.

South Africa. National Treasury (2010) further provided that the Public-Sector Risk Management Framework acknowledged that the environment within which the public sector operated was fraught with unique challenges. Some of these included; inadequate capacity, too much red tape and working in silo's, inadequate support, contesting priorities and backlogs in infrastructure. These aspects had an effect on the risk profiles of the public sector and managers were therefore required to manage these risks within acceptable levels. The management of risk should be seen as an important tool to increase an institutions prospect of achievement by limiting unfavourable results and the optimization of favourable outcomes. Risk in the context of the public service could therefore be defined as the potential for the non-delivery of services and achievement of objectives as a result of a threat.

South Africa. National Treasury (n.d.:15) defined risk in the Public-Sector Risk Management Framework as an undesirable result, certain or likely affecting service delivery and achievement

of objectives due to risk aspects(s). These risk aspects weren't necessarily negative but could also provide opportunities.

South Africa. National Treasury (n.d.), further provided that the Public-Sector Risk Management Framework Guideline stated that the term 'risk management' was often used loosely. The term risk management was often referred to as "*safety, security, disaster management, business continuity, insurance and internal audit*". In the context of Government, risk management referred to enterprise risk management.

South Africa. National Treasury (2010:28) in the Public-Sector Risk Management Framework stated that departments should be mindful of and ensure compliance with legislation that prescribed how risks should be treated. This was done in relation to their field of expertise, for example, Occupational Health and Safety Act, Disaster Management Act, Prevention of Fraud and Corruption Act and others. There have to be formal channels to communicate and there has to be cooperation between those involved with the mitigation of risk but should not only be limited to "*occupational health and safety; business continuity management; prevention of fraud and corruption; and the awarding of tenders*".

2.3.4.2   Committee of Sponsoring Organizations

The Committee of Sponsoring Organizations also referred to COSO (2014:v) developed a guide to evaluate and improve the enterprise risk management of organizations. COSO was of the view that the need to manage the risks of organizations holistically, the development of a framework was crucial, in as far as it related to a common taxonomy, pivotal principles, concepts and guidance. COSO had become widely accepted for enterprise risk management.

2.3.4.3   International Standards for the Management of Risk

The British Standards Institution (2017) developed International Standards to guide organizations. The internal standard setting body was referred to the International Organization for Standardization (ISO). ISO was an independent, non-governmental organization composed of representatives from various national standard organizations. ISO developed the Annex SL as a generic management system which would become the blueprint for all standards going forward. ISO maintained that a management system were the processes needed by organizations to achieve its objectives. The Annex SL-contained clauses, which cannot be changed (mandatory), sub clauses and discipline-specific where changes and/or additions could be made. Clauses 1 – 4 were usually mandatory and covered the following: Clause 1: Scope; Clause 2: Normative references; Clause 3: Terms and definitions; Clause 4: Context of the organization. Clauses 5 – 10 were discipline specific and were subject to amendments.

The ISO standards relevant for the management of risk were ISO 31000: 2009 and ISO 31000:2018.

- **ISO 31000: 2009**

The British Standards Institution (2018:3) developed the ISO 31000: 2009 as the standard to assist organizations with the management of risks. As mentioned above ISO 31000: 2009 – Risk Management – Principles and guidelines – was the method applied by the Western Cape Government in the management of security threats and risks. ISO 31000: 2009 outlined the fundamental requirements for the effective management of risk. Figure 2.2 (Knight) diagrammatical represented the risk management process in detail.
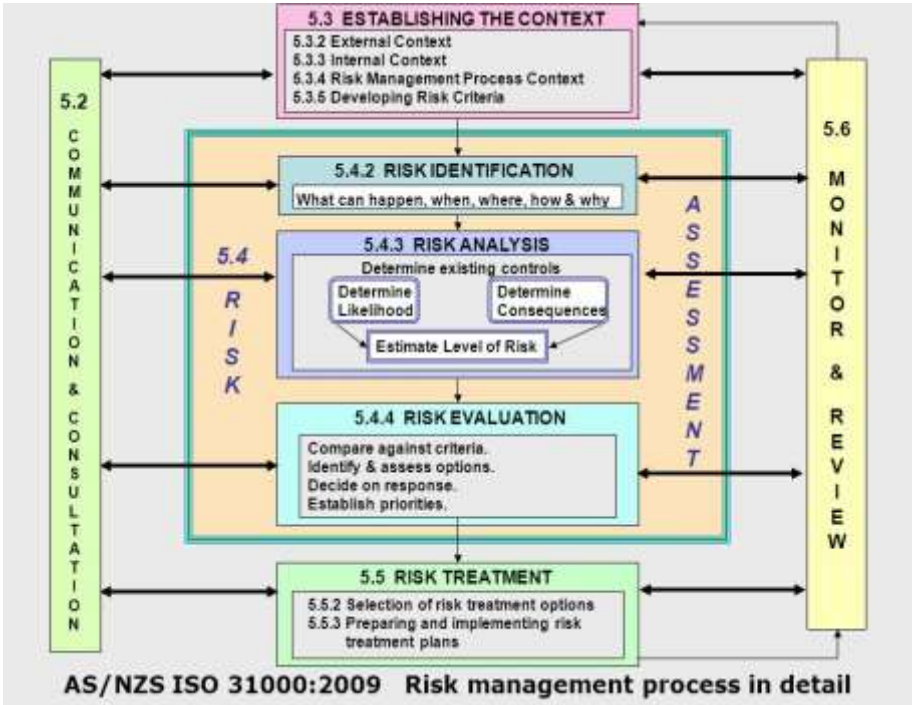
Figure 2.2: Risk Management Process in detail
Source: Knight

The British Standards Institute (2018:2) were initially designed ISO 31000: 2009 – Risk Management – Principles and Guidelines to assist organizations to develop a strategy for the management of risk for the identification and mitigation of risks. This would result in the enhancement of achieving objectives and the safeguarding of assets. ISO 31000: 2009 had since been revised to include new challenges and changes of the market that organizations and business were currently faced with.

- **ISO 31000:2018**

Private and public organizations around the world were increasingly faced with risks that related to reputational damage, cyber-crime, terrorism and political risk, Tranchard (2018) therefore maintained that ISO 31000: 2009 had to be reviewed.

The changes to the standard were in relation to the revision principles of the management of risk, criteria central to success, top management as the lead and integration of risk management (governance of the organization); repetitive attributes of risk management. Changes in experiences, knowledge and analysis could result in the revision of processes, actions and controls at each stage of the process. The revised standard defined risk as the "*effect of uncertainty on objectives*", with a focus on the ability of the organization to make decisions. Organizations could no longer rely on the traditional understanding of risk management but were now required to adjust how they managed risks aligned to their specific requirements and objectives.

The International Organization for Standardization (2018:3) found that the now revised standard (referred to as ISO 31000: 2018) provided more strategic guidance and greater emphasis was placed on the role of top management and how the management of risk could be integrated within the organization. The integration could be actioned via processes and procedures, structural arrangements, strategy and operations. Brady (2017) suggested that ISO 31000: 2018 supported the view that risk was inherent in all activities.

2.3.4   ENTERPRISE RISK MANAGEMENT

South Africa. National Treasury (2010:28) used the term "*enterprise risk management*" to describe how the management of risks were applied throughout the organization opposed to selected areas or disciplines of the organization. Enterprise wide risk management was defined as a holistic approach to manage risks in all major responsibilities and operations. Risk management was therefore an important element of corporate governance in the public sector, in as far as it related to structure, procedures, values, culture and behaviour. Risk management was the vital element of an organization's design for operational and strategic triumphs and needed to conform as a management process within the framework of governance. Risks needed to be managed through a portfolio approach as risks were dynamic and often highly interdependent. An enterprise risk management approach required deliberating risks against performance irrespective whether the risks were generated internally or externally.

Western Cape (South Africa). Department of Community Safety (2018:3) maintained that Western Cape Government Departments adopted the Enterprise Risk Management Policy in 2016. The policy articulated the risk management philosophy and captured on a high level the obligations of the different role players and provided the basis for the risk management processes in departments. The process for risk management was illustrated in Figure 2.3 (Department of Community Safety 2018).
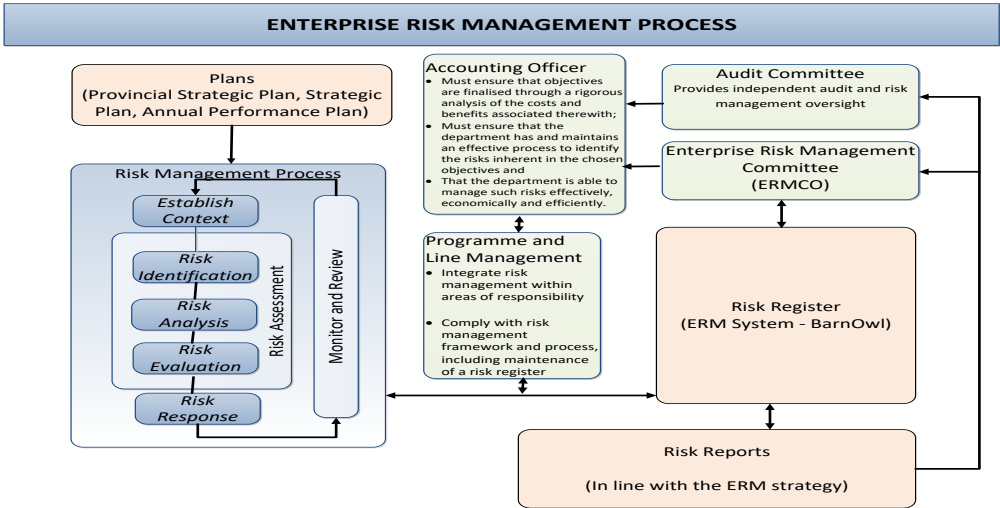
Figure 2.3: The Enterprise Risk Management Process

Source: Department of Community Safety (2018)

The risk identification process for the government of the Western Cape as explained in Western Cape (South Africa). Department of Community Safety (2018:5) were the identification, recognition and description of risk.

Risks were identified as follows: Strategic risks (the ability of the department to meet strategic goals). Strategic risks were dealt with by senior management, included risks that have a transversal impact and which could impact the vision/goals of the departments as recorded in the 5-year strategic plan; Program risks: these arose at program level. These risks required specific and detailed responses and monitoring regimes, were short term and linked to Annual Performance Plan indicators. Departments could be faced with major adverse consequences if operational risks were not monitored and dealt with. It was noted that all the Western Cape Government departments were using the same enterprise risk management process as reflected in Figure 2.3 above.

The Department of Education, Training and Employment (n.d.:1-2) pointed out that the identification of risk was the most important in the risk management process. It involved the generation of a detailed list of opportunities and threats which could enhance, expedite or hamper

objectives being achieved. If risk was not identified it cannot be managed. The identification of risks was a means of proactive risk management process. The sources for the identification of the risks were listed in Table 2.1 (Department of Education, Training and Employment).

Table 2.1: Sources of Risk Identification

Approach / Sources	Description
Risk registers and risk reports	Provided the basis for the evaluation of current risks; their probable risk on an objective.
Issues log	List of issues confronted with and efforts to solve it. Analysed the issues formally recognized as risks.
Audit reports	Unbiased viewpoint of compliance to regulatory principles which included an audit of the organization to ensure compliance, the policies for security, assurances in relation to access and how risks were going to be managed.
Business Impact Analysis	Detailed analysis of risk identifying the scope, and severity of incidents, the probability of the subsequent outcomes.
Internal & external reviews	Opportunities to improve the effectiveness of systems.

Source: Department of Education, Training and Employment

There was no straightforward method to ensure that all the risks an organization were faced with were identified. Additional approaches and/or sources existed for the identification of risk. These were reflected in Table 2.2 (Department of Education, Training and Employment).

Table 2.2: Additional Sources of Risk Identification

Approach /Sources	Description
SWOT analysis (Strength, Weakness, Opportunity Threats)	It is a tool used by organizations to highlight the strengths and weaknesses which were internal to the organization and the opportunities and threats which were external to the organization.
PESTLE (Political, Economic, Sociological, Technological, Legal, Environmental)	It is a tool used to identify and categorize threats found in the external environment.
Brainstorming	Method to gather risks in a free-thinking environment by group members. There are no wrong answers. Brainstorming provided opportunities to improve on the other's suggestions.
Scenario analysis	Anticipation of using possible future events to ascertain the development of opportunities and threats.
Surveys/Questionnaires	Surveys collected data which were dependent on the questions being phrased. Questionnaires

	were exchanges person to person to determine / examine areas of risk areas and detail the risk. Risk areas were identified or explored during discussions with stakeholders.
Stakeholder analysis	Individuals and groups having a legitimate concern in the objectives were identified. The means of engagement were determined so that the engagement will result in the objective and any related uncertainties could be better understood.
Working groups	Useful to get detailed information in respect where the risk comes from, what caused, impacts and current controls.
Corporate knowledge	Past records offer an awareness with regards to future threats or opportunities. These have been elicited through: knowledge gained from experience, institutional memory, sharing best practices and lessons learnt.
Process analysis	Analysis of existing process and enabling business process improvements.
Other jurisdictions	Issues and risks experienced and/or identified by other authorities. Cognizance of what had transpired.

Source: Department of Education, Training and Employment

The Department of Education, Training and Employment (n.d:2–3) further provided that when risks were identified, it involved considering the following:

- The sources of the risk or threat;
- Impact of the risk or threat on objectives;
- Location of occurrence;
- Likelihood of the occurrence or consequence of risk or threat;
- Manner in which the risk or threat could occur;
- Causes of the risk or threat;
- Consequences for the business in the achievement of objectives;
- Stakeholder involvement and impacts; and
- Existing controls to minimize the likelihood and effectiveness of controls.

Harb (n.d.) explored the various risk identification and approaches organizations could choose from. According to Harb (n.d.) it was found that many organizations have adopted an enterprise-wide risk management approach which had guided organizations towards a more organized approach in the identification and management of risk. The approaches provided for by Harb (n.d.) were tabulated and presented in Table 2.3 Approaches to risk identification.

Table 2.3: Approaches to Risk Identification

Approach /Sources	Description
Brainstorming	Involved a group of people working together, conversation was free flowing, no critique or rewarding for ideas. The participants are knowledgeable on the subject, new ideas are stimulated and encouraged. It was a popular method to identify risks and key controls.
Interviews	A set of pre-set questions were asked. The purpose of the questions was to elicit the perspective of the interviewee to identify risks.
Checklists	A pre-set list of dangers, threats or risks developed from experience or from a previous risk assessment. Auditors of then prepare these lists of key controls to assist in the assessment of the effectiveness of controls and the internal control environment.
Structured "What If" technique (SWIFT)	Leading set of words or phrases used to encourage the identification of risk. It is a systematic and team exercise. Used when lowering levels of service to decrease operating costs.
Scenario Analysis	Description of a future situation. For every scenario, participants have to think and examine the possible implications and possible reasons when analysing risk.
Fault Tree Analysis	Referred to as reverse brainstorming. The identified causes were arranged in a logical manner and illustrated in a tree diagram.
Bowtie Analysis	Described, linked and analysed the route the risk followed from the lead source to the implications diagrammatically. As there are no numbers using this method, unlike with the risk register, the focus was comprehending the relationships from the lead source, event and implications were retained.
Direct Observations	Used daily at the worksite by employees. Allows for the observation of situations that could hazardous. It was viewed as a proactive risk assessment. Having a risk awareness culture and trained staff would greatly improve the management of risk before it resulted in an incident.
Incident Analysis	Risks have already occurred. By registering the incidents, it would allow for the determination of the root cause(s), allow for trend analysis reporting and the identification of emerging risks.
Surveys	Comparable with structured interviews but included a larger group of people. It allowed for the collection of a wide range of views and opinions over a number of fields comprising risks and monitoring effectiveness.

Source: Author's own construct (2019)

In the Framework for Strategic Plans and Annual Performance Plans as provided for by South Africa. National Treasury (2010:7) an Annual Performance Plan established what the institutions intended doing in the upcoming financial year. South Africa. National Treasury (2010) further provided that Strategic Plans were a means to assist entities to prioritize and plan the progressive implementation of departmental legislative mandates, policies and programmes. South Africa. National Treasury (2010:5) conceived that each institution should have a Strategic Plan. The

strategic plan provided an overview of plans and programmes, and indicated which components of such policies and plans were to be implemented by the institution over the upcoming five-year period.

Western Cape (South Africa). Department of Community Safety (2018:21) indicated that the Enterprise Risk Management Strategic and Implementation plan document was reviewed on an annual basis thus ensuring relevance to department's needs. The Enterprise Risk Management Implementation Plan included the implementation of the Business Continuity Plan which required quarterly feedback on the status of implementation of business continuity plan.

2.4   RESILIENCE

Fiksel (2015) maintained that managers were confronted with change, for instance, changes in the climate and instability in a hyper-connected, single economic system. Managers were paying greater consideration towards becoming a resilient organization. An organization that was resilient had the ability to survive, adjust, and thrive in the face of erratic change. Therefore, for an institution to be resilient it must be able to achieve its core objectives under all conditions.

Viljoen (2015:50) described resilience as the capability of a functional organization to go through change and disruption without disastrous consequences. Naden (2017) was of the view that resilience was the key for any business wanting to thrive in an ever-changing world.

This section provided an improved understanding of resilience by: defining resilience in respect of the International Standard; highlighting the important factors (pillars) for resilience; the attributes and behaviours of a resilient organization; resilience maturity; benefits for being a resilient organization and resilience in the context of government.

2.4.1   INTERNATIONAL STANDARDS

The International Standards Organization (2017:v) developed the ISO 22316: 2017 Security and Resilience – Guidelines for Organizational Resilience. It defined resilient organization as the ability to accept and adjust in an environment that was changing in order to achieve objectives, survive and flourish. Improving resilience could be resultant of effective risk management being a strategic indicator and an outcome of good business processes.

2.4.2 THE PILLARS OF RESILIENCE

BSI (2017) maintained that in order for an organization to survive and thrive when faced with change and sudden disruptions it required the capability to foresee, plan for, react to and adjust to change and disruption. This ability was referred to as organizational resilience. Resilience was however more than just increasing the robustness of a business it was about looking ahead to see what might happen and striving to stay one step ahead. Being prepared could prove to be invaluable so having plans in place to deal with disasters and/or disruptions were important. As a means to achieving resilience BSI (2017) identified the following four (4) pillars:

- **Governance**: for resilience to be effective, required awareness by and readiness of senior management and key stakeholders to implement changes.
- **Resilience**: steps taken to make business more robust before anything goes awry.
- **Business continuity**: ability to mitigate the damage and being operational so as not to lose out on profits.
- **Crisis management**: important when it came to risk and required a plan to implement in a crisis which would help mitigate the cost and loss occurred.

2.4.3 ATTRIBUTES AND BEHAVIORS OF RESILIENT ORGANIZATIONS

In the context of the present study, it is important to consider the attributes and behaviours of resilient organizations, as these would have a definitive impact on the functioning of the organization in question. The International Consortium for Organizational Resilience (2016) was of the view that although organizations were unique there were still commonalities in relation to attributes and behaviours. The following attributes to increase organizational resilience were identified:

Leadership & Strategy – when an organization demonstrated leadership qualities and implemented strategies (that is, a shared vision, understanding context and effective leaders) resulted in the levels of resilience being amplified and enhanced;

Preparedness & Managing Risk – intentionally managed risk and prepared for the unforeseen (that is, resources available, managed risk & managed change); and

Culture & Behaviours – planned efforts to make sure that the organization has a culture that was healthy (that is, culture that is healthy, shared information and continuous improvement).

The following behaviours were considered significant in inhibiting a failure or allowing for relevant and well-timed action: adaptive; aware; collaborative; committed; creative; prepared; innovative; inclusive; flexible; effective; diverse; reflective; resourceful; respected; responsive; robust.

These behaviours would differentiate between organizations that were resilient and those that were merely function or thriving. Figure 2.4 (International Consortium 2016) represented the "*Model for Increasing Organizational Resilience*" based on ISO 22316: Security and Resilience – Organizational Resilience Principles and Attributes.

Figure 2.4: Model for Increasing Organizational Resilience ISO 22316 Security and Resilience
Source: International Consortium of Organizational Resilience (2016)

Seville (2016) was of the opinion that there was no one formula on how to design the perfect resilient organization. It was found that any organization (large or small) could build planned and adaptive resilience capabilities. Resilience rather related to how an organization was able to access and utilize resources when it needed them. Organizational resilience was drawn from its planned and adaptive capabilities. This allowed organizations to sense change as it emerged and mitigate the risks. With this being said, no crisis ever conformed with the plan and as such organizations were required to find ways to adjust and evolve. Key to resilience was the ability to be prepared and to adapt. The three (3) interrelated qualities that facilitated the status quo for business, were:

Leadership and Culture: the leadership created a flexible ability and culture which were determined by the following factors (authority - leadership), situation awareness, engagement with staff, making decisions, being innovative and creative);

Networks and Relationships: both internal and external relationships were needed to be nurtured and developed in order to exert the influence needed which were determined by the following factors (capable partnerships, extracting knowledge, encourage an integrated approach, available resources internally);

Change Ready: in order to prepare the organization to be able to deal with the change required planning and the establishment of the direction for the organization, these were determined by the following factors (common purpose, proactive disposition, preparation of strategies, testing of plans).

In Figure 2.5 (Seville, E 2016) diagrammatically represented the Indicators to assess and organizations resilience by demonstrating the three (3) interdependent attributes to assess an organizations resilience.

Figure 2.5: Resilience Indicators
Source: Seville (2016)

The International Consortium for Organizational Resilience (2016) and Seville (2016) shared the same sentiments in respect of the attributes that contributed to improving resilience. These were: influence of leadership; supportive of a healthy culture; ability to manage the change; encouraging the idea of a shared vision by breaking silos, sharing information etc.

2.4.4   RESILIENCE MATURITY

Gibson and Tarrant (2010:9) reiterated the sentiments of Seville (2016) above in that resilience existed over a range of conditions. When investing in and enhancing resilience, an organization would be able to observe an increase in the advancement in resilience efficiencies. The progression would be from a state of unpreparedness to that of adaptability. This was illustrated in Figure 2.6 (Gibson and Tarrant 2010) progression of resilience maturity.
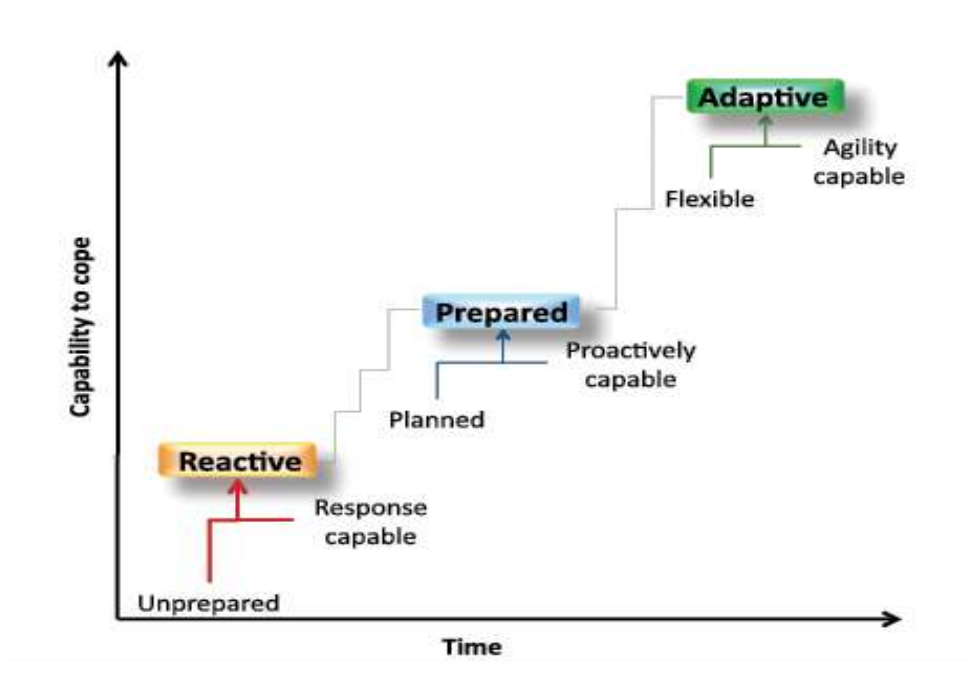
Figure 2.6: Business Continuity Maturity
Source: Gibson and Tarrant (2010)

2.4.5   BENEFITS OF BEING A RESILIENT ORGANIZATION

Kerr (2016:3) held the view that in order for organizations to succeed in the dynamic and interdependent world, required a resilient organization to be viewed as a strategic necessity. It required the adoption of best practice to deliver the improvement of business by building competency and capacity across all structures within the organization. The leadership would be enabled to take systematic risks with certainty and make the most of favourable circumstances. The following three (3) resilience benefits were identified: **strategic adaptability** – capability to handle changing conditions while remaining true to a shared purpose; **agile leadership** – taking systematic risks with certainty and the ability to react rapidly and appropriately from an external perspective; **robust governance** – being held accountable by ensuring that processes were transparent, established a culture of trust and being innovative.

Allen (2016) seemed to agree with Kerr (2016:3) in respect of strategic adaptability, involvement of leadership and business improvement. Risk management and business improvement should become the focus to understanding organizational resilience. To ensure lasting business success leadership teams agreed that organizations must become resilient. Organizational resilience reached beyond that of survival and more towards a holistic view of business health and success. To remain fit for purpose a resilient organization adapted to a changing environment. Organizational resilience should not be seen as a defensive approach rather a positive approach as a strategic enabler which would allow for taking measured risks with confidence. Robust,

resilient organizations were those that were flexible and proactive. In order to institutionalize organizational resilience within the organization required investment in business improvement, by embedding competence and capability holistically which would include looking at the vision, beliefs, culture and behaviours. For an organization to be resilient required commitment and should be based on the organization's values, behaviours and ideology. Leaders were seen to be the drivers with direction coming from the top-down and engagement with employees (receptive) through clear communication from the bottom-up. Resilient organizations learn from their own and others' experience in an attempt to minimize problems and grasp opportunities.

Rexhepi (2016:2) found that resilient organizations were those that had the foresight to anticipate and react to crises, shocks and unexpected disruptions. Organizational resilience was deemed an essential strategy for organizations in support of the achievement of long-term goals and objectives. Rexhepi (2016:3) also provided that the benefits of resilience were: enhanced capability to foresee and deal with threats and vulnerabilities; integration of management disciplines in support of resilience; better comprehension of stakeholders and dependencies that supported strategic goals and objectives and the promotion of a shared culture. The author identified strategic opportunities as a common theme of being resilient.

2.4.6   GOVERNMENT RESILIENCE

South Africa. National Treasury (n.d.:5) in the draft Government Continuity and Resilience Guideline confirmed government's commitment to empowering government officials to plan, implement, operate, test and maintain state continuity capability; developing continuity practices that were relevant and appropriate to build, operate and maintain government continuity capability. South Africa. National Treasury (n.d.:3) found that effective and efficient service delivery by government when disruptive or a disaster happened remained a challenge. Government therefore had to improve planning for government continuity and resilience management in the public sector. This merely confirmed that the public service was not immune to service disruptions and in anticipation they had to be prepared to maintain operations throughout all types of disruptive events. South Africa. National Treasury (n.d.:5) also provided that the objective of the draft Government Continuity and Resilience Guideline was to ensure that government was prepared for, and could recover from disruption thereby building government resilience. The aim was therefore to build high level resilience in all government departments in the delivery of services when faced with major adverse events. The objective would therefore be for government to drive a resilience capability which would allow for rapid and effective response to recovery. An enabling environment needed to be created whereby government would be able to continue to deliver services and achieve its performance objectives.

2.5   BUSINESS CONTINUITY

The Business Continuity Institute (2018:4) stated that business continuity was the key discipline to build and improve organizational resilience. It was a proven methodology which could be adopted as a holistic approach to the management of threats and risks. The management of business continuity identified the priorities of an organization as well as prepared solutions to address disruptive threats.

The aim of the section was to gain insight to business continuity theory in relation to: key definitions; international standards; the business continuity management system (requirements, operating principles and the key clauses) and the establishment of a corporate business capability by reviewing the relevant literature.

2.5.1   KEY DEFINITIONS

Smith (2012:2) defined business continuity as the ability of an organization for continued delivery of services at an acceptable stage after a disruption. The management of business continuity was seen as the holistic management process that identified possible threats and the effects to the operations of the business should they be realized may cause. It provided a guide to developing organizational resilience as an effective response that safeguarded the interests of stakeholders.

2.5.2   INTERNATIONAL STANDARDS

The following International Standards (ISO) were identified as relevant for business continuity. For ease of reference the author provided a flow chart represented as Figure 2.7 in respect of the applicable international standards.
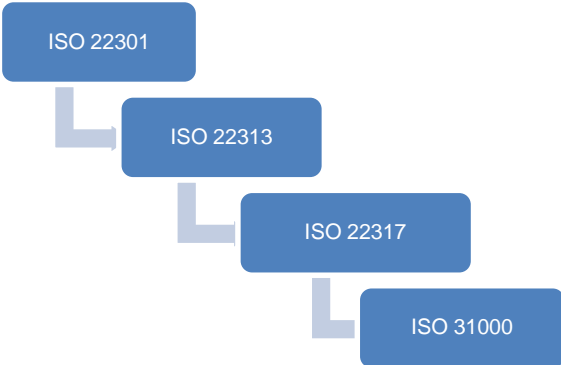
Figure 2.7: Applicable International Standards for Business Continuity
Source: Author's own construct (2018)

- **ISO 22301: 2012 – Societal security - Business Continuity Management Systems - Requirements:**

    Business Standards Institute (2012:v) defined ISO 22301: 2012 as an integrated management process that identified possible threats and the effects on business operations that those threats if realized might cause.

- **ISO 22313: 2012 – Societal security - Business Continuity Management Systems - Guidance:**

    Protiviti (2013:4) stated that ISO 22313: 2012 provided guidance on the requirements detailed in ISO 22301: 2012 and provided recommendations and consents in relation to them. ISO 22313: 2012 did not introduce any new concepts but rather complimented ISO 22301: 2012 by providing explanations and examples to assist organizations during deployment.

- **ISO 22317:2012 – Societal security - Business Continuity Management Systems – Business Impact Analysis:**

    The British Standards Institution (2012) explained that ISO 22317: 2012 was an ISO technical specification to conduct the business impact analysis. It provided comprehensive guidance for creating, effecting and sustaining a business process consistent with the requirements in ISO 22301: 2012. The business impact analysis was identified as a key process for ISO 22301: 2012.

- **ISO 31000: 2009 & 2018 – Risk Management – Principles and guidelines:**

    The British Standards Institution (2018:3) defined ISO 31000: 2009 & 2018 as the process for managing risk. This specific standard was discussed in the previous chapter titled Risk Management.

2.5.3   BUSINESS CONTINUITY MANAGEMENT SYSTEM (ISO 22301: 2012)

The section provided insight in respect of the requirements, operating principles and the key clauses of a business continuity management system.

2.5.3.1   Requirements for a Business Continuity Management System

The British Standards Institution (2012:2) pointed out that the aim of the ISO management system was to assist organizations to enhance current processes. It reflected the significance of the management of business continuity to safeguard productive capability and stakeholder interests.

The business continuity management system was about developing, implementing and managing a series of fit-for-purpose processes to achieve the requirements stipulated in the business continuity policy. It was a universal approach to establishing an organizations business continuity management system. It guided organizations in the development of a holistic program based on structured integration of best practice in their business continuity management activities. However, the key to applying a business continuity management system effectively was often one that was aligned to the organization's corporate governance. Having a business continuity management system demonstrated that the establishment was constantly seeking to optimize processes, manage risks effectively and promote innovation.

The business continuity management system should be part of the entire management system which established, implemented, operated, monitored, reviewed, maintained and improved the continuity of business. This system of management system included the organization's structure, processes, duties, procedures and resources.

Wong and Shi (2015:31) supported the view of the British Standards Institute (2012:2) in that the business continuity management system specified the conditions for establishing and handling an effective corporate business capability. It provided guidance that enabled an organization to optimize service availability in order to fulfil obligations and objectives. A business continuity management system was focused on understanding the corporate requirements and incorporating it into the business continuity policy and objectives. It allowed for implementing and operating actions for managing the corporate business continuity capability before and during a disruption. It was a requirement that the business continuity management system was monitored and checked for effectiveness and ongoing improvement. In an effort to align existing business continuity management system to existing management processes it was useful to incorporate the business continuity standards within the context of corporate governance. It could act as an internal control to manage risks in relation to both the decision-making process and day-to-day running of the organization.

Akinbami (2015) was of the view that every business needed business continuity management. It was a procedure that identified risk, threats and weaknesses that could influence operations and provided a basis for building organizational resilience and capability to respond. Disaster was not about if but when and as such one needed to be prepared. This meant that disruption was guaranteed, the only question was when it would occur.

Smith (2012:10) supported the views held by British Standards Institute (2012:2), Wong and Shi (2015:31) and Akinbami (2015) in that the business continuity management system was a management process. A change in mind-set was required within the organization to build and embed or integrate the management of business continuity. Many managers were tasked with tackling and/or implementing business continuity management were eager to have quick gains,

often adopting a "*tick box*" approach often referred to as proven practice. This approach tried to copy successful business continuity management systems / strategies used by other organizations without reflecting whether it was the most suited approach. Underlying the "*tick box*" method was the convincing belief that a structure and strategy were all that was needed. What was evident was that within the context of a business continuity management system, it was essential that a business continuity and crisis management capability was expressed as policy, strategy, structure, teams and plans. When a disruption occurred the strategy, arrangements and plans became the reference source. It was the blueprint from which the strategy and procedures to manage were designed. The planning process was critical for strategy implementation, planning and arrangements to exercise and test the different scenarios.

Based on the above the author concluded that it was evident that business continuity management should be aligned to management processes and integrated as part of corporate governance. An added benefit was that it would enable decision making and act as an internal control measure to manage risks. Of interest was the view that the "*tick box*" method which held the belief that a structure and strategy was all what was needed to manage business continuity. The "*tick box*" approach was not supported, Wong and Shi (2015) cited above was of the view that the business continuity management system provided guidance to organizations to optimize service availability to fulfil obligations and objectives which by implication were unique to an organization.

2.5.3.2   Operating Principles of ISO 22301:2012

As provided for by the British Standards Institute (2012:v) the ISO standard applied the Plan-Do-Check-Act model to planning, establishing, implementing, operating, monitoring, reviewing, maintaining and continually improving the effectiveness of an organizations business continuity management system. The components of the Plan-Do-Check-Act model were divided into clauses and sub clauses. The clauses and sub clauses explained to the user what they needed to implement the standard. Figure 2.8 (ISO 2012: vi) represented the Plan-Do-Check- Act model aligned to the international standard 22301: 2012.
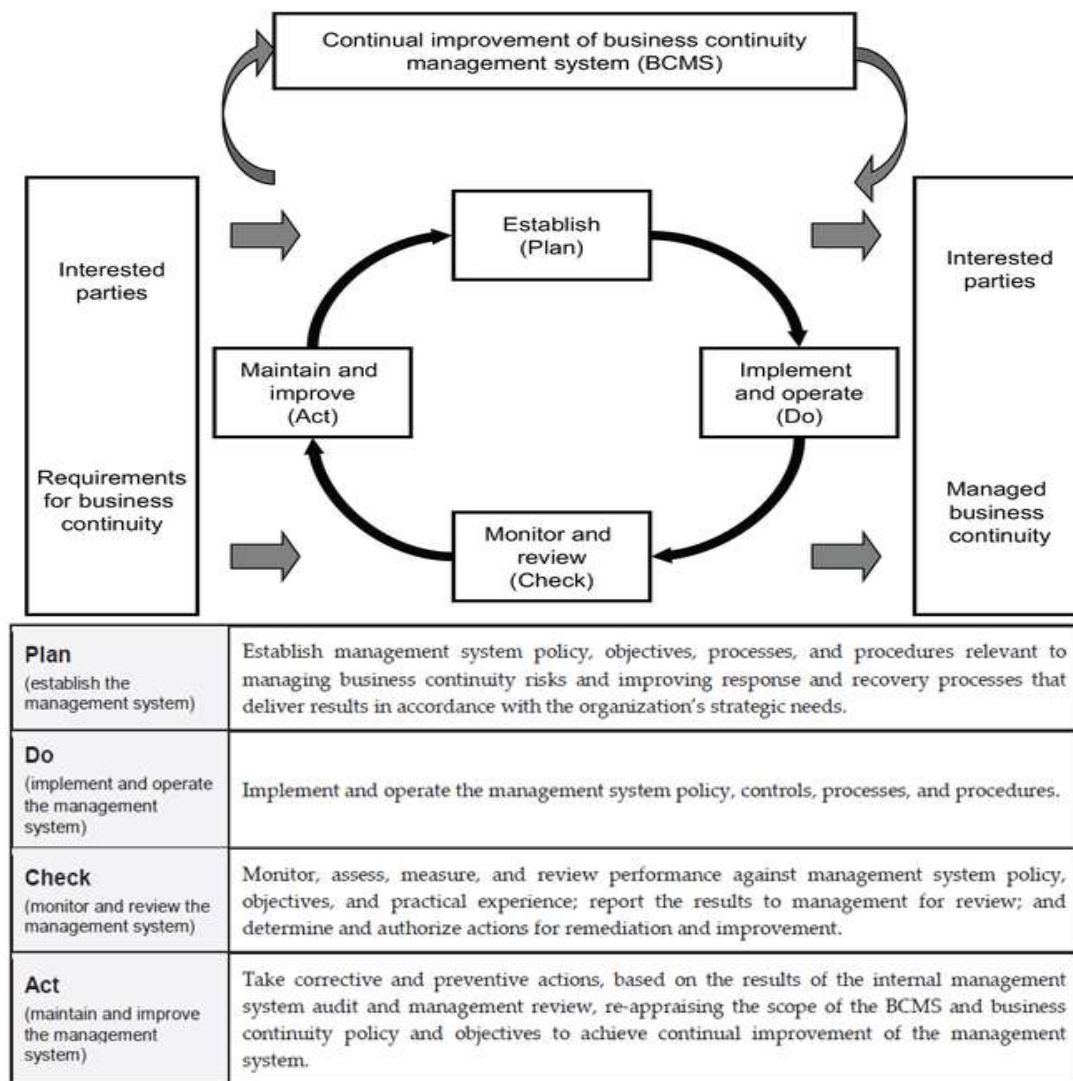
Figure 2.8: Business Continuity Management System, Plan-Do-Check-Act model
Source: ISO (2012: vi)

British Standards Institute (2012:vi) further explained the Plan-Do-Check-Act model as follows:

- **Plan** was all about the establishment of a system for management. The business continuity management system comprised the following key components: business continuity policy, roles and responsibilities, business continuity management system, management processes, documentation, other relevant business continuity management processes.

- **Do** was concerned with the application and operation of the business continuity policy, controls, procedures and processes.

- **Check** encompassed monitoring and review of the management system.

- **Act** was interested in the maintenance and improvement of the business continuity management system.

The value add of the Plan-Do-Check-Act model to the current study was that it provided a management system that could be incorporated within existing management systems of the Western Cape Government.

2.5.3.3   Key Clauses of ISO 22301: 2012

The key requirements for ISO 22301: 2012 were presented in the following sub clauses: Clause 4: Context of the organization; Clause 5: Leadership; Clause 6: Planning; Clause 7: Support; Clause 8: Operation; Clause 9: Performance evaluation; Clause 10: Improvement. Figure 2.9 (Stride IT Consulting) graphically captured the sub clauses for ISO 22301: 2012.

Figure 2.9: Business Continuity Management Clauses for ISO 22301
Source: Stride IT Consulting

The British Standards Institute (2012) **summarized the clauses as follows:**

- **Clause 4: Context of the organization**

    Required the identification of how the organization sat within its environment. Both internal and external matters that were applicable to the purpose of the business continuity management system needed to be identified with an indication as to how it related to the expected outcomes. Internal and external stakeholders who were relevant also needed to be identified. The appetite for risk would be considered as well as the relevant legal and regulatory requirement for the organization. The scope of the business continuity management system needed to be clearly defined. It should also indicate what would be included and what would be excluded.

- **Clause 5: Leadership**

  The role of the leadership in the business continuity management system were clarified. Top management were required to express the intentions to the organization via a policy statement. Top management were also required to show commitment by: ensuring that the business continuity management system was aligned with the strategic course of the organization, integrated the business continuity management system needs into the organizations business processes and communicated the importance of effective business continuity management and conformed to the business continuity management system requirements. The responsibility for the creation, application and checking of the business continuity management system needed to be assigned by top management. It was also expected that the business continuity management system achieved the expected outcomes, directed and supported continual improvement.

- **Clause 6: Planning**

  Referred to the creation of the strategic intentions and guiding principles of the business continuity management system as a whole. The threats to the business continuity management system not being successfully established, implemented and maintained needed to be addressed. An understanding of the culture within the organization and the external environment within which the organization functioned were potential barriers that affected the effectiveness of the system. Objectives needed to be clearly defined, plans for achievement. The minimum levels acceptable to the organization in respect of products and services to achieve objectives needed to be decided upon. Decisions also needed to be made in terms of who would be required to deliver on objectives and the time needed, the resources needed, and how the findings would be assessed.

- **Clause 7: Support**

  Concerned with the resources necessary to create, implement and maintain an effective business continuity management system. It required that people were competent in terms of education, training, awareness and experience. Communication with concerned parties and how documents would be managed needed to be deliberated. It was important that interested parties understood roles and responsibilities during a disruption. It was important that all the elements of the business continuity management system be fully documented. All the relevant documentation must be maintained, controlled and appropriately stored.

- **Clause 8: Operation**

  The processes developed to manage the risks to the business continuity management system from being correctly implemented needed to be tabled. This included any processes that may

have been subcontracted or outsourced. The business impact analysis was crucial as it indicated the order and timing of recovery of the critical activities. This included deciding on what a minimum acceptable level was. There might be certain financial or governmental obligations that required communication and a societal need to share certain information during a disruption. The process should be focused on minimizing the consequences of a disruption. Procedures needed to be documented in order to assist businesses to return from temporary arrangements to normal business requirements after the disruption. Testing was important and based on an appropriate range of scenarios. Lastly, the continuous development of the business continuity management system was to be promoted.

- **Clause 9: Performance evaluation**

  Covered the maintenance and evaluation of the business continuity management system so it was kept relevant and up-to-date. After an internal audit, the relevant management must ensure that any corrective actions that have been identified were carried out without delay. This clause also covered management review. It was needed to offer information for review on the trends in; non-conformities, corrective actions, checking and measurement of assessment and auditing results.

- **Clause 10: Improvement**

  Concerned about making the business continuity management system effective. A requirement would be to show how continual improvement and enhancement of the performance of the business continuity management system to ensure it was robust and relevant. This might be, as a result of identifying potential threats or risks from any internal or external factors that were applicable to the organization. The business continuity management system required updating in response to any non-conformities or corrective actions.

2.5.4   ESTABLISHING A CORPORATE BUSINESS CONTINUITY CAPABILITY

2.5.4.1   Background

Smith (2012:8) maintained that the ISO standards were not designed to be limiting, complete or provide a decisive procedure/process to plan for all occurrences within business continuity management.

A business continuity management system framework and workflow designed in terms of the ISO standards did not imply uniformity in the structure. Organizations should design its own business continuity management system appropriate to its needs. A one-size-fits-all business continuity management approach to business continuity was flawed. A business continuity management

plan and the standard tick box methodology does not provide effective business continuity management capability and should not be employed due to the unique nature of organizations. Planning for every eventuality was also a fallacy.

Krell (2006: 6) provided that business continuity management could be used to identify risk of exposure of organizations to threats generated internally and externally. It required management to identify the potential impacts that threatened an organization. The framework to build resilience was to provide an appropriate response that protected the organization, that is; reputation, interests of critical stakeholders and the activities that added value.

Zerbe (2007:3) maintained organizations that were complex and critical, were challenged with comprehending and implementing business continuity strategies that were effective. Misalignments in the focus areas of a business continuity management program, with different views on who was responsible and what the roles were needed to be identified, as these would be required during a major disruption. The intricacies impeded the comprehension and the implementation of business continuity management strategies that were effective.

2.5.4.2   Requirements of a corporate business continuity capability

British Standards Institute (2012:v) provided that the system for business continuity management specified the necessities for establishing and handling an effective corporate business continuity capability.

It provided guidance to enable the organization to optimize service availability in order to fulfil objectives and obligations. It broadly focused on: understanding the corporate requirements and incorporating these into a policy on business continuity and objectives (**business continuity policy**); executing and operating actions to deal with the corporate business continuity capability before and during disruptions (**business impact analysis, risk assessment and the development of the business continuity plan**); monitoring and reviewing the effectiveness of the business continuity management system (**exercise / testing of the business continuity plan**); and continual **improvement** of the system.

- **Business Continuity Policy**

    British Standards Institute (2012) maintained that the policy needed to be appropriate for the organization. The policy formed the basis for setting objectives for business continuity management and contained assurances to comply with legal and regulatory provisions and the continuous advancement of the business continuity management system.

    South Africa. National Treasury (2017:7) presented the following general principles in respect of the business continuity policy, that is, it provided the direction to be followed strategically

from which the business continuity program was conveyed; defined how business continuity would be approached, structured and resourced; supported and approved by the leadership to provide effective governance; stated how strategic objectives and relevant policies were supported; fit for purpose; identified the norms that would become the benchmark for the business continuity program.

- **Business Impact Analysis**

British Standards Institute (2012:18) defined the business impact analysis as an integral part of the business continuity management system. ISO 22313: 2012 provided that the purpose of a business impact analysis was to familiarize oneself with the key products and services as well as the activities required to supply them (that is critical functions); determined the priorities of the organization and timeframes for the resumption of duties; identification of key resources required for continuity and recovery and the identification of internal and external dependencies.

British Standards Institute (2012) described the business impact analysis as a procedure for examining the ramifications of a disruption on the organization. A statement and explanation of the requirements for business continuity was the desired outcome. Figure 2.10 (ISO 2012) diagrammatically represented the business impact analysis aligned with the international standard 22313: 2012 in respect of the business continuity management process. A business impact analysis needed to be completed before business continuity strategies could be determined.

Figure 2.10: Elements of Business Continuity Management
Source: ISO 22313 (2012)

In the opinion of Stoichev (2014:100) emphasis was placed on the detail and deliberate systematic effort applied in activities. Business continuity incorporated activities and integrated management plans that created conditions for maintaining the continuity of an organization's critical processes. It played a crucial role in ensuring continuous functioning of critical processes. The business impact analysis formed a critical section of the business

continuity management system as it documented the impacts due to a loss or interruption; determined the time required to restore the function, conditions (internal and external) required for the effective operation.

Rouse (2015) described the business impact analysis as a systematic process where the potential effects of a disruption were determined and evaluated. The business impact analysis was an integral part of the business continuance plan. The business impact analysis would highlight any weaknesses and arrange for the development of approaches to minimize the risk.

Interstate Restoration (2019) provided that the business impact analysis could be used as a tool which senior managers could use to analyse their business functions and assess the risks of a disruption on an organization.

Stoichev (2014:100) further provided that business continuity incorporated activities and integrated management plans that created conditions for maintaining the continuity of an organization's critical processes. It covered all aspects of an organizational unit involved in the maintenance of critical processes. Its role was especially crucial when it came to ensuring the continuous function of critical infrastructures.

- **Risk Assessment**

Long (2017) maintained that both business impact analysis and risk assessment were important elements for business continuity.

As mentioned by the British Standards Institute (2012:16) the purpose of the risk assessment was to ascertain against the prioritized activities the risk of disturbance by identifying, analysing and evaluating the risk. The disruption to procedures, methods and resources and organizational assets (information, people and assets) that supported the prioritized activities were identified.

The Business Continuity Institute (2016:2) held the opinion that organizations were more vulnerable to serious disruption and the interconnectedness of risks. Business continuity was central to resilience as long as it displayed collaboration and the understanding of risks and responsiveness during crises. In understanding an organization's interests, important role players, brand, reputation and value creating activities, business continuity proved key towards the strategic appreciation of resilience.

Sumter (2011:4) found that although the occurrence of natural disasters was highly unlikely, the countries with whom they conducted business with were affected by disruptive events. The concept of business continuity was not well known and many were unaware of its

existence. Business continuity management was however required by stakeholders for compliance purposes. A risk assessment was completed to determine probability and impact. It was determined that business community management would start to play an important role should businesses want to operate in the international arena.

Long (2017) held the view that risk assessment and business impact analysis were both risk-based assessments. Business impact analysis was concerned with 'what' was impacted whereas the risk assessment was concerned with the 'how' impacts occurred. These differences made it clear that business continuity strategy and implementation required an analysis of the impact to business and the assessment of risk. The assessment of risk provided a holistic view for the organization. It recommended that the two be integrated so that management could be provided with a single view enabling improved decision making.

- **Business Continuity Plan**

British Standards Institute (2012) held the view that to provide effective business continuity management required the establishment and implementation of business continuity processes. The processes must establish communications protocols both internally and externally. The stages to be taken during the disruption needed to be clearly documented. An element of flexibility is required in order to react to unpredictable situations and unforeseen threats. Procedures need to be documented that supported the full restoration of the business activities from temporary towards normal after a disruption. It was required that the plan was exercised to promote the continued development of the business continuity management system.

British Standards Institute (2012:2) provided that the business continuity plan outlined the steps necessary to function during a disturbance. ISO 22313: 2012 defined a business continuity plan as the documented process that would be a guide for organizations to respond, improve, recommence and return to a pre-determined level of operation following a disruptive event. The plan should clearly communicate how the organization would respond during a disruption and how the risks would be mitigated. The plan should make provision for roles and responsibilities to be clearly defined; clearly defined roles and responsibilities; processes to activate the response; details on how to manage the immediate consequences due to the disruption; under which circumstances communication with stakeholders would take place; recovery in respect prioritized activities within predetermined timeframes; and the media response.

Tamadoni (2015:1) was of the view that a business continuity plan was the plan which would secure the continuation of business as a result of a disruptive event. When creating the plan

an analysis of the impact on the business needed to be done in order to understand the potential effect of the disruptive events.

Benavente, Gallardo, Esquivel, Akakura and Ono (2016:1) conducted an overall view of applying a business impact analysis to prepare business continuity plans. The research project was to create tsunami resilient society. Emphasis were placed on the possible engagement of business impact analysis for improving efficiency and effectives of business continuity plans.

Torabi, Soufi and Sahebjamnia (2014:311) provided that insight to the organization was central to business continuity management. A holistic understanding of the key products of the organization and its critical functions would result in business continuity management being incorporated into the strategies and objectives of the organization. This would result in the success of having business continuity plans in place.

Chen (2014:3) in a study on the business continuity management framework found that by developing a business continuity management framework helped to maintain functionality in the aftershock of a catastrophe. When compiling business continuity plans core business functions, the forces (external and internal) that would impact the preparedness of departments to continue to render services needed to be considered.

Stancu (2016) provided that nearly 50% of small businesses had to deal with ransom ware at some point. Findings revealed the importance of having business continuity planning in backup and disaster recovery. Crowe (2017) stated that ransom ware continued to experience record growth in 2017. Fruhlinger (2018) explained that ransom ware was a kind of virus that prevented persons from retrieving their files and demanded payment from the victim to restore access to the data. It was therefore important for businesses to be able to deal with any disruption preventing them from doing business.

Akinbami (2015) questioned whether business continuity plans were a real or a compliance issue? It acknowledged that a business continuity plan was essential as it set out the operations of the business and how fast it was able to return to normal business operations. Many organizations have business continuity plans but they merely fulfil regulatory requirements. Often, they were drafted by IT departments with either little or no inputs from other business units. These plans were also not tested. The plans have not been drafted based on results of the analysis of the impact on business or the assessment of the risk. They were not customized and merely regulatory. A real business continuity management system had a business continuity plan which was developed based on a business impact analysis and risk assessment. The plan needed to be tested to ensure improvements. Business continuity was concerned with the continuous survival of the organization rather than

compliance. Individuals could also benefit from having a business continuity plan. Should we lose our job how would we continue to provide for ourselves and family? A country also needed to have business continuity plans in place. The Nigerian economy was compromised and as a result they were not able to fulfil obligations to its citizens in terms of amenities and infrastructure. The author found that business continuity was not only applicable to a business and/or organization but also to individuals and countries.

The opinion of Smith (2012:25) was that a business continuity plan template approach should not be adopted due to the varied and distinct nature of each organization and/or business.

- **Maintain and Improve**

Sambo (2014:53) investigated the failure of a business continuity plan during a disaster event. It found that even though business continuity plans were in place and testing was done regularly, businesses still experienced prolonged downtime during a disaster resulting in financial losses and were in breach of service level agreements. The objective was to determine why organizations still experienced prolonged downtimes during a disastrous event and how potential deficiencies in a business continuity plan could be amended.

Perry (2017) demonstrated the merits of processes geared towards the continuation of business enabling services to clients to be continued.

Although faced with business interruption the delivery of services to clients continued. This confirmed the effectiveness of having business continuity processes in place which were tested and a level of preparedness. Rather than plan for specific threats (for example, floods, power outages) one should rather focus on any disruptive event, by doing so organizations would be enabled to better address a wide-range of potential events.

2.6   INSTITUTIONALIZATION OF BUSINESS CONTINUITY

In this section the current state of business continuity within the Western Cape Government was explored by reviewing the applicable legislation, policy and/or documents that supported the management of risk and business continuity. It also further explored how business continuity could be established as a norm within the Western Cape Government by reviewing current management processes to action alignment.

2.6.1 LEGISLATION AND/OR POLICY IN SUPPORT OF BUSINESS CONTINUITY

As claimed by Fergusen (2018) not many departments of the Public Service understood the principle of the management of business continuity and the implementation of a well put together plan for the continuation of business in South Africa. Core to organizational resilience was the management of risks. Effective business continuity processes were seen as contributors to resilient organizations.

South Africa. National Treasury (2018) presented that government in South Africa was in the process of growing business continuity management in the public sector. South Africa. National Treasury (2018:8) based its draft Government Resilience and Continuity Strategy on the ISO 22301: 2012 – Requirements of a business continuity management system. This implied that the ISO 22301: 2012 would become the guiding principles to be used by the Public Service.

The following legislation and/or policy was found relevant for the public sector in respect of the management of business continuity.

2.6.1.1 The Minimum Information Security Standards

South Africa. Minimum Information Security Standards (MISS), was developed as a minimum standard for dealing with information that was classified. South Africa. MISS (1996:10) required the pre-planning of any act that could avert and/or confront or counter the consequences and results due to an emergency which could threaten property, information or lives. This called for the drafting of a formal written plan. The plan needed to be practiced to highlight gaps and allow to be remedied. Persons involved need to be acquainted with the plan. It further provided that the plan for contingencies to be drafted. These plans were to make provision for how documents were to be stored, moved and destroyed based on the classification in order to contain the risk.

2.6.1.2 The Disaster Management Act and Amendment Act

South Africa. Disaster Management Amendment Act (Act 16 2015) made provision for a policy that was integrated and coordinated. The focus of the policy was to prevent or reduce the risk for disaster, mitigation, preparedness, responsiveness and recovery. Provincial Government Departments were required in terms of the Disaster Management Amendment Act (Act 16 of 2015) amongst others to ensure that contingency strategies and emergency procedures in the event of a disaster must be developed.

Western Cape (South Africa). Department of the Premier (2016:30) required that Heads of Department would need to ensure disaster management plans, as well as business continuity plans, were in place. Heads of Department would be responsible to ensure that senior managers

were informed on the business continuity plans and disaster management plans to enable them to respond to disasters and interrupted work periods affecting their employees accordingly.

2.6.1.3　The Safety, Health, Environment, Risk and Quality Management Policy for the Public Service

South Africa. Department of Public Service and Administration (2012:7) developed the Safety, Health, Environment, Risk and Quality Management Policy for the Public Service. The policy provided for the following: safe and healthy environment for both public servants and the wider community; identification and management of risks and improvements to the quality of services; guide on the management of risks; the elimination of accidents, illnesses and diseases.

2.6.1.4　Western Cape Government Provincial Employee Health and Wellness Policies

Western Cape (South Africa). Department of the Premier (2016:4) aligned its Western Cape Provincial Employee Health and Wellness Policies to the Safety, Health, Environment, Risk and Quality Management Policy for the Public Service (mentioned above). An objective of the Western Cape Government Provincial Employee Health and Wellness Policies was the institutionalization of risk reduction and business continuity plans. The policy document provided that business continuity plans must be developed by provincial departments to ensure that core functions of the department could be sustained during interrupted work periods. A lead department was appointed to provide departments with the necessary support in the drafting of plans in respect of the continuation of business. The business continuity plan should be clear on the protocols to be followed, as well as give guidelines for issues such as employee safety, security, and protection of physical property, assets, information and records.

2.6.1.5　The Security Strategy for the Western Cape Government

Barbour (2013:2) in the Security Strategy for the Western Cape Government: Maximizing the Safety Contribution of Western Cape Government Institutions, Assets and People stated that the negative impact of loss of resilience had gone untracked by the Western Cape Government. The concept of "*resilience*" was central to the Strategy. The aim of the strategy was to "*set out a fresh transversal approach to improving organizational resilience across the institutions of the Western Cape Government".* It intended to improve the safety and security outcomes of the Western Cape Government and its institutions when faced with diverse threats.

The approach was designed to give shape to the currently less than coherent security framework and set the strategic conditions for operational successes. Implementation of the plan would provide the optimum organizational platform for improving security and safety outcomes in the

face of the diverse threats which potentially confront the Western Cape Government and its institutions.

Even though the Strategy focused on safety and security, the concept of resilience should be a holistic approach to ensure that the Western Cape Government was able to continue to render services to its citizens. This purported the link between business continuity strategies towards a resilient Western Cape Government which loan itself to the adoption of an integrated approach.

2.6.2 EMBEDDING BUSINESS CONTINUITY WITHIN THE WESTERN CAPE GOVERNMENT

2.6.2.1 Background

Hela (2017) affirmed that business continuity had become a governance issue. The King IV report provided guidelines for how to apply its principles to public sector entities. Principles 11, 12 and 15 specifically dealt with how risk, information and technology were governed. Taking this into consideration accounting officers within the public sector therefore needed to start placing more emphasis not only on what their business continuity plans looked like, but who would be responsible for them.

This section explored how business continuity management could be entrenched within existing government processes. Special emphasis was placed on reviewing current management processes and identify areas where alignment could be possible. It assisted in determining which management processes would prove to be the most effective to pursue the business continuity agenda.

South Africa. Department of Planning, Monitoring and Evaluation (2013:16) identified the Strategic; Governance and Accountability; Human Resource and Finance as the core processes of management in the Public Service. As a means to embed business continuity within the Western Cape Government would require influencing the following key management processes: Strategic Management; Governance and Accountability. Exerting influence in these key management processes would provide most value add. The key management processes were further unpacked to explore how they could be influenced to pursue the business continuity agenda.

2.6.2.2 Strategic Management

Salwalha (2011:58-59) held the view that the business environment was changing quickly, becoming higher-risk and more unpredictable. To counter this unpredictability required strategic planning process to include the management of disasters and crises as well as risks faced by

organizations. Proctor, 1997; Wright *et al*, 1996 cited in the study stated that "*As the environment is continually changing, it is also necessary for strategic planning to continually change in order to maintain a balance or fit with the external environment*". Organizations that were successful anticipated, developed adaptive techniques to handle discontinuity. This was done by identifying risk, changes in the environment and do the necessary during strategic planning to improve capability to deal with disruption. Strategic planning must enable the organization to cope to ensure its survival in the long-term. It was important that the leadership recognized the importance of having processes in place to deal with unexpected incidents, if not, the whole business would be threatened. By integrating business continuity management with strategic planning, the organizational strategic capability of resilience could be achieved. In doing so, Herbane, Elliott, and Swartz (2004:451) acknowledged a possible role for the management of the continuity of business and the integration with the strategic actions of the organization. Business continuity management was not intended to be reassuring but to improve resilience. This would result in a more significant contribution strategically for the management of business continuity. The approaches to planning, being proactive skills and structures were all in place.

Hinson and Kosutic (2015) resonated with Herbane *et al* (2004:436,448,451) as they also spoke about the strategic business value of resilience. Was *"Business Continuity important enough to invest time, effort and money"*? The alternative would imply that by accepting the risk, business would in all probability cave in an emergency, hence few in management would really argue against business continuity. The question still remained – "*How much to invest and do so wisely*"? These were noted as strategic concerns and hence, business continuity was labelled a strategic concern.

Western Cape (South Africa). Department of the Premier (2017:18) provided that the management of risk, when incorporated into the process for decision making, became a valued tool for strategic management underpinning the effective delivery of services and value for money. South Africa. National Treasury (2010:1) published the Framework for Strategic Plans and Annual Performance Plans which provided government departments with a framework as to how strategic processes should be dealt with. To support entities to prioritize and plot the ongoing application of legislative mandates, programs and policies the development of strategic plans was highlighted as the most appropriate tool to assist in this regard. The strategic plan would be focused on the strategic outcome oriented goals of departments and the achievement of objectives in the main areas for service delivery. The plan to be aligned to the budget. The author holds the view that the strategic management process would serve as an ideal vehicle to embed business continuity. It would allow for improved decision making and general management.

Business continuity was viewed by Kirvan (2015) as a response to specific disruptions. The activities contained in the business continuity process could be deemed valuable in the long-term for strategic planning. The purpose of strategic planning was determining the direction of the organization to attain the established mission and vision. A myriad of determinants and loads of data articulated the business strategies of an organization. A value add for the business strategies would be the ability to identify activities that could affect the achievement of organization's goals in a negative way. Correctly analysed, business impact analysis and risk assessment outcomes could provide signs to improve planning, structuring and implementing business strategies.

2.6.3.3   The Strategic Planning Process

The case towards the integration of business continuity within the strategic planning process was supported as follows:

In the opinion of Bell (2005) business continuity had to be integrated in the process for strategic planning. Non-integration would result in the prospect of awful things happening. Improved planning processes greatly assists with the making of strategic decisions. Including the continuity of business in the strategic planning process would allow for objective analysis and informed decision making by leadership.

Riecker (2014) held the view that the value of strategic planning helped in refining the organization's vision but also developed objectives in line with the vision and brought the entire organization on board. He identified a linkage between business continuity and strategic planning as they possessed foundational similarities. Resilience and business continuity provided leadership-driven purpose which was documented and engaged the whole organization and therefore suited to becoming a goal in the strategic plan. To minimize losses organizations should mine data from the strategic planning process to support business continuity and continue the connection between strategic planning and business continuity.

The King Committee on Corporate Governance (2016:61) in the King IV report stated that business continuity measures needed to be established and implemented. These measures would allow the organization to continue to operate during times of instability, to resist and recover from disturbances. Simply put, the ability to continue with business when faced with a disruption and/or change that would impact the organization's ability to achieve strategic priorities or stated objectives.

Kirvan (2015) further provided that the business continuity process could add value in the development of the strategic plan in the following manner:

- **Mission and Vision**

  Usually business continuity was not included. Business continuity should however be relevant as a business objective, should a disruptive event occur and the organization was unprepared they would not be able to achieve their business objectives.

- **Environmental scanning**

  The business impact analysis and the analysis of risk could combine to provide input to the SWOT analysis. The business impact analysis could contribute to the SWO of the SWOT analysis, data was provided on the operations of the business, dependencies of the business, impact to the business due to disruption of the key processes. The risk analysis provided input on the T of the SWOT analysis, identified the threats to the business operations.

- **Strategy definition**

  Strategy to achieve the vision, mission and objectives were defined.

- **Strategy implementation**

  As an important component of implementation, business continuity should be included wherever feasible. Risk identification and plans established to ensure that unplanned disruptions were dealt with speedily need to be actioned so as to not affect implementation.

- **Post-implementation evaluation and control**

  Business continuity plans have to be tested and periodically reviewed and tested again.

Figure 2.11 diagrammatically represented the strategic planning process as provided by Kirvan (2015) above.

Figure 2.11: Strategic Planning Process
Source: Author's own construct (2020)

Wong and Shi (2015:7–8) provided that business continuity was a strategic initiative that can influence corporate performance. The organization's activities can be included to identify threats that could have significant implications to the organization.

The business continuity methodologies could aid senior management to anticipate what might go wrong and the effects of potential events from both internal and external perspectives.

2.6.3.4 Governance and Accountability

Governance and Accountability were unpacked in respect of Governance and Enterprise Risk Management.

- **Governance**

  The Institute of Directors in Southern Africa (2016:61) provided that the King IV report made provision for the creation and implementation of business continuity measures that allowed the organization to continue to function during instances of instability, to resist and recover from disturbances. The Institute of Directors in Southern Africa (2016:20) maintained that in South Africa the King IV report served as the benchmark for corporate governance. Corporate governance therefore facilitated the effective management of government departments to deliver services to the citizens. The Institute of Directors in Southern Africa (2016:61) further recommended that the management of risk should be integrated and embedded in the business activities and culture of the organization. Principles 11, 12 and 15 of the King IV report also provided a guide on how risk, information and technology were to be governed. As such Business Continuity and Resilience have become governance issues as provided for by the King IV report.

  The British Standards Institute (2012:2) stated that business continuity management provided a guideline towards building a resilient organization to respond effectively to protect its reputation, brand and activities creating value.

  Wong and Shi (2015:8) maintained that corporate governance was a regulatory system that controlled an organization and its activities. Business continuity management was essential in the organization's overall approach to governance. It underpinned the oversight capabilities that ensured controls were established to safeguard key assets, capacity to earn and reputation of the organization.

  Wong and Shi (2015:22) also stated that by managing business continuity proactively could result in the maximization of business opportunities. Organizations would be enabled to optimize continued operations thereby safeguarding corporate performance. It was concerned with managing threats and the effects on operations that were critical.

  Mansol, Alwi and Ismail (2014:910) provided that a number of key factors existed that would warrant the achievement of business continuity management in practice. Continuous training and/or awareness were to be embedded in the organization; commitment by management to

implement business continuity management. Attempts should therefore be made to incorporate business continuity in the organization's culture.

British Standards Institute (2012) maintained that business continuity was not independent of other practices in an organization. The continuity of business should be supportive of the accomplishment of the goals of the business. It further provided that top management must adopt an active role.

The Institute of Risk Management (2018:7) maintained that management held the overall responsibility for managing risks to the organization. Governance and leadership were required to manage risks and was essential for how organizations were managed. Principles of the management of risk: proportionate; aligned; comprehensive; embedded; dynamic.

Penberthy (2012) held the view a key contributor for effective corporate governance was business continuity management. It was accommodated under the management of risk, and allowed questions about the business to be asked that related to: "*The company's model (business and operating); Key value creating products and services; Key dependencies – critical assets and processes; How the company would respond to a loss of or threat to any of these; What the main threats were today and on the horizon*; *Evidence that the continuity plans would work in practice.*"

Governance and accountability comprised the operations that linked the structures of management, ethics and being accountable to improve service delivery according to South Africa. Department of Development Planning and Monitoring (2013:29). To minimize maladministration and strengthen efficiencies for service delivery required effective governance and accountability.

Smith (2012:26) also held the view that the right people needed to be identified as this would determine the accomplishment of failure of creating an effective and appropriate business continuity management system capability would be determined and sustained. Organizations were encouraged to appoint a business continuity management champion at executive level. The role of the champion was to ensure a coordinated approach.

Business continuity should be aligned to the organizations enterprise risk management program and account to the risk committee of organizations. A benefit of this approach was that it expanded on what existed and ensured buy-in throughout the organization.

Price Waterhouse Coopers (2016) highlighted the misalignment between enterprise risk management and business continuity management. Separate business continuity management and enterprise risk management steering committees and supervision could

lead to business continuity management programs not addressing core strategic risks, narrowly focused on the operational execution of risks:

o business continuity addressed important risks to a specific division of the organization which left out other areas which might be impacted unaddressed;

o the effects of relevant disruptive risks on the strategies of the enterprise not identified timeously as business continuity management does not share enterprise risk management's senior leadership visibility;

o business continuity recovery strategies contained approaches that were misaligned with enterprise strategy;

o business continuity management identified improvements which were not informed by enterprise risk management; and

o enterprise risk management - the assessment of risk was not informed by business continuity management - enabled resiliency and recovery capabilities.

Further to this Mäkilä (2014:ii) showed resilience as a means to improve business continuity and the impacts of business interruptions on business. The adverse effects of business interruptions could result in long-lasting adverse consequences if little or no consideration was given to risk management and resilience.

Hinson and Kosutic (2015) revealed that resilience as a business continuity mind-set supported a more proactive and holistic approach for business processes before an incident. This approach would result in the organization being able to survive threats which they otherwise would not have been able to, allowing businesses to operate during and after an incident. Changing of mind-sets from top to bottom at all levels were crucial in order to achieve true resilience.

The acceptance of management to deal with risks appropriately and investment in the measures to ensure survival were indicative of the maturation of business continuity. A diagrammatical representation of the maturation process was illustrated in Figure 2.11 (Hinson and Kosutic 2015). The nature and arrangement of the stages varied, the order represented in figure 11 indicated how each layer built on those below. The first step was purely reactive. The maturation process may take a number of years and could be continual. It should be noted that the provisions for business continuity should be evolving along with risks, technologies, and relationships.

Figure 2.12: Maturation process
Source: Hinson & Kosutic, Continuity Central (2015)

Key to the success of business continuity, Smith (2012:25) maintained that an interrelated whole-of-business / organization method was to be adopted. The approach aimed to endorse each of the key building blocks of the business continuity management system and elements of business continuity management.

- **Enterprise risk management**

  Graham and Kaye (2015:v) supported the view that the management of risk had evolved from the buying of insurance products. Business continuity needed to position itself in the broader risk and framework for strategic management of the organization.

  Price Waterhouse Coopers (2016) further explained that Enterprise Risk Management and Business Continuity Management shared a common goal in the identification, assessment and the management of risks that could prevent the attainment of strategic objectives.

  Gonzalez (2016) stated that business continuity planning should be a core element of a strong enterprise risk management program to help organizations build resilience.

  Risk management and business continuity shared a mutual goal, that is, provision of protection as attested to by Lewis (2017). Business continuity provided plans for recovery that could be used during any circumstance as a result of a disruption where risk management focused on specific opportunities and threats. When business continuity and risk management were coupled, organizations would have a system that would be able to detect probable hazards with the aim to avoid disasters before it occurred, establishment of contingencies and plans to limit impacts.

Murphy (2018) questioned whether risk management and resilience functions were within an organization or were they simply philosophies and mind-sets? Business continuity management programs have rebranded themselves to "business resiliency" programs. Even though the title has changed the program remained the same. However, renaming brings additional value in that it represents a shift in thinking. This shift would affect budgeting, resourcing, workflows but a successful program will be achieved. Although some argued that risk management was defensive and resilience was offensive. Preparation, prevention, mitigation and deterrence were essential for both risk management and resilience. Although these techniques were defensive in nature they could create a reactive culture. Resilience was designed to keep bad things from happening, importantly the ability to withstand a shock, recover and become stronger. Resilience promoted a healthy organization and could be measured by how quickly and successfully it was able to recover from disruptions.

Berman (2015) provided that Enterprise Risk Management was concerned with the identification of all threats that an organization faces, for example, financial, strategic, staffing, legal, compliance, environmental etc. that could affect an organization negatively. This holistic approach provided a framework for not only mitigating risk but also advancing goals and opportunities when confronted with threats. A holistic model was needed integrating business continuity management and risk management in support of implementation and continuous management. This would result in a remarkable impact on the organization's ability to deal with disruptions in the accomplishment of the organizations activities. A distinction was drawn between risk management and business continuity management. The management of risk involved limiting probability whereas business continuity was involved in limiting the impact. By combining the management of risk and business continuity related into the level of resilience that an organization must achieve. The blend was sure to not only reduce uncertainty but also to encourage a secure environment within which to operate.

Willis (2014:5, 7, 50) provided a think piece on the management of natural hazards towards more resilient communities. It was found that the more it was exposed to potential losses from natural hazards its exposure continued to increase. The focus was whether a 'fit for purpose' management framework to manage risks existed. An outcome was a clear desire for alignment across government sectors and the wider public and private sectors for sharing of best practice, capacity building. Although a framework was in place, issues still persisted, in that: there was little national ownership to reduce the risk, emphasis on readiness, response and recovery; limited leadership strategically in respect of direction, principles and practices and collective agreements; also no clarity as to where the responsibility for natural hazard risk reduction lied; limited monitoring of the outcomes of risk or the efficacy of measures to reduce risk; no consistency when making risk management decisions.

South Africa. National Treasury (2010:2, 19, 28–29) confirmed that the management of risk was a strategic imperative opposed to an option within efficient organizations based on local and international trends. Government institutions were required to implement and maintain efficient, effective and transparent methods of risk management and internal control to enhance performance. Enterprise risk management was a wide-ranging application of risk management of the important responsibilities and activities of an institution. It required the institution to look beyond selected areas. It required the deliberation of risks on performance regardless of where they were generated (internally or externally). It made provision for the inclusion of business continuity management, occupational health and safety and those responsible for risk management.

Western Cape (South Africa) (2018:5) stipulated that management must instil and inculcate a risk culture and opportunity for management that supported defining core functions and to set and achieve strategic objectives. The Department provided clear strategic direction for the taking and managing of risk and opportunity which was underpinned in an approved Enterprise Risk Management policy. An Enterprise Risk Management strategy provided for the adoption of the appropriate standards in line with Public Sector Risk Management Framework to which resulted in the Enterprise Risk Management policy. Enterprise wide risk and opportunity management was embedded into the everyday, short and long-term making of decisions, actions and culture of the department.

The Western Cape Government Departments adopted the Enterprise Risk Management Policy as claimed by Western Cape (South Africa). Department of Community Safety (2018:3). Business Continuity formed part of the Enterprise Risk Management Strategy and Implementation Plan of the Western Cape Government. Business Continuity entailed the department's ability to ensure critical functions of the business would continue to function despite serious occurrences or disasters that might otherwise have interrupted these critical functions, the department's ability to recover operationally within a reasonably short period. Departments were required to develop a business continuity plan dealing with both ICT governance and disaster recovery as well as the identification of key personnel in cases of emergencies. The implementation of the business continuity plan would be monitored on a quarterly basis.

The Western Cape (2016) indicated that the Provincial Top Management of the Western Cape Government affirmed the King IV report that having sound business continuity processes in place would greatly assist departments to plan for disruptive events and the ability to continue and restore business after such events. Business continuity planning and management were subsequently registered as a provincial risk for the Western Cape Government.

Penberthy (2012) affirmed the view held by many that business continuity had been recognized as being necessary and crucial for business operations. It was expected that sound business continuity management practices would greatly decrease the impact of disruptive related risk and contribute to overall resilience. It could therefore be deduced that sound business continuity management increased an organization's resilience.

Van Beulen (2018:1) pointed out that there were a number of limitations on business continuity management. The limitations were as a result of the immaturity in this research field and the contemporary nature of business continuity management. The concerns related to: lack of descriptors on how business continuity management methodologies should be implemented; absence of guidelines; inability to translate into tangible work constructs and the lack of a proficient framework or model focused on organizational culture issues successful implementation. Furthermore, many organizations have little or no experience in business continuity planning and lack disaster recovery skill.

2.7   CONCLUSION

It was established that there was an expectation of Government to provide services to the citizens and/or its stakeholders of the Western Cape Province. The goal of the National Development Plan was the "*achievement of a decent standard of living*" for the citizens of the country. In order to action the expectations as outlined in the National Development Plan, it was crucial that adequate controls were in place to ensure that risks which government faced were appropriately managed. In order for Departments to perform on their mandates and to give effect to the strategic priorities a thorough understanding of the changing world was crucial. This required a fundamental understanding of the risk landscape which might affect the achievement of strategic priorities and stated objectives. Should the government be faced with a disruption, citizens needed to be guaranteed that service delivery would be continued. To achieve this required the assurance that government was well run, not only were they adequately prepared but they had systems and processes in place that enabled continuity. This assured that well run government organizations were those that were able to achieve strategic objectives, had the commitment of its leadership, were able to manage risks, had the ability to continue to provide critical services, manage disruptions to have limited impact and downtimes. It could therefore be stated that the literature reviewed concluded that business continuity was a governance issue. Legislation placed responsibility on the management of the Western Cape Government to ensure continuation of business. To drive business continuity required influencing existing management processes (strategic planning process, governance and enterprise risk management). Supportive of a holistic approach was the integration of business continuity with risk management processes, it

resulted in improved decision making and influenced budgetary processes. Ultimately the level of preparedness to deal with disruptions would greatly be improved. It could be safely assumed based on the review that the Government led by National Treasury was seeking to institute a government wide approach in respect of government's continuity, resilience and capability in the achievement of Constitutional imperatives and service delivery in the event of a disruption.

Chapter 3 outlined how the process by which the research would be conducted. The research methods and instruments used to gather and analyse the data collected would be discussed in greater detail.

CHAPTER 3

RESEARCH DESIGN AND METHODOLOGY

3.1 INTRODUCTION

In chapter 2 the appropriate literature relevant to the study were identified for critical evaluation. The literature review directed and justified the research objectives and questions. Chapter 3 provided an opportunity to justify the process by which the research questions were answered. In chapter 3 the means by which the data was collected and how it would be analysed were outlined. The aim was the development of improved understanding process in respect of methodology; design; instruments; sampling; collection of data; data capturing and the analysis of data. It would also allow critical evaluation of the validity and accuracy of the overall study.

It was anticipated that the outcome of the research would provide the government of the Western Cape with an improved understanding of the current business continuity landscape in relation to their preparedness and the factors affecting such. The procedures employed to conduct the research was outlined in the remainder of the chapter.

3.2 RESEARCH METHODOLOGY

Welman, Kruger and Mitchell (2005:2) provided that research methodology deliberates and explains the reasoning underlying research methods and techniques. The purpose of the section was to explain the purpose of research methodology in defining the research paradigm that informed the study and the identification of the appropriate methodology in respect of quantitative versus qualitative.

3.2.1 Overview

Rajasekar, Philominathan and Chinnathambi (2013:2) defined research as a rational and methodical search for new and useful information on a specific topic. Effectively it is an investigation geared to finding a solution to a problem through objective and systematic analysis. Henning, (2013: 12) stated that research could not be effective in a theoretical void even though it might be exploratory. Rajasekar et al (2013:5) defined research methodology as the detailed procedures to find a solution to a problem. It provides the work plan of research.

Rajasekar et al (2013:2) further explained that research methodology was a methodical way in which to explain a problem. It was concerned with how the research was carried out. Research methodology was defined as the methods to gain knowledge. The purpose was to provide the

arrangement of work of research. The most appropriate methodology, which had been chosen in determining the how (how is it a problem) and what (what is the problem) in relation to the problem, would therefore be validated.

Welman, Kruger and Mitchell (2005:ix) pointed out that research methodology explained the nature and process of research in order to find the answers to specific research problems.

3.2.2   Research Aims

The aim of the research was to determine how business continuity was currently managed in the Western Cape Government.

3.2.3   Research Paradigm

Research in the opinion of Maree (2013:4) was founded on basic assumptions about what constituted "*valid*" research and which methods were appropriate – for a particular reason and in a particular context. To decide what constituted "*valid*" research, one should be able to answer at least four questions:

- What was truth / reality (ontology)?
- What was the nature of phenomena (objects)?
- How could we know (epistemology)?
- What was the relationship between the knower and the known?

Patel (2015) provided that a research paradigm was "*the set of common beliefs and agreements shared between scientists about how problems should be understood and addressed*" (Kuhn 1962). Figure 3.1 (Patel 2015) illustrated the relationships within the research paradigm:
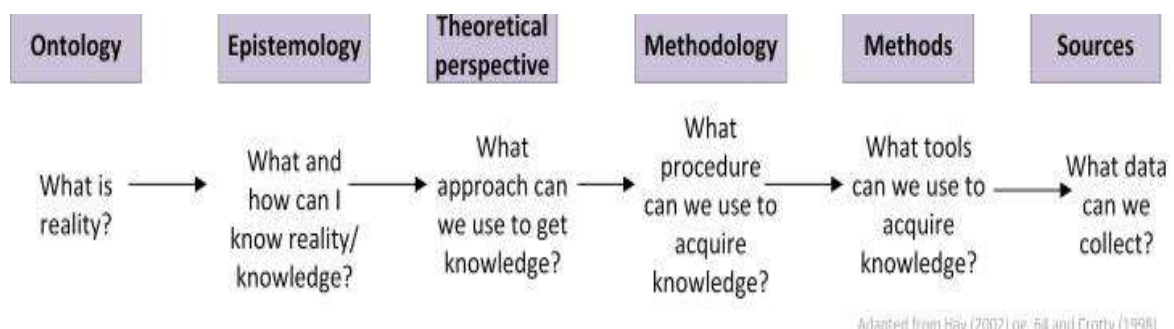
Figure 3.1: Relationships within the research paradigm
Source: Patel (2015)

Chilisa and Kawulich (2012:2) provided that certain paradigms may be associated with certain methodologies. Chilisa and Kawulich (2012:3) further stated that methodology provided a summary of the process for research, simply put, how the research would proceed. When selecting a methodology, it started by choosing the paradigm that would inform the research. Figure 3.2 (Chilisa 2011) captured the factors influencing the choice of a paradigm.
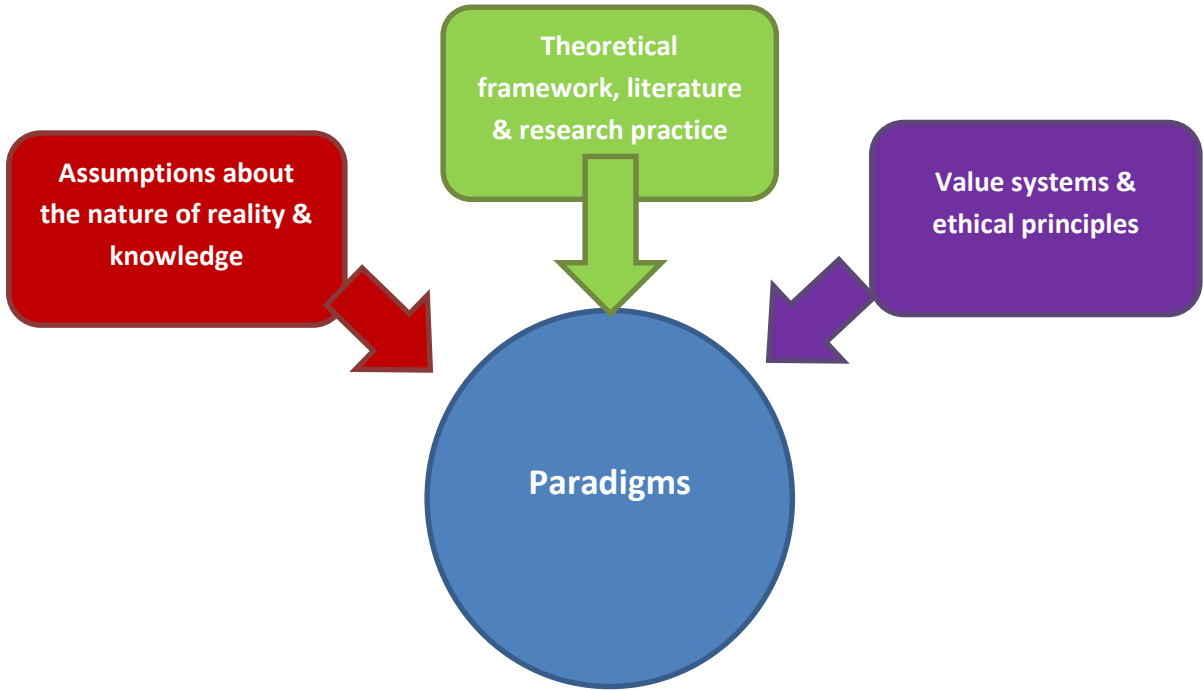
Figure 3.2: Factors influencing the choice of a paradigm
Source: Chilisa (2011)

De Vos et al (2011:309-311) provided that there are varied perspectives or approaches to design the research reflecting the relationships within the research paradigm. The varied perspectives within the research paradigm was outlined in Table 3.1 (De Vos et al, 2011).

Table 3.1: Evolving research perspectives -

Paradigm	Ontology	Epistemology	Methodology	Methods of data collection & analysis	Report/writing style
Objectivism **Positivism**	Objectively discovering the life world of subjects	Interpretation comes from the researcher's point of view. Meaning can be discovered with	Ethnography and Phenomenology	Observation of the participant interviewing of the participant	Describe the events of the day as encountered in the field.

		the right methods.			Real stories and the relay the other's story
Interpretivism **Modernism** **Realism**	The real world can be found by means of an orderly, interactive methodical approach	Knowledge comes from the realization of signs and meaning (symbolic interactionism)	Grounded theory	Data collected through observations of the participant, documents, questioning. Analysis executed systematically.	The researcher provides an understanding in respect of the behaviour displayed, the context and interpretations given to the life world of the subject
Constructivism **Postmodernism** **Impressionism**	There is no truth out there, only a narrative truth. Reality is only known to those who personally feel it	Those who are personally experiencing it construct knowledge through a process of self-conscious action	Newer forms of ethnography: author-ethnography, collaborative inquiry (PAR), appreciative inquiry, personal-reflexive ethnography, narrative inquiry	Interviews, observations by participant, documents, narratives that are personal, lived experience that has been lived,	Requires the reader to be emphatic

Source: De Vos et al (2011)

De Vos et al (2011:309) further explained that the **objectivism approach** allowed for objective study and was founded on the belief that there is an external reality. Objectivity referred to the ability to recognize things as they really were. If specific methods were followed it would place the required checks on being subjective, to refrain from emotions and personal judgment. This perspective is dominant in the quantitative paradigm.

De Vos et al (2011:309–310), went on to explain that there was an essential difference in the subject matter of the social sciences and the natural sciences, a belief which was held by the Interpretivists**.** This resulted in a different methodology being required for an interpretive understanding and explanation. It required the social researcher to value the subjective meaning of the social action. It was assumed the participants found meaning when reality was interpreted through their life experience. The view of Astalin (2013:118) provided that how the phenomena of interest is interpreted, experienced, known, created or constituted is what the interpretivist position is concerned with. De Vos et al (2011:310-311) held the belief that "out there" there is no truth was held by the Constructionists. A narrative reality therefore existed that can transform continuously. This approach required subjects to be active participants with the reality being the result of the process being constructive.

The author deemed the Interpretivist approach as the most appropriate for this particular study. Not only was this approach value laden but it would allow for the exploration of the theory and

obtaining rich in-depth data from the participants. It allowed for the contextualization of the problem as it related to the business continuity processes within the government of the Western Cape.

3.2.4 Research Methodology: Quantitative versus Qualitative

The greatest significant methodological option was founded on the difference between quantitative and qualitative data. Streefkerk (2019) indicated that that data using the quantitative method was in a numerical format whilst the narration or explanation using language or illustrations was used in the qualitative method. Streefkerk (2019) also maintained that the collection of quantitative data might be more uncomplicated to collect and analyse as it was based on a larger sample. Data that could be 'objectively' measured formed the basis of the quantitative method. The quantitative method used numerical comparisons and statistical analysis as a method to analyse the data collected. It appeared more objective and appealed to those seeking clear cut responses to questions looking at the effect of one thing on another. Software could be used for quantitative analysis making it much quicker. Quantitative analysis usually had a large number of participants and made provision for a wider group than the sample chosen for the research. The use of statistics (organizational records) and questionnaires were the most favoured method.

De Vos et al (2011:65) stated that the research for the qualitative paradigm in its broadest sense referred to research that elicit participant accounts of meaning, experience and personal impressions. The descriptive data produced was either in spoken or the own written words of the participant. Qualitative research was concerned from the viewpoint from an insider with describing and understanding; naturalistic knowledge and the subjective exploration of reality. Non-statistical methods and purposive selection of a small sample was relevant for qualitative research.

In the view of Henning (2013:5) qualitative research denoted the choice of inquiry where the phenomenon's traits, qualities or the features are examined for an improved understanding and interpretation.

3.3 RESEARCH DESIGN

3.3.1 Overview

De Vos et al. (2011:312) stated that research design was focused on the final result and the steps in the process to achieve the result. There were various designs used for qualitative research that were dependent on the aim of the research, type of the research question, skills and the resources available.

Vosloo (2014:316) viewed the design for research as the practical plan where linkages existed between certain research procedures and methods. This was necessary in order to obtain a valid and reliable body for ground analysis, the formulation of theory and conclusions.

The research design therefore provided a framework for research that guided the procedures, outcomes and set the base for interpretation.

3.3.2 Qualitative Research Designs

De Vos et al. (2011:312-313) specified five (5) types of research design: narrative biography, ethnography, phenomenology, grounded theory and case study. Table 3.2 described the five (5) Qualitative Research Design alluded to by De Vos et al. (2011:312–313).

Table 3.2: Qualitative Research Designs

No.	Research Design	Brief description
1	Narrative biography	Exploring individual stories to describe the lives of people (Hernandez, n.d.)
2	Ethnography	Exploring the shared culture of a group of people (Hernandez, n.d.)
3	Phenomenology	Study of a phenomena – describing something that exist as part of the world. Commences with the recognition that there is a gap in our understanding (Safi, 2013:8)
4	Grounded Theory	Exploring common experiences of individuals to develop a theory (Hernandez, n.d.) Simultaneous collection and analysis of data (Safi, 2013:12)
5	Case Study	Case studies can be both quantitative and qualitative Exhaustive analysis of a single or small number of units Safi (2013:8)

Source: De Vos et al. (2011:312–313)

Regoniel (2017) also held the view that research design was essentially a plan, a 'blueprint' that guided how data was to be collected to attain the goals of research, using existing information as the basis on which to generate new information.

The plan detailed the process and tools to collect the data, measuring the phenomenon associated with the variables; the application of statistical analysis on the obtained data. It was the intention that the research questions would be answered when instituting the plan.

The author held the view that the Grounded Theory was the most suited design for this particular research study. The Grounded theory allowed for the simultaneous collection, coding and analysis of the data. Samuel (2011) presented that the Grounded Theory approach was iterative which meant that data collection and analysis were done in tandem, which resulted in the repeat referral back to each other.

3.3.3   Research Questions

The development of effective qualitative research questions according to Agee (2009:431) required reflection and interrogation. Agee (2009: 432) went on to state that the research questions needed to express the intentions and viewpoints of those involved.

3.3.4   Purpose of Research

Welman, Kruger and Mitchell (2005: 23) held the belief that the aim of research was threefold:

- to **describe how** things are, in other words, define the character of the object of the study;
- to **explain why** maters are the way they are; and
- **predict phenomena**, with the aim of using this information.

3.3.5   Aims and Objectives of the Study

The Research Methodology website (n.d.) provided that formulating the research aim and objectives were important elements for the research study. Simply put, the aim and objectives of the research decide the overall direction and extent of the research. An answer to the research question was made possible by the achievement of the aim of the research. The research aim is divided in several parts as the objectives of research and attempts to address the parts separately. The aim of the research spells out what needs to be deliberated. The objectives of research consist of steps that will deal with how the aim of the research will be achieved.

The **aim** was therefore to explore the current business continuity processes within departments with the following **Objectives**:

- Identify current business continuity processes within Western Cape Government departments;
- Evaluate the current business continuity processes within Western Cape Government departments;
- Critically analyse existing business continuity documentation used within Western Cape Government departments;
- Identify the linkages between business continuity and Resilience.

3.4 RESEARCH INSTRUMENTS

3.4.1 Overview

The aim of this section was to identify the most suited research instruments to elicit qualitative data required to render the research process as valid. EBSCO Connect (2018) defined research instruments as the tools used to collect, measure and analyse data related to the subject.

De Trigueros (2017:1) held the view that the research objectives determined which qualitative tools were the most appropriate. In choosing the most appropriate tool the following questions could prove helpful:

- What are you intending to find out?
- How observations of the target population would be executed?
- What´s the most appropriate method to observe specific variables or indicators?

Suter (2012: 350) explained that in order to satisfy the triangulation principles and to improve the trust in the legitimacy of the conclusions of the study, the view was that the qualitative analysis of text is supplemented with other sources of information. The crosschecking of different sources of data and the collection procedures to evaluate the degree to which all the evidence coincides forms part of the triangulation method.

The use of semi structured interviews, focus groups and observation, more specifically documentation was considered the most appropriate qualitative research approaches in finding a solution to the problem.

3.4.2 Qualitative Data Collection Methods

3.4.2.1 Individual Interviews

The University of Leicester (n.d.) provided that the approaches for the collection of for qualitative research usually involved: interaction with individuals directly, one on one basis; or interaction with individuals as part of a group in a direct manner. An advantage of the qualitative approach was that the facts was usually richer having profound insight into the phenomenon being studied.

The leading methods to collect qualitative data were: Individual Interviews, Focus Groups, Observations, Self-study and Action Research. These methods were described in further detail:

The University of Leicester (n.d.) explained that interviews could be unstructured, semi structured or structured. Table 3.3 (University of Leicester) presented the differences between the types of interviews.

Table 3.3: Types of interviews

Unstructured	Semi structured	Structured
• Comprehensive interviews • Not fully structured • Topics discussed were limited • Interview questions by the interviewer may be founded on the interviewee or the previous response • This allowed for the covering of all areas in greater detail • Involved wanting to know more about a specific topic	• At times referred to as focused interviews • Questions are open ended • A series of broad questions might prompt the interviewee • Opportunities to discuss the topic in greater detail is provided due to the open-ended nature of the questions • Allows the interviewee to be prompted to elicit more information	• Same questions phrased to all of the participants in the same manner • Very structured with tight schedules • Questions might be phrased to obtain limited range of responses • If the schedule is too tight or very structured might result in the phenomena not being explored in its entirety

Source: University of Leicester

The type of interview used for this particular study was the use of semi structured interviews. The semi structured interview allowed for more detailed discussion in respect of the questions posed. To achieve this the author used open ended questions. The author was able to prompt the participants to provide more information or elaborate on a thought.

3.4.2.2   Focus groups

The University of Leicester (n.d.) explained that when one wanted to obtain information from groups opposed to individuals the focus group was the ideal method.

Having interviews with groups were useful as it was ideal when resources were limited were available, limited finances, not a lot of time available and the number of people needed. It allows for greater insights into the dynamics of the group specifically looking at the causes and consequences. Allows for collective engagement in order to understand a specific phenomenon, greater understanding of the circumstances, opinions of others and the behaviours displayed in this regard.

The purpose of the focus group was to draw on the feelings of participants, views and beliefs. This method requires the use of a range of skills by the researcher, for instance, facilitation, moderation, skills to work with groups, listening skills and observation skills, as well as the ability to analyse.

The use the focus group as another source of data as used for this particular study. These proved to be useful in that the participants had something in common which were important for the study.

3.4.2.3 Observations

The University of Leicester (n.d.) explained that the observations may take place in a familiar and comfortable setting where the researcher would take lengthy and descriptive notes of what was taking place. However, it was argued that there were limits to the circumstances that could be observed in familiar surroundings and the occurrence of the research may lead to issues with validity. The limitations may include: participants changing their behaviour when they know that they were being observed; the researcher might miss something while they were busy watching and taking notes; making judgments of value statements or misunderstandings of what had been observed.

It might be required of the researcher to become a participant observer, to be recognized and further comprehend the mechanisms of the social phenomenon. The **techniques** used for the **collection of data** through observation were listed below:

1. Written descriptions

    ✓ Written accounts of the people, circumstances or situations;
    ✓ Limitations include: while taking notes one could disregard an observation, could be focused on specific events or situations, allows for the interpretation to be subjective.

2. Video recording

    ✓ Notes can also be recorded;
    ✓ A limitation would be that people may feel restricted and act unnaturally in front of the camera at times even trying to evade the camera;
    ✓ The camera may not capture everything in its entirety.

3. Photographs and artefacts

    ✓ Convenient when gathering observable information;
    ✓ Artefacts (include objects of meaning).

4. Documentation
    ✓ Documents relevant in order to extract information.

3.4.2.4 Self-Study

Self-study could be used when one wants to observe an area of one's work to get a response or gain improved insight.

3.4.2.5   Action Research

Action research involves performance of doing it. The researcher will make sure it happens, the active involvement in the scheduled intervention. Action research allows for collaboration and practical intervention.

For this particular study documentation as a source allowed for the interrogation of content to determine commonalities, approaches of departments aligning to the ISO standard.

3.5   SAMPLE FRAME AND SAMPLE DESIGN

3.5.1   Overview

In the previous section the appropriate research instruments were identified. Before data could be collected using the sources identified, required the identification of the specific target group who would be best suited by virtue of their position to provide an informed and knowledgeable response to the research questions. This section set out to action this by firstly explaining the terms population, sampling, and finally the reasoning for the addition of the specific group to participate in this particular study.

3.5.2   Population

De Vos et al. (2011:223) provided that the population was concerned with the totality number of persons, relevant units in the organization which was involved with the research problem.

Welman, Kruger and Mitchell (2005:52) indicated that the population was the research subject and comprised, for example, individuals, groups, institutions and human products. A research problem related to a definite population. The total group of the measurement of analysis where specific conclusions needed to be made was encompassed in the population.

In the opinion of Mouton (1996:135) defining the population was a two-step process: firstly, the target population (target population to which one wishes to generalize) must be identified; secondly the sampling frame must be developed. When defining the target population there were two important considerations; the scope of the prearranged generalization and the practical elements of drawing the sample. Once the target population has been defined, it must be made operational through the development of the sampling frame. The set of cases from which the sample will be drawn will be referred to as the sampling frame. Simply put the sample frame is a list of those within your population that could be sampled. Figure 3.3 illustrated the relationship between the population, sampling frame and sample.
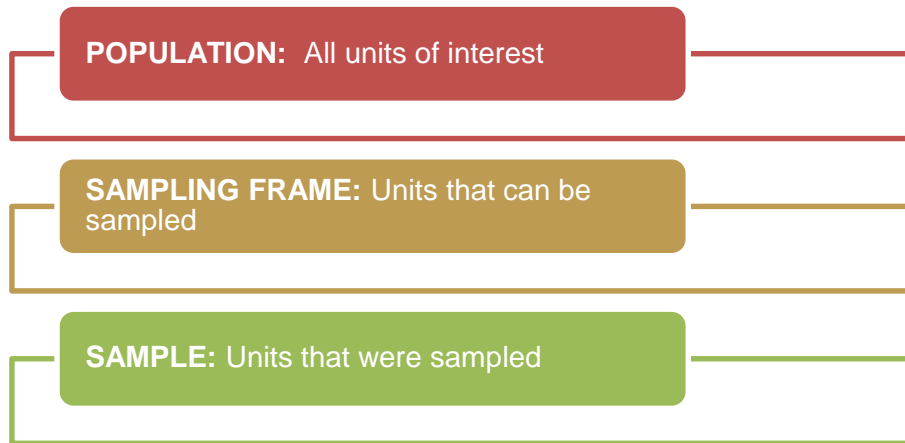
Figure 3.3: Relationship between population, sampling frame and sample
Source: Author's own construct (2019)

The author identified the target population (unit of analysis) for this particular study as the departments of the Western Cape Government. The sampling frame included all those required to ensure the continuation of business within the business units of departments.

3.5.3   Sampling

Welman, Kruger and Mitchell (2005:55) provided that the population was a group of possible participants to whom you want to generalize the results of a study. Once the results could be mapped from a sample would the results of the research have meaning. The sample must therefore be characteristic of the population from which it was selected. Welman, Kruger and Mitchell (2005:56-57) maintained that one could distinguish between samples. There were probability and non-probability samples. In probability sampling any object or individuals of the population would form part of the sample. In non-probability sampling one could not specify this probability. Non-probability sampling was often used as it was convenient and more economical.

To attain the required understanding when choosing, the qualitative sampling types were further explained.

3.5.3.1   Qualitative Sampling Types:

Mack, Woodsong, Macqueen, Guest and Namey (2005:4, 5) stated that the qualitative method provided more flexibility and provided a more in-depth understanding. The three (3) most common types of qualitative sampling were identified as: purposeful sampling, quota sampling and snowballing sampling.

- **Purposeful (Purposive) sampling** was the most favoured sampling strategy. Participants were chosen based on predetermined criteria founded on the research question. Creswell (2007:125) as cited in De Vos et al (2011:392) stated that purposive sampling allowed for the selection of participants and sites that could purposefully inform an improved comprehension of the research problem.

- **Quota sampling** was a technique where participant allocations were pre-set before sampling. The researcher attempted to collect data from quite a few chosen participants that met particular characteristics.

- **Snowball sampling** was also expressed as chain referral sampling. Referrals to others who might be able to possibly contribute or partake in the study were done by participants. This has often helped researchers discover and enlist participants that might be hard to reach in other ways.

Non-probability sampling, specifically purposive sampling was the sampling type in the authors opinion that would be the most effective. Creswell (2007:125) as cited in De Vos et al (2011:392) stated that purposive sampling allowed for the selection of participants and sites that could purposefully inform an understanding of the research problem. The sample would therefore constitute representatives from the respective departments.

3.5.3.2   Sample size

Welman, Kruger and Mitchell (2005:71-72) maintained that when determining the sample one needed to be mindful of the following factors:

- Population size – to ensure satisfactory results would require a relatively larger sample from a smaller total population;
- Size of the sample – this was not solely dependent on the population size but on the variance variables. A larger sample will be required if the variance variable was large;
- Strata of the population vary in size and heterogeneity – size of the relevant samples we take from to be adjusted; and
- Number of units of analysis – units of analysis from which usable data may be gotten could be lesser than the number that was originally selected – recommended that a bigger sample should be selected than what was required for the data to be complete in the end.

The Western Cape Government comprised thirteen (13) government departments; each department established to serve a specific purpose. The participation of six (6) departments was

thought to be adequate to be elicit reliable and valid data. At least one (1) representative per department was required to partake in the semi structured interview for the process to be viewed reliable and valid. The documents required for analysis related to the six (6) participating departments.

Western Cape (South Africa). Department of the Premier (2016:30) appointed a specific department to support provincial government departments in the Western Cape to draft business continuity plans as part of its oversight role. These officials constituted the focus groups, two (2) focus group discussions were held based on the availability of the participants. These officials were operationally functional within departments and best suited to provide further insight in relation to their experiences in respect of the management of business continuity. Not only would their participation elicit whether they were functioning at the required levels in providing the support needed by departments. It would also provide an opportunity to gauge their level of understanding of business continuity management and their ability to impart knowledge and the implementation of such. The team consisted of twelve (12) individuals. 50% of individuals participating would be considered sufficient to extract enough information to render the process reliable and valid.

3.6   DATA COLLECTION

3.6.1   Overview

The previous sections identified the most suited research instruments and sample from which to gather data. This section attempted to explain the process embarked on to collect data.

Rouse (2016) defined data collection as the process of gathering information from all applicable sources to find responses to the problem, test the hypothesis and evaluate the outcomes.

3.6.2   Data Collection

According to the University of Leicester (n.d.) qualitative interviews ought to be moderately informal, participants should have the sense that they were taking part in a conversation or exchange opposed to a formal question and answer session. There was a skill required and involved in successful qualitative research approaches, this requires careful consideration and planning. For the research to be of outstanding quality requires careful preparation and thought, drafting of a schedule for the interview, leading the interview and the ability to analyse the data

with thought and consideration. Figure 3.4 illustrated the data sources used for this study.

Figure 3.4: Data Sources
Source: Author's own construct (2019)

3.6.2.1   Data collection: Semi structured interviews

Maree (2013:87), maintained that the semi structured interview was generally used to validate data coming from other data sources. It allowed for the probing and clarification of answers.

De Vos et al (2011:351-352) explained that the use of semi structured interviews allowed for gaining a thorough depiction of a participant's views about, or opinions of a particular topic. The method allowed for much more flexibility in that follow up questions could be posed to allow the participant to provide a fuller picture. An interview schedule was developed with a number of pre-established questions. The interview should not however be dictated by the schedule but somewhat guided. Issues that might not have been thought of could possibly be introduced by the participant. Seen to be the subject experts, participants were allowed the maximum chance to share their story. An interview schedule was the written questionnaire used to guide the interviews. The interview schedule provided a set of pre-established questions that could be used as a method to engage the participant (Holstein & Gubrium 1995: 76; Monette et al. (2005:178). The questions should be related to the area to be addressed in the study. The use of questions that were open ended should be used. Open ended questions facilitated free expression by participants. The questions should be neutral, jargon and ambiguous questions should be refrained from.

De Vos et al (2011:353) provided guidelines to conduct the semi structured interview. Participants are to be made comfortable and relaxed, the interview should be facilitated and guided opposed to dictating. The participant should have a strong part in determining how the interview proceeds.

The author developed the interview schedule by designing the questions based on the research problem. Due to nature of the work and position participants had limited time available for the interviews. A date and time was therefore set that suited the participant and the interview was conducted at their respective offices, which was more convenient. The interview schedule was practiced beforehand to determine the time required.

The pre-set questions were posed to the participants during the interview. Participants would be allowed to provide answers in their own words and provided an opportunity to expand on their statements and/or viewpoints provided. Descriptive answers would be derived during the interview and take the form of written words. This collection method was deemed ideal for obtaining comprehensive and comparable data. The same questions were posed to all participants. A request to record the interview was made to participants. This would ensure that all statements have been correctly captured and reflected in the descriptive narrative. Not all participants were in support of having the interviews recorded. The author therefore greatly relied on the notes taken during the interviews. Figure 3.5 illustrated the data collection process for the semi structured interview.
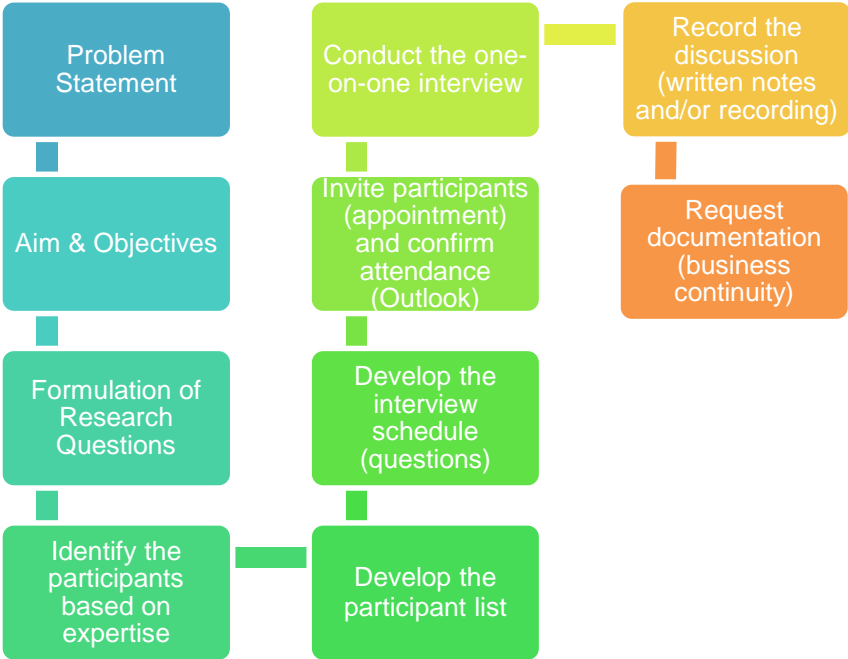
Figure 3.5: Data collection process: Semi structured interview
Source: Author's own construct (2019)

3.6.2.2   Data collection: Focus Group

Welman, Kruger and Mitchell (2005:201-203) described focus groups as a comprehensive interview of groups. The groups usually consist of a handful of individuals. The individuals are

brought together with the aim to have opinions around a specific list of open questions expressed. Responses could also extract responses from between the members of the groups. As in the semi structured interview a list of pre-established questions was developed on an interview schedule.

The interview schedule guides the interview. Not more than 10 – 12 questions should be posed during the focus group interview. The following type of questions could assist: main; leading; testing; steering; indirect; factual; emotional and anonym.

Maree (2013:90) stated that the interview strategy for the focus group was founded on the basis that the interaction within the group would be constructive in broadening the spectrum of responses, triggering details that could have been forgotten, and the release of hindrances that could discourage the disclosure of information. Discussions were focused on debate, even conflict encouraged. The dynamics of the group supported the generation of data. The dynamics of the group become an integral part of the process as the discussion within the group takes place with each other. Participants in the focus group build on the ideas of the other, the comments elicit a detailed view that might not have been possible from individual interviews. It also allowed for unanticipated commentary and new viewpoints to be explored much easier and be a value add to the research.

Krueger (2002:1) provided that participants should carefully be recruited and should be similar types of people, environment should be comfortable arranged for circle seating and tape recorded; the moderator should use predetermined questions and establish a permissive environment.

The author determined that the data collected during the discussions with the focus group would take the form of spoken words. The focus group discussion would be captured both in writing and recorded. A set of prearranged questions was developed to guide the discussion in relation to the research problem. Meticulous and concise notes were taken. Probing questions to elicit conversation and possibly debate was stimulated. Robust and participative engagement was encouraged. The sample was divided into two (2) groups based on the availability of the individuals. The author not only relied on notes of the discussions but also requested to record the session which was agreed to by the participants. The author therefore relied on the notes and transcription of recordings. Figure 3.6 illustrated the data collection process for the focus group.
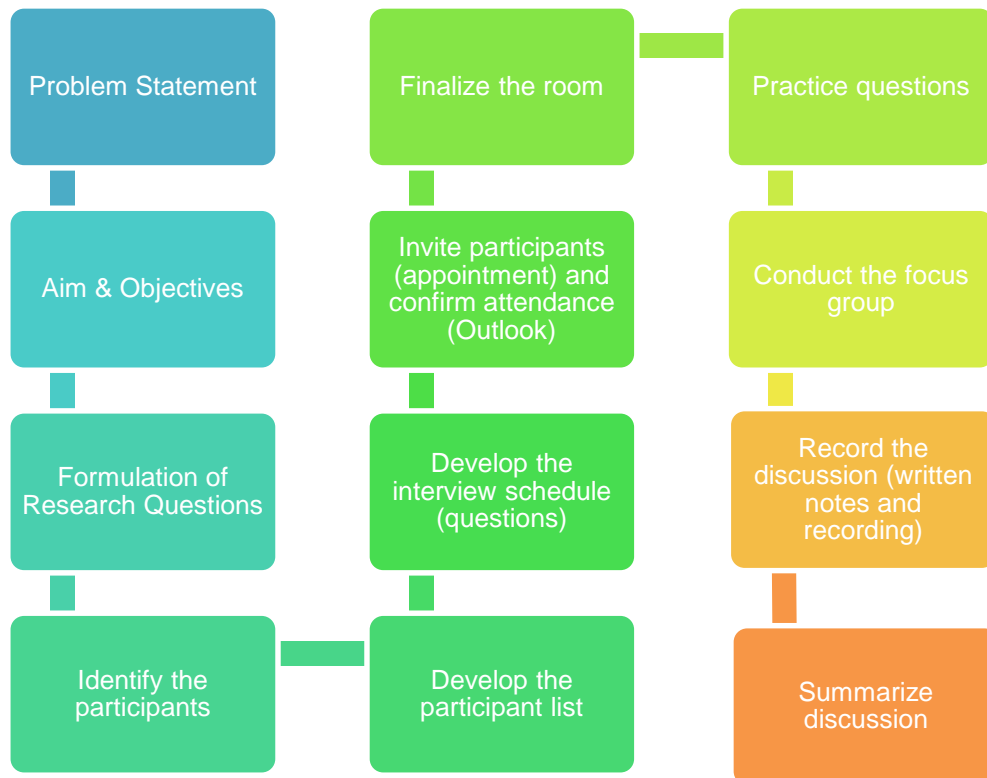
Figure 3.6: Data collection process: Focus Group
Source: Author's own construct (2019)

3.6.2.3 Data collection: Documentation

Triad 3 (2016) claimed that document analysis was a form of qualitative research. The documents were translated to give expression and significance in relation to an assessment topic (Bowen, 2009). Documents were manageable and practical resources; therefore, document analysis was viewed as an efficient and effective way to collect data. The documents were seen as being a very accessible and reliable source of data. Documents were viewed to be stable and non-reactive sources of data. This meant that the documents could be read and examined a number of times but remained the same by the research process.

According to Bowen (2009:29-30) documents served an array of intentions as part of a research undertaking. It provided context, supplementary research data and a way to track modifications and advancement. The information found in the documents suggested questions that needed answering and situations that needed to be observed. The analysis of documents could result in findings being corroborated and verified. The author requested the following business continuity documentation from the six (6) participating departments to allow for comparative analysis: Business Continuity Policy, Business Impact Analysis, Risk Assessment and signed copy of the

Business Continuity Plan. The choice of documentation was in line with the requirements of the ISO 22301: 2012 standard. In order to conduct a proper analysis aligned with the ISO 22301: 2012 standard required consulting the annual performance plans of departments, especially relevant when it came to the business impact analysis. The limitation extended to elements from Plan-Do of the model. Figure 3.7 illustrated the data collection process for documentation in relation to the Plan Do Check Act Model of ISO 22301: 2012.
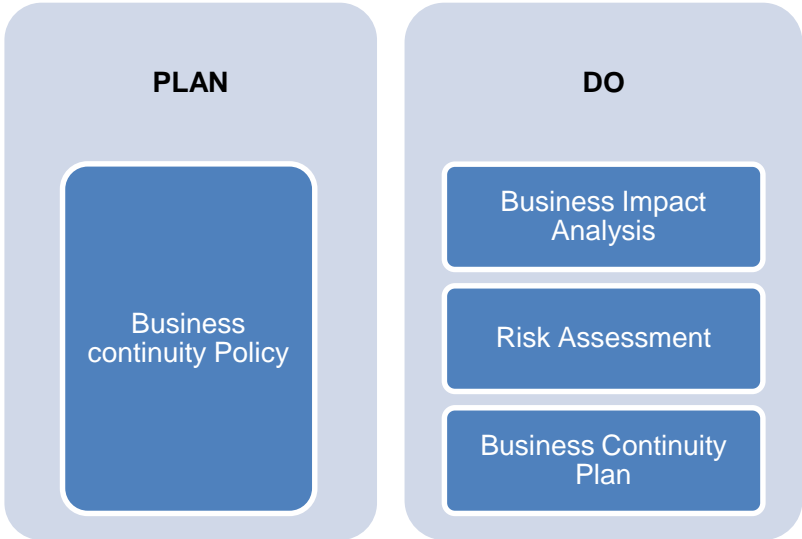
Figure 3.7: Data collection process: Documentation in relation to the Plan Do Check Act Model of ISO 22301: 2012
Source: Author's own construct (2019)

A considerable amount of data was produced during qualitative research. It was therefore essential to ensure the easy recovery of data for detailed analysis at a later stage. To support this type of collection of data, notes were taken during the interviews as well audio recordings and transcriptions where deemed appropriate and with the necessary permission to do so.

The following assumptions based on the literature review, informed the development of the interview schedules (questionnaires) for the semi structured interview, focus group and request for documentation:

• South Africa. National Treasury (2018:8) would be using ISO 22301: 2012 as the basis for the draft Government and Continuity Strategy for all spheres of Government;

• ISO 31 000: 2009 as the risk methodology adopted by National Treasury for all spheres of Government;

3.7 DATA CAPTURING AND ANALYSIS

3.7.1 Overview

The previous section explained the data sources for the collection of the data, this section sought to explain the process of analysing the data collected.

3.7.2 Process of Qualitative Data Analysis

Nigatu (2009:24) presented that the analysis of qualitative data is the series of processes and procedures where the qualitative data that has been gathered is changed to explain, understand or interpret the people and situations being investigated.

This section explained the different approaches, types and phases to conduct the analysis.

It was the belief of Maree (2013:99) that qualitative data consists of words and observations. The aim was to interpret and make of what was in the data. Nigatu (2009:34) presented that the organization of the data required the following: transcription, translation, cleaning and labelling of the data.

De Vos et al (2011:404) maintained that the data must be recorded in an organized manner, suited to the situation, research participants, or both and that will enable analysis before data collection commences. Samuel (2011) presented that the preparation and organizing of data involved transcribing the interviews, typing up of the notes taken in the field, arranging and organizing the data into distinctive types. Once the transcription had been completed it required reading the data to gain a common sense of the information, think deeply on the overall meaning, determining the general ideas of the participants, writing notes on the side, recording of thoughts around the data.

Henning (2013: 6), was of the view that the data collected needed to be documented to go through the process of analysis. Welman, Kruger and Mitchell (2005:211) maintained that to analyse the rough field notes, required processing of the notes. This involved writing up the notes into understandable products that could be read, checked for accuracy, commented on and analysed. Welman, Kruger and Mitchell (2005:199) described field notes as the detailed notes and observations that was made by the author. The notes should comprise of everything that was said in the interview, the use of a tape recorder would be useful for this purpose.

The descriptive data (words) would be interpreted which would facilitate the understanding of participant perspectives. The data would be analysed in order to identify whether trends and/or patterns existed. Once completed a descriptive narrative would be compiled which would provide Western Cape Government departments with an improved understanding of the extent of the problem and allowed for the facilitation of appropriate mitigations.

Therefore, to summarize the author, provided that this step entailed the transcription of the recorded data, typing up of the notes taken in the field, arranging and organizing the data into distinctive types depending on the source of the data. Table 3.4 was the template to be used to transcribe the data gathered during the semi structured interviews.

Table 3.4: Template to tabulate findings: semi structured interview

DEPARTMENT _____: PARTICIPANT _____	
Research Question 1 (Q1):	
Response Q1:	

Source: Author's own construct (2019)

Table 3.5 was the template to be used to transcribe the data collected during the focus groups.

Table 3.5: Template to tabulate findings: focus group

FOCUS GROUP 1:	
Question 1:	
Response Q 1:	

Source: Author's own construct (2019)

Table 3.6 was a diagrammatic presentation of the template used to capture the selected documents for data analysis.

Table 3.6: Template to tabulate findings: documentation

Department	Business Continuity Policy Yes / No	Business Impact Analysis Yes / No	Risk Assessment Yes / No	Business Continuity Plan Yes / No
1				
2				

Source: Author's own construct (2019)

3.7.3 Approaches in Qualitative Analysis

Nigatu (2009:25) presented that the two (2) approaches used were deductive or inductive. Table 3.7 illustrated the differences between the two (2) approaches.

Table 3.7: Approaches in Qualitative Data Analysis

Deductive Approach	Inductive Approach
Data collected from the research questions were grouped, resemblances were looked for as well as differences	Used when qualitative research was an important formulation of the inquiry
Used when time and resources are limited	Data was grouped and then looked for relationships
Used with qualitative research. It was a smaller part of a bigger quantitative study	

Source: Author's own construct (2019)

Maree (2013:99) claimed that qualitative data analysis was commonly founded on an interpretative philosophy. It attempts to determine how participants make sense of a specific phenomenon. The views, outlooks, understanding, experiences are analysed through inductive analysis of qualitative data. The main aim is to allow the findings to emerge from the continual, dominant or considerable themes inherent in raw data.

When working through the textual data that is interview transcripts, notes, observations, ideas, concepts and themes could be captured in a systematic way. By doing this it will make it easier to capture the responses to determine the position of departments in respect of the research questions and ultimately giving effect to the objectives. A narrative report with contextual descriptions and direct quotations noted from participants (Gibbs: 2007) would be compiled.

3.7.4 Types of Qualitative Analysis

Nigatu (2009:39) identified the following types of qualitative analysis. Table 3.8 diagrammatically represented the qualitative analysis types.

Table 3.8. Types of Qualitative Analysis diagrammatically represented the qualitative analysis types

Type of Qualitative Analysis	Description
Content Analysis	Categorization of verbal or behavioural data. Categorized with the aim of being classified, narrated or tabulated.
Narrative Analysis	The translated experiences were narrated. All interviews / observations have a descriptive side. Essential was the reformulation of the stories presented by people. The context of the stories was different and founded on different experiences.
Discourse Analysis	Naturally occurring talked exchange and all types of written texts are analysed. The focus was on the verbal articulation of their everyday lives.
Framework Analysis	It encapsulates the following: Familiarization: translation, and reading of the data

	Identifying a thematic framework: initial coding frame developed for priority and emergent issues Coding: number or texts codes to identify definite section of data which relate to different themes Charting: headings from thematic framework was used to create charts Mapping and Interpretation: the search for patterns, combinations, and clarifications in the data
Grounded Theory	Examining a single case from a 'pre-defined' population. An overall declaration about the population was formulated. Another case would be examined to determine whether the hypotheses fits the statement.

Source: Author's own construct (2019)

The author used the framework analysis as the method of analysis for the study.

3.7.5   Framework Analysis

As believed by Gale, Heath, Cameron, Rashid and Redwood (2013) the Framework Method sits within a broad family of analysis methods often terms thematic analysis.

Samuel (2011) further explained that thematic analysis involved the search for themes from data collected. Samuel (2011) defined a theme as similar to a group of codes. The codes should recount the concepts from the review of the literature. A typical strategy should be to use a Framework, as it was a matrix for ordering and producing data. The themes were then expressed in a matrix. The themes and subthemes were the outcomes of a reading and re-reading the transcripts or field notes in depth.

Bowen (2009:32) defined thematic analysis as the recognition within the data a pattern with themes emerging. The categories of analysis would be created from the emerging themes. The process required careful, attentive, and more focused re-reading and re-examination of the data. The data was then coded and eventually became themes. Table 3.9 (Adu, 2016) Presenting qualitative results using NVivo output to tell the story diagrammatically presented the main elements, which proved useful to interpret the findings.

Table 3.9: Main Elements: Qualitative Results

Research Question:	State the question you plan to address
Theme	State the theme(s) which is /are addressing the research question
Meaning	Describe what the theme is all about (meaning & characteristics)
Evidence	Introduce relevant information (for example quotes form participants) from the data to support the theme

Source: Adu (2016)

3.7.5.1   Data Analysis: Interviews

Braun and Clarke (2006) as cited by Maguire and Delahunt (2017:3354) provided a six-phase guide for conducting a thematic analysis. The data gathered during the semi structured interview and focus group were analysed using the six-phase guide. Figure 3.8 showed the phases of Braun and Clarkes' six-phase framework.

Become familiar with the data	→	Generate intial codes	→	Search for themes	→	Review themes	→	Define themes	→	Write-up
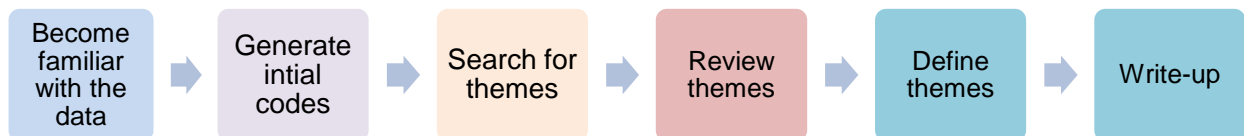
Figure 3.8: Braun and Clarkes six-phase framework for doing a thematic analysis
Source: Author's own construct (2019)

The phases briefly explained:

Phase 1: Familiarize yourself with the data

In accordance with Samuel (2011) this phased required obtaining a common sense of the information. It required reading and re-reading the data in order to become familiar with what the data entails. The making of notes in margins and recording of thoughts would be useful.

Phase 2: Generate the initial codes

It was maintained by Maguire and Delahunt (2017:3355) that during this phase the data needs to be organized in a meaningful and systematic way. When you code, the data is reduced into smaller chunks of meaning.

Samuel (2011) stated that coding was the start for most qualitative research also known as indexing. Coding involved the review of transcripts and the field notes and labelling sections.

Coding also referred to the establishment of categories in respect of the data.

Welman, Kruger and Mitchell (2005:213–214) maintained that once all the information had been compiled and processed, the challenge was reducing the large number of data to workable and understandable texts. The aim of coding was therefore to analyse and figure out the data that had been gathered. Codes were labels that attached significance to the notes collected. The types of coding practice were further explained:

• Open Coding: involved the breaking down, scrutinizing and categorizing data.

- Axial Coding: making connections between categories by putting data back together in a new way after open coding.
- Selective Coding: the process of methodically relating the core category to other categories and validating those relationships. The central issue or focus is the core category.

Phase 3: Search for themes

Ryan and Bernard (2003) maintained that one of the most fundamental tasks in qualitative research was the identification of themes.

Welman, Kruger and Mitchell (2005:211) described themes as an overarching composition which the researcher will identify before, during and after the gathering of the data.

Maguire and Delahunt (2017:3356) defined a theme as a pattern that acquired a thing that was important or interesting about the data and/or research question. A theme is characterized by its importance.

Phase 4: Review themes

Maguire and Delahunt (2017:3358) advised that in this phase the themes were revised, adapted and developed on the preliminary themes that was identified in the previous phase.

Nowell, Norris, White and Moules (2017:9) further provided that excerpts of the coded data extracts were reviewed to form a logical pattern. Braun and Clarke, 2006 as cited by Nowell et al (2017:9) stated that the authenticity of the individual themes would be taken into account when determining whether the themes accurately display the meanings apparent in the data set as a whole. Inadequacies in the coding and themes were revealed.

Phase 5: Define themes

Maguire and Delahunt (2017:3351) provided that during this phase the themes were refined.

Nowell et al (2017:10) provided that the determination of what part of the data each theme captured and the identification of the aspects of interest and why (Braun and Clarke, 2006) happened during this phase. Braun and Clarke, 2006 as cited by Nowell et al (2017:10) provided that it was important that by the end of this phase themes were defined.

Phase 6: Write up the Report

As maintained by Nowell et al (2017:10) the final phase beings once the themes have been fully established and ready for final analysis and the writing up of the report. The report to be logical, coherent, non-repetitive and interesting.

3.7.5.2   Data Analysis: Documents

Bowen (2009:28) stated that the analysis of documents was often used along with other methods for qualitative research as a means of triangulation.

Triangulation as described by Suter (2012: 350) referred to a method used in qualitative research that involved the crosschecking of many sources of data and the collection procedures to determine the extent to which all of the evidence converged. It was not uncommon to analyse the interviews that were transcribed together with any observational field notes and documents. Multiple sources of data served as means to corroborate and converge evidence.

Bowen (2009:32) also provided that predefined codes could also be used during thematic analysis, particularly if the analysis of the document was supplementary to other methods of research used in the study. Codes used for the content of documents may also be applied to the codes used in the transcripts of the interview. These different methods integrate the codes and the themes generated. Table 3.10 (Bowen, 2009) was used to tabulate the analysis of data against predefined codes.

Table 3.10: Document Analysis

Documents selected (predefined)	Data Analysed

Source: Bowen (2009)

3.8   CONCLUSION

This Chapter explained the research methodology and process to be followed. The Interpretivist approach was deemed as the most appropriate for this particular study. Not only was this approach value laden but it would allow for the exploration of the theory and obtaining rich in-depth data from the participants. It allowed for the contextualization of the problem as it related to the business continuity processes within the government of the Western Cape.

The use of semi structured interviews, focus groups and observation, more specifically documentation was considered the most appropriate qualitative research approaches in finding a solution to the problem. The semi structured interview allowed for more detailed discussion in respect of the questions posed. The focus group proved useful in that the participants had something in common which was important for the study. Documentation as a source allowed for the interrogation of content to determine commonalities, approaches of departments aligning to

the ISO standard. The author used the framework / thematic analysis as the method of analysis for the study.

The next chapter will present the findings of the research and the analysis of the data collected using the thematic analysis technique.

CHAPTER 4

FINDINGS AND ANALYSIS

4.1. INTRODUCTION

Chapter 4 was arranged to firstly present the findings by organizing the data collected and then conducting the analysis using the thematic analysis technique.

4.2 FINDINGS

4.2.1 Overview

The purpose of the research was to explore the state of business continuity within the Western Cape Government with a focus on current processes and existing documentation. The intention of the research questions was to provide departments with an opportunity to express how business continuity was facilitated; clarity in respect of processes; determining whether departments acknowledged the advantages of having a business continuity management system in place towards building a resilient Western Cape Government and submission of business continuity documentation for comparative analysis.

The **Findings** section of the chapter was arranged to capture the responses (verbatim) to the research questions in relation to the data sources (semi structured interviews; focus groups and documentation). The findings provided the story in response to the research questions.

4.2.2 Organizing the Data

Maree (2013:99) maintained that qualitative data consisted of words and observations. The aim was to interpret the data. Henning (2013:6), provided that the data collected required to be documented to go through the analysis process. Welman, Kruger and Mitchell (2005:211) maintained that to analyse the rough field notes, required the processing of these notes. Processing entailed transforming the notes into a written account which should be understandable products that one could read, edit or make changes for accuracy, provide comments on and finally the analysis.

The author presented the findings in a tabulated format, first by participant, then research question and finally the participant's response. Each data source was presented separately and titled as such. Each department was allocated a number from 1- 6 as a means of identification.

Representatives from the Departments were referred to as participants and were also allocated numbers as a means of identification and labelled as such. The semi structured interview had eight (8) participants, with Departments 2 and 5 both having two (2) representatives each participating in the study.

Department 1: Participant 1

Department 2: Participants 2 & 3

Department 3: Participant 4

Department 4: Participant 5

Department 5: Participants 6 & 7

Department 6: Participant 8

The participants in respect of the focus group discussions were not identified individually as the sessions were held in a group. The focus group discussions were facilitated by the author. There were two (2) groups and they were identified as Focus Group 1 and Focus Group 2. Each group met separately and responses were translated into written words for analysis.

4.2.3   Transcription of data collected during the:

4.2.3.1   Semi-structured interviews

The Western Cape Government consists of thirteen (13) departments. The study included six (6) Western Cape Government departments. Departments were requested to identify persons who were tasked with the management of business continuity to participate in the semi structured interview. Eight (8) individuals were identified. The data collected were notes taken by author which were transcribed into written words. The author did not record the interviews as the participants felt uncomfortable to do so. In Table 4.1 the transcribed responses of the participants to the research questions, were captured.

Table 4.1: Transcribed Responses: Semi Structured Interview

DEPARTMENT 1: PARTICIPANT 1	
Research Question 1 (Q1):	**The first question posed to the participant was to describe the process his department used to manage business continuity.**
Response Q1:	According to the participant, *"In 2014 they implemented the first business continuity process, units were identified that would experience the biggest impact and business process. Cannot do without in event of an emergency, time constraints, focus was*

	contained on these units. The process was however conducted backwards, as they first drafted the business continuity plan and then conducted the business impact analysis. The reason for this was that it was a requirement at that time to have a business continuity plan. Since 2014 the business continuity plan had been reviewed and kept up to date. The plan is reviewed every year. Business Impact Analysis, the biggest impact on unit. After business continuity training they had a brainstorming session with sister department. They are working on drafting a generic as it would cut across. Currently there are not enough resources. Water BCP was brought on line, brought plan in line, relooked at BCP. This has been the biggest review thus far. In terms of POPIA all personal information was removed".
Research Question 2 (Q2):	**The second question required the participant to explain how their Department identified risks.**
Response Q2:	According to the participant, *"They engaged with units, identified business processes, changed since then, additional responsibilities. Responsible to conduct the business impact analysis. It is facilitated by one person only. Business impact analysis on IT stuff, assisted with the review of the BIA and BCP. Taken on in the last two years, in terms of continuity a dedicated person. Facilitates the BIA and BCP. Business process risks, resources (what the needs are and what is required). Business continuity management training, think broader, impact analysis, though of safeguards, dependencies, identification of stakeholders, better understanding of problem, broaden suppliers, clients, engagement with clients. Important to communicate, relationship is built up".*
Research Question 3 (Q3):	**The third question required the participant to provide where identified risks were reflected?**
Response Q3:	According to the participant, *"Business continuity plan has an IT flavor, Security Manager responsible for ICT plans. Risks finds itself on the enterprise risk management register, CeI and ERM. Quarterly basis discuss the business continuity plan and disaster recovery plan. Both are on the risk register, give input, elevated to ERMCO, labelled as ICT".*
Research Question 4 (Q4):	**The fourth question required the participant to identify who was responsible for the management of business continuity in their department?**
Response Q4:	According to the participant, *"He is responsible for business continuity, it has been standardized, done in a similar manner but the approach is different".*
Research Question 5 (Q5):	**The question posed to the participant wanted to determine how business continuity was facilitated within their department.**
Response Q5	According to the participant, *"Not consistent, making changes to move from hard copy to scanning. Ensure that same message is communicated, not used as a management tool, not using recommendations of the business impact analysis, have a checklist, readiness, set up call trees, 50% fairness, manage it. Follow ups help. Steered thinking, not using as a management took came up with a one pager response, requested that business continuity be placed on agenda of meetings, managers did not share, now communicating through corporate communications. Read documents to know responsibility. Governance management committee, MPAT, taken several times to place on agenda. For threats conduct a probability assessment, most likely to happen. Internal environment looked at the security side of things not really looked at all disasters that could be encountered".*
Question 6 (Q6):	**The participant was requested to explain if they thought that a link existed between business continuity and resilience.**
Response Q6:	According to the participant, *"Yes there is a link, ties directly, resilience makes things work, robustness of recovery plan and business continuity plan to speak to each other. Business continuity plan is to restore business services again. Dry run only when plans are in place. Water BCP draft format, not signed off, not one plan but a separate plan to the business continuity plan, take learnings and incorporate".*

DEPARTMENT 2: PARTICIPANT 2	
Research Question 1 (Q1):	**The first question posed to the participant was to describe the process his department used to manage business continuity.**
Response Q1:	According to the participant, *"Contingency plan, speak to all scenarios possible, include fire, water, any threats, civil unrest. In case of problem what going to do. Consultative process, once document done must be communicated, lead, champion."*
Research Question 2 (Q2):	**The second question required the participant to explain how their Department identified risks.**
Response Q2:	According to the participant, *"ERM process, program manager, risk identified, quarterly meeting, security measures implemented, mitigate risk otherwise review measures, diagnosis not good, not adequately respond. Consultative process, agreement that it is a risk, continuous engagement. Top high risk to lower risk, some can manage not totally eliminate, top risk requires executive intervention. MANCO managing program, manager update, continuous monitoring and process."*
Research Question 3 (Q3):	**The third question required the participant to provide where identified risks were reflected?**
Response Q3:	According to the participant, *"Risk register, safety risk not reflected, people safety – service delivery - safety out of office, identified as a shortcoming, HR & Finance reflected and OHS."*
Research Question 4 (Q4):	**The fourth question required the participant to identify who was responsible for the management of business continuity in their department?**
Response Q4:	According to the participant, *"Security Manager is champion."*
Research Question 5 (Q5):	**The question posed to the participant wanted to determine how business continuity was facilitated within their department.**
Response Q5	According to the participant, *"Consultative process with program manager. What are critical service, cannot do without. Business Impact Analysis and what will be the impact. Each program manager to identify that, hence lengthy process."*
Research Question 6 (Q6):	**The participant was requested to explain if they thought that a link existed between business continuity and resilience.**
Response Q6:	According to the participant, *"Yes of course, no matter what happens you should be able to manage interruption, is a relationship there. Affected, how affected, how long back in business, can move and still cater for clients, update plan continuously and identify new risks as they emerge, it is a living document."*

DEPARTMENT 2: PARTICIPANT 3	
Research Question 1 (Q1):	**The first question posed to the participant was to describe the process his department used to manage business continuity.**
Response Q1:	According to the participant, *"Development of plan, set out, invoke plan. Identified the most critical servicers rendered - those business unit responded. Prioritize services we must render. Engagement to determine impact of major threats to the business – interviewing management of critical business units and support services. Process identified minimum resources required to continue business. Few scenarios worked on, two official sites identified. Building okay but IT down, building okay, IT okay but no HR to operate tools. Combination of scenarios involving 2/3. Governance structure established will coordinate the disruption, inform HoD, impact and detailing process going forward to continue and recover critical services. Recovery team established, IT, Safety and Security."*

Research Question 2 (Q2):	**The second question required the participant to explain how their Department identified risks.**
Response Q2:	According to the participant, *"Risk management structure and processes in place. ERM management committee, CD, HoD, CFO, Advisor. Enterprise level identify strategic risks. CD identifies operational risks in programs. Other processes to identify risks that is SSRA we do, safety audits conducted leads to health and safety aspects and also structures. OHS committee to manage treatments for risk. Security committee to monitor involvement of security risk treatments to mitigate. Security risk aspect broad (information, physical, IT as well)".*
Research Question 3 (Q3):	**The third question required the participant to provide where identified risks were reflected?**
Response Q3:	According to the participant, *"Enterprise: Risk register – strategic and program risk identified and managed. Operational risks assessment reports, reflected in audit reports particular SAPS audit, specific business continuity identified in implementation of business continuity. Other risk highlighted in SHERQ monitoring tools, report on a quarterly basis".*
Research Question 4 (Q4):	**The fourth question required the participant to identify who was responsible for the management of business continuity in their department?**
Response Q4:	According to the participant, *"CD: SRM, have a continuity facilitator, it is a facilitated process, awareness, engagements with management in respect of critical business".*
Research Question 5 (Q5):	**The question posed to the participant wanted to determine how business continuity was facilitated within their department.**
Response Q5	According to the participant, *"Awareness conducted but still require to provide more information to staff as a whole. Send through corporate communications, their responsibility in entire process. Engagement with management, critical business units. Feedback to business continuity manager, provides assurance to ERM committee, HoD. If additional requirements engage at ERM or PTM."*
Research Question 6 (Q6):	**The participant was requested to explain if they thought that a link existed between business continuity and resilience.**
Response Q6:	According to the participant, *"Yes, direct link, relate to how you are prepared for any incident, particular level of foresight, in terms of identifying risks, impact on operations, certain mitigations implemented. Certain responses develop, prepare for any eventuality, prepare entire system to respond to a disruption, means recovery process shortened, go back to providing full menu of services within short space of time, continues learning, differs with people, recovering back to usual learn from incident, manage process better, enhanced processes in place, recovery quicker, prepared any incident therefore direct link. Preparedness, delegating authority to people, make decisions at the right…"*

DEPARTMENT 3: PARTICIPANT 4

Research Question 1 (Q1):	**The first question posed to the participant was to describe the process his department used to manage business continuity.**
Response Q1:	According to the participant, *"Mandatory compliance, developing business continuity plan, assess what prevents achieving objectives. Did a business impact analysis, identified critical business processes, types of events, did review last year, how continue critical service, flood, fire etc. Power outages came to the fore, impact on, identify events, impact, how to respond. Business continuity plan if happens, to maintain to restore. Objective is that in 72 hours critical services up and running. Compile business continuity plan based on critical services restored, learnings – thinks business as usual to restore, generator in order to run, safely …. Systems get out of building. Sub plans: saving life, safely evacuated, sub plan for evacuation of staff, water evacuation not critical have time to activate business continuity phases. Approved sub plan for IT. Separate DRP – data recovery plan, key business process*

	in terms of data / systems. BIA identified systems, dependencies, systems hosted by SITA, CEI – department specific systems identified."
Research Question 2 (Q2):	**The second question required the participant to explain how their Department identified risks.**
Response Q2:	According to the participant, *"Department goals / objectives, different levels in terms of strategic goal. Risk - what would prevent achieving strategic, chief directorate or program, budget. Risks: strategic, chief directorate, components, operational, IT risks. There is a separate register; fraud risk, will incorporate ethics. Physical risk not in risk profile, bowtie technique used, what is goals, prevents achieving it, annual implementation plan both departments sign off. Well matured – SMS members, department on training, enforce from HoD side."*
Research Question 3 (Q3):	**The third question required the participant to provide where identified risks were reflected?**
Response Q3:	According to the participant, *"Department has detailed risk register. Operational risks not included. Strategic and chief directorate risks are contained in the risk register, review and amended during quarter. Used to add heat maps for each chief directorate. Chief directorate sits with ERM quarterly to review risks. Same with fraud. Quarterly sit with IT to review IT risks, filters into strategic risk which should go in annual performance plan."*
Research Question 4 (Q4):	**The fourth question required the participant to identify who was responsible for the management of business continuity in their department?**
Response Q4:	According to the participant, *"OHS manager – part of emerging team, only a resource. Departmental Security Manager – appointed one, Director Finance; Information Management – CD; Task team – representatives from CD; Water line function – mandate in terms of quality of water."*
Research Question 5 (Q5):	**The question posed to the participant wanted to determine how business continuity was facilitated within their department.**
Response Q5	According to the participant, *"Besides plan, awareness, for water had quarterly risk sessions actually started off with water crisis, what prevents you from achieving your objectives. Presentation to chief directors in terms of water issue for critical services to continue. Work shopped with SMS."*
Research Question 6 (Q6):	**The participant was requested to explain if they thought that a link existed between business continuity and resilience.**
Response Q6:	According to the participant, *"Business continuity is an element of resilience, how to withstand facing example power outage. Customize ERM strategy and implementation plan, annually review strategy, customize on departmental level, do implementation plan."*

DEPARTMENT 4: PARTICIPANT 5

Research Question 1 (Q1):	**The first question posed to the participant was to describe the process his department used to manage business continuity.**
Response Q1:	According to the participant, *"We started off with the identification of the key businesses that need to continue operating should a major disruptive event happen. We identified six of them including some business units because during a disruptive event usually the executive would communicate and make executive decisions on how to manage the situation. Corporate and strategic communications play a role in terms of communicating internally but also with the residents of the province. And we foresee that obviously that our supply chain and finance sections would also be important. Legal services as well in that they would continue to ensure that the executive takes decisions that are sound in law so they are quite important and then my office as the business continuity manager. Once identified we went through a process of doing a business impact analysis at each of those units looking at various ways at communication such as telephone trees and those kinds of things that need to roll out in the event of the crisis. We also looked at who exactly the minimum staff*

	would be that would be required to continue with the business. We assessed which business processes could be managed manually, we looked at the minimum tolerable times that you can be out of commission before it starts to affect your core business objectives. We determined all of those things and we also looked at what equipment would be required should we move to an alternative site. So, it is all about the structure, the communication mechanisms and what processes and procedures we would follow."
Research Question 2 (Q2):	**The second question required the participant to explain how their Department identified risks.**
Response Q2:	According to the participant, *"Risks are dealt with at a project level, but also program level and also a strategic level and obviously because the core functions, coordination of risk for the province is vested in this department it also has a transversal provincial responsibility. So, when a project is initiated as part of that project approach we identify the risks related to a specific project and that is documented and mitigation measures form part of the action plan against that project at a program level each sub program identifies its own risks. In my particular branch because of the disparate nature of the functions within my branch in some branches at the program level it is a higher level combined risk profile that the management of that branch would come up with and they would then do a proper risk analysis, look at the inherent risk ratings, look at what controls are in place, what additional controls need to be in place and what the residual risk rating would be and then an action plan against all those risks. We follow a so-called bowtie approach where you look at the contributing factors as well as the impact of the incident happen. At a departmental level there is also a strategic risk register and that is where the high level strategic risks to the achievement of the objectives and annual performance indicators are considered. Formed structurally and forms part of the so-called governance EXCO which convenes on a quarterly basis and assesses the departments strategic risk profile."*
Research Question 3 (Q3):	**The third question required the participant to provide where identified risks were reflected?**
Response Q3:	According to the participant, *"Would be in project plans, project initiation documents actually, PIDs, it will be in program risk registers, it will be in the strategic risk register, it is also indicated in the Annual Performance Plan of the department and there are also, there is also a provincial risk register."*
Research Question 4 (Q4):	**The fourth question required the participant to identify who was responsible for the management of business continuity in their department?**
Response Q4:	According to the participant, *"There is a business continuity manager. Who is then supported by the senior managers, from each of those identified business units and together I would say we form the structure, obviously we account to the EXCO and the DG. For this department, there's also a business continuity plan committee which is at the tactical level, which is supposed to guide and champion business continuity management in the department but that committee has never convened. I play with mostly the key business units and their managers."*
Research Question 5 (Q5):	**The question posed to the participant wanted to determine how business continuity was facilitated within their department.**
Response Q5	According to the participant, *"It is through workshops with the prioritized key business units where we administer a template, a business continuity management template, which then guides the conversation and based on that we conduct the business continuity for each of those identified business units. The results are then written up in a business continuity plan for the department which is approved by the EXCO and signed by the DG. It gets communicated to the branch managers who are then supposed to ensure that all staff in their branches understand and their role in a disruptive event or crisis and know what to do. We are also supposed to do awareness raising around the business continuity plan but we have not succeeded in rolling it out properly throughout the department."*
Research Question 6 (Q6):	***The participant was requested to explain if they thought that a link existed between business continuity and resilience.***

Response Q6:	According to the participant, *"Oh yes, definite link, part of the business continuity is to what is the first one, to prepare, to be prepared and to also plan for the eventuality. I think if you do those two first phases properly then your chances of coming back to normal operations after an incident is much greater and I think it also creates awareness amongst employees to understand what their role and function is, they understand what is expected of them in a particular event they would be able to respond more confidently and better and the impact of the incident could be lessened if those two phases are properly executed. Preparatory and planning processes."*

DEPARTMENT 5: PARTICIPANT 6

Research Question 1 (Q1):	**The first question posed to the participant was to describe the process his department used to manage business continuity.**
Response Q1:	According to the participant, *"Fairly new concept. Implementation, developed a plan, has to be tested; schedule of training and information sessions. AG found the department wanting in this area that is training. Have a team rolling out – operational testing on systems – ICT – key is pastel system – awaiting on report on how things went. Gaps identified during 1st session, 2nd testing, if 2nd successful. Outstanding is physically tree calling. Still outstanding, practical, developed WhatsApp group where key people would be messaged. Will the department penalized if the template as set out by the lead department is not followed? Physically taking systems to alterative site before end of March 2019."*
Research Question 2 (Q2):	**The second question required the participant to explain how their Department identified risks.**
Response Q2:	According to the participant, *"Process followed is that of ERM, process driven, each component has a process, identify gaps, internal audit, physical investigation, others – identify risks managed or not. Each directorate – program level. Strategic – executive level, critical ones are elevated."*
Research Question 3 (Q3):	**The third question required the participant to provide where identified risks were reflected?**
Response Q3:	According to the participant, *"ERM risk register. Quarterly reviewed – actions plans reviewed. Reporting to ERMCO, ethics brought in, government reported at level 15 (sits in as well). Internal Audit investigations do not appear in risk comes up with recommendations which are implemented and monitored. Not all risk areas are taken up in risk register."*
Research Question 4 (Q4):	**The fourth question required the participant to identify who was responsible for the management of business continuity in their department?**
Response Q4:	According to the participant, *"Strategically security manager, operationally a team has been appointed."*
Research Question 5 (Q5):	**The question posed to the participant wanted to determine how business continuity was facilitated within their department.**
Response Q5	According to the participant, *"Information sessions and training. Executive level when approved, raised in AG finding. FMP – look at all findings and how resolved, frequently discussed."*
Research Question 6 (Q6):	**The participant was requested to explain if they thought that a link existed between business continuity and resilience.**
Response Q6:	According to the participant, *"There is a link, awareness makes resilient, what could happen, prepare for that, water crisis more information shared, taking serious, department did operational things example water flow. Proactive, resilient, more geared no doubt about it."*

DEPARTMENT 5: PARTICIPANT 7

Research Question 1 (Q1):	**The first question posed to the participant was to describe the process his department used to manage business continuity.**
Response Q1:	According to the participant, *"Drawing up of plan, ensuring contents in place, follows up in terms of content of plan, ensure inputs in plan exists. Centrally driven – have a business continuity team."*
Research Question 2 (Q2):	**The second question required the participant to explain how their Department identified risks.**
Response Q2:	According to the participant, *"Focus on OHS – conducts inspections, fire drills at head office and satellite offices. Check if business continuity plans have been updated, conduct awareness around OHS, fire drills – lacking in regions. Risks identified through RSATS, SSRAs".*
Research Question 3 (Q3):	**The third question required the participant to provide where identified risks were reflected?**
Response Q3:	According to the participant, *"Compile report on risks identified. Spreadsheet, compliance - % allocated, report disseminated to managers, follow up, always managed. Operationally by manager – high risk escalated to risk register. ERM follow through."*
Research Question 4 (Q4):	**The fourth question required the participant to identify who was responsible for the management of business continuity in their department?**
Response Q4:	According to the participant, *"Business continuity team, centrally driven, physically managed, know buildings."*
Research Question 5 (Q5):	**The question posed to the participant wanted to determine how business continuity was facilitated within their department.**
Response Q5	According to the participant, *"Training plan part of business plan. OHS focused training. Awareness focused on business continuity plans. Have a signed plan but not communicated yet. Water project communicated. Envisage testing of plan and implement call tree."*
Research Question 6 (Q6):	**The participant was requested to explain if they thought that a link existed between business continuity and resilience.**
Response Q6:	According to the participant, *"Yes, identification of off-site location where business will continue. Level of preparedness busy equipping sites."*

DEPARTMENT 6: PARTICIPANT 8

Research Question 1 (Q1):	**The first question posed to the participant was to describe the process his department used to manage business continuity.**
Response Q1:	According to the participant, *"We have a key prioritization exercise which is done by visiting programs. Look for alternative premises – not allowed to rent building or purchase equipment have to use existing resources. Developed a scope but no budget and no resources. Plan has been developed."*
Research Question 2 (Q2):	**The second question required the participant to explain how their Department identified risks.**
Response Q2:	According to the participant, *"Risk framework, facilitated risk sessions, ERM – strategic and operational risks."*
Research Question 3 (Q3):	**The third question required the participant to provide where identified risks were reflected?**
Response Q3:	According to the participant, *"Risk register. Have 3 risk registers: Unit; Program; Strategic / operational plus ICT. Operational risks often reflected in operational risk register."*
Research Question 4 (Q4):	**The fourth question required the participant to identify who was responsible for the management of business continuity in their department?**

Response Q4:	According to the participant, *"Security Manager provides strategic operational support and Deputy Director."*
Research Question 5 (Q5):	**The question posed to the participant wanted to determine how business continuity was facilitated within their department.**
Response Q5	According to the participant, *"Have 3 committees: Strategic; business continuity plan committee (5 persons as co-ordinators, representative from each program, meet quarterly). Business continuity plan reviewed once a year, reviewed within committee but also within programs. Business continuity plan committee have clear roles and responsibilities. Awareness not started yet, last year focused on water business continuity plan – had water champions."*
Research Question 6 (Q6):	**The participant was requested to explain if they thought that a link existed between business continuity and resilience.**
Response Q6:	According to the participant, *"Business continuity kicks in after resilience is overwhelmed. Trigger business continuity plan example rioting – resilience is security, resilience is overwhelmed, business continuity kicked in. Resilience results in disaster which will results in the activation of the business continuity plan. HoD declares disaster and gets committees to do their job."*

4.2.3.2   Focus group discussion:

Two (2) focus group discussions were held consisting of representatives from the lead department. The participants of the focus group discussions were operationally active within departments providing support with the development of business continuity plans. Each focus group consisted of four (4) participants. Eight (8) individuals actively participated in the focus group which allowed for sufficient extraction of information. Two (2) sessions had to be held due to the varying schedules of the participants. The purpose of the focus group was to elicit the varying views, experiences, attitudes, beliefs and reactions on the research issue. The author at times used probing and open-ended questions to elicit responses for robust discussion. Table 4.2 reflected the transcribed responses of the participants to the questions posed to the group.

Table 4.2: Transcribed Responses: Focus Group

FOCUS GROUP 1:	
Question 1:	**What is your understanding of business continuity?**
Response Q 1:	*"It is a plan of processes that have been put in place to ensure that the business continues whether you experience the disaster or unexpected thing that might disrupt the services. It is a plan that enables you to continue irrespective of having that disaster or whatever challenge that you get. For instance, will make a reference to a department, even us, there was one, recent march, those type of things somehow will interfere with our business because some people won't be able to come to the minister or people liaising with. In other departments directly liaising with the pubic the business is being disputed. By us having a plan in place it enables us to continue irrespective.*
	The words mean a major disruptive event how do you plan for that event, natural disaster. How you put a plan in place recuperate after an event. In other words, to sustain it and continue with it. There are various hazards I am talking about natural disaster, major one in Western Cape is the drought. Currently load shedding, you have the fires hazards which is also part of hazards. How do we management that. What processes to we have in place to continue with business.

	Eventually scaling down, it comes down to what critical staff do you require to stay at work and those that can stay at home? Services to continue. Planning is needed before and after, have to manage that. Scaling down what critical staff required. Other events as well can disrupt the services. It is man-made and natural everything that has major impact. *Your contingency plan is attached to your BCP it is separate for the natural ones, disruptions and so on. Contingency is for everything. It is more like a back-up, it forms part of your BCP. You will have a BCP but have a contingency to manage ourselves.* *You also need to identify another place in case this whole building is shut down, can you take your business from this place to an identified place."*
Question 2:	**What do you think are the key processes in business continuity management?**
Response Q 2:	*"First and foremost, I would say identifying your critical business processes or units within your department and then you will have to have a plan.* *If you have that and something happens to the building where are you going to locate them to? What type of equipment and so forth would you need in this venue for instance. Look at resources, what needs to be put into place so that you can shift from this to that and continue working.* *In a lot of departments services can't just be shut down, lucky my services can shut down and nothing will happen. Some of our services in government cannot be stopped you have to continue even if on a lower scale, you need to continue with those processes.* *You will need a business continuity coordinator, security manager and team, business continuity system that will be your critical units and so on and obviously it will be your IT infrastructure, asset management. When that team is formed who gives the call, which will be the HoD.* *If HoD decides relocation. Three ways to looking an alternative site, cold, warm and hot site. Cold site just has a building standing x km away and empty, warm site have infrastructure. My department has two off sites, putting in infrastructure in place, electrical and furnishing."* The researcher: What would you say is it a cold or warm site? Response*: "Warm site, current situation departments looking at. Can be relocated in 7/8 hours and can downsize as well as to what critical staff needs to be there. If you have a hot site, building already properly furnished can be relocated within minutes.* *To summarize the key processes: is of your critical areas, coordinator, your management team and then your alternative site. These four things.* *Part of the BCP is your communication plan. Obviously, there is a communication plan. You need to have a communication, call tree plan. A person will be identified to make the call. Who will be identified to speak to the public and the media? With us there are SMS when there is an event, you will get a SMS alerting you. You won't know where it is coming from. You also have ERT, the emergency response team. Coming back to the call tree, I think it will be effective in the sense of the critical, when I was emergency manager this worked. If anything happened sent out one message, WhatsApp and it worked. A department can have it with the coordinator, with the HoD whatever, security manager if they have their okay that is what's happening and from there they can decide whether they want to put that core people, communication, infrastructure, Cel."*
Question 3:	**As the lead department, you are expected required to support departments with the development of business continuity plans. How do you see your role?**
Response Q 3:	*"With us, the department I am talking for my colleagues as well. We are experienced, we understand. The challenge, it becomes a problem whereby because of our levels at some stage we are not decision makers. Maybe our influence will come to a certain level. Because of certain things or certain policies, I mean certain politics. Even if we are willing to influence, because of our levels, we understand with government there is always those barriers.*

Because of your level you can't sit on that. But as a team we are well trained, we can fully support, we know".

The researcher: What is your role going to be in terms of support?

Response*: "What I did was when the plan started they wanted the BCP there was a draft. So, for each and every section I had to sit in with the security manager and the team itself and have a look at the document. In other words, I was doing what you are doing now. They would give me the document, have a look at it, study it, see if it is okay, see where I can support, and where I can adjust. I think it is one section we form part of the BCM team, the management team where security advisory is advisors on issues regarding the event, they call it a major disruptive event. In March this year there was a protest where people walked onto the premises and hulle het somer plek afgebrand, ransack en whatever. My role was, there was a manager, and the director contacted me directly. When I had to assist and look at what measures, what was the BCP saying or their contingency plan and what are we going to put in place to preserve not for them to come back again and how to interact with the community, because it was a protest. Getting the director, community and SAPs and all the roles players. You are involved with the external role players when it comes to an event like this especially for that emergencies. Then you would readjust the plan again. Whatever happened, when it is reviewed again, they will give the document to you as well. I think we now busy with the risk profile for next year, looking at the BIA and now you will be working within in the directorate, work with the director and speak to him what is your risk. You will assist them, if physical go through the various phases, communication security that is when she talks about the expertise and experience."*

The researcher: Is your support you provide your departments that you service any different or does your department require you function differently in terms of the BCP?

Response: "*Each and every department is unique. When I was referring to experience I thought you were asking us whether we understand it. For events we are always there to assist, there is a communication team. We know the risks that are happening in the department, we are aware of the risks happening in the department. We don't wait on that event, or for the BCP, always acquainted with what is happening in the departments to understand. I didn't get your question right. There is a BCP team whereby he was referring to the communication team. We also form part of that team. Nothing that can happen in the department that the LO is not aware of. Our LO gives us the information. With regards to the risk we are aware of the risks they are facing in the department.*
The main thing is the synergy she is talking about, it should be within our directorate and within your safety and security at your department. That works well then, then it is a well-oiled machine. We are open to assist, we don't stick to one department. There is that flexibility, you don't stay in one department. They make sure they move people to different departments so that they can know."

Question 4:	**Do you think you could influence processes within departments in favour of business continuity?**
Response Q 4:	"*In my department it's definitely a case of no, I mean I have been trying to get these people to just sit down with me and it just doesn't happen so I kind of feel at some point because of the level I am at, they don't see me. It could be something different, I don't know, it could just be the type of attitude within the department that they just don't care about security and it's not there core function, but I would say maybe if you would be on a director level, a director might have a better influence than an ASD speaking to, it is an assumption, my opinion at the moment.* *My relationship with my security manager is a bit higher level there is a communication between us so all that we buy or inputs that I give will be taken to the security committee and EXCO for their discussion and I always get*

	feedback to say we need take a look at this. That is why before I do anything even start remember we were supposed to draw up a profile of the department identifying all the business units, all the risks are already identified by the units and that's where your BIA comes in, your business impact analysis. What we did earlier this year they draw up the business impact analysis to identify the most high risk within their department. Not forgetting CeI people sitting all over the province, what will be the impact if this service expired?
	I do have a good relationship as well, I am still as mentioned, don't know whether it is the culture of government, I don't know. There is something there, it might be a perception on our side, don't know if it is politics within government or not. Yes you can table ideas but it might not filter to the right platform. Had a positive experience but it can vary. Felt good about what I had done. Sometimes the audience is positive others not.
	Facilities financed by like donations or charity. When I did my RSATs and SSRAs a couple of years ago I had a presentation for the security committee and all the senior managers and the chief director told me straight there is no money where this is concerned, what you doing here is good but the recommendations but we can only fund four, the rest is all aided. So I told them after further research I found out they have a commission, board, so I said why don't you send it to them hear what they have to say, now they can see to make the place safety and secure, a year later it was influenced. Then the chief director they wanted to spend R2M, I was told to give an answer, we fitted CCTV cameras. The R2M was spend and when I went back to the audit I could see where the money was spent and there was improvement. Again it is the platform but more the manner in which you want to influence it. If you come here very demanding, you must do this, you might not get through with it. You need a salesmanship sell it them. Don't impose, they will tell you and put up a barrier. The relationship that you build with your security manager, if you go to those meetings you have one up.
	It also depends on the culture of the organization. My previous department totally different to the one I have now. Small department have your director and chief directors on your security committee, directors and chief directors on you occupational health and safety committee, you have top management buy in immediately, you speak to the guys and they listen."
Question 5:	**What does enterprise risk management mean to you?**
Response Q 5:	*"Major risk identified in the department and then it gets registered on their database. The department has got two major, identified two major risks that are already registered. One is OHS and MISS Security. The other one within in the department itself, you will look at your programs that you have they would identify the risk within the program which is a major risk and that goes onto the register. They will give you the mitigating circumstances how it will be dealt with within the following financial year but then it gets coloured as well in other words which one is prioritized, one above the other. This how the risk register work. You do it every six months, I am not sure, then you re-evaluated and the colour might change, so by the time it comes to the financial year, say it was red it will be yellow or green.*
	Indirectly we are participating, they are putting in the APP, they already identified. I only about two what the security manager told me. Because the risk of the how departments somehow we are part of it. If you look at theft. Maybe we are part of it indirectly because it is rated as the management issue that it is highly classified when they refer to it. I remember recently we wanted some information for the risk profile we could not be provided with that information. They said it must be HoD to HoD not us. We are working for the department and we are vetted."
Question 6:	**How in your opinion should risks be identified?**
Response Q 6:	*"I use PESTLE. There is no proper process. Maybe they just using, what they will, ask me to do RSAT or assessment identify what the risk is and that is the basis.*
	What is the RSAT – it is the management structure, OHS, security and your assets, external and internal factors which influence the people, if there are

incidents check how many investigations conducted, what physical measures in place.
RSAT could be another method in identifying risk like PESTLE would be one. SSRA, we do a full scale assessment, threat risk assessment that is where pestle comes in, political, social and then you look at, what is the thing that you did. ISO… thing… Plan, Do, Check and Act. Doing ISO 31000, doing is avoidance, transfer, accept the risk."

The researcher: What is enterprise risk?

Response: *"For me I think it is enterprise as well. Where sometimes you need to accept. Is it a safety and security risk?*
With my university experience on theory, what we are doing now in security and what was done. Somewhere somehow there are similarities in what we are doing because event the pestle they are using the enterprise one. That is why I am saying there is similarities, even I mean on the stages whereby you transfer, accept, avoid those type of things they are being done within enterprise. I think the department accept it or not.
Perception is there. Would I be correct that you are coming as docs to provide a risk in terms of safety and security and they are not looking at it as being an enterprise? The assumption is that they see it as two separate things. The associate the enterprise one with finance and it is highly rated and the one for security okay it is there an incident has happened therefore a normal assessment must be done or investigation. Some incidents are not recorded on the risk register as they are not taken serious up until they become a political issue, then it is being.
My experience you are talking about the risk register or incident register is that the department at, could go to the loss control officer what is the losses for the past, he provides me with a list. Laptops stolen not reported to security manager, could have been a breach. They would just write it off, this should be part and parcel of your enterprise one but they don't see it that way, there is always money attached to it. Do operational stuff that is assessment and investigation. I saw now for this year, one of the programs major risks was in their APP that this one is on their risk register and that was identified over the 12 months, theft. At least from there, if you see it there they are taking note."

Question 7:	**Do you think you could influence the risk management processes within departments?**
Response Q 7:	*"I think I am doing it already. Yes, we are influencing it. We make recommendations and they are being implemented. Can influence the risk management process but not necessarily what goes on the risk register. All the work we are doing in the department we are influencing. Yes you can influence processes but not necessarily goes onto the risk register."*
Question 8:	**Would you agree that a link exists between business continuity and resilience?**
Response Q 8:	*"Yes there is. I think there is. How the business can move on, how do you recover from your disruptive event? Your come back, how resilient are you as a department to make that come back. So yes there is definitely in my opinion."*
Focus Group 2	
Question 1:	**What is your understanding of business continuity?**
Response Q 1:	*"It is a critical process when an organization, when there is a disaster, natural or man-made disaster. That process can allow the organization to continue with the business especially the critical business. That the organization can continue off site. Speaking to, when it comes to, your impact analysis will determine what businesses can continue and how, how long does a certain business in the organization have before it can continue or before it will come to a dead standstill. So my understanding is the continuation of business during a disaster be man-made or natural disaster. I would like to build on the sense, it is the core function of that organization that will be able to continue and to survive the organization, to actually meet its objectives and its core business. Hence*

	service providers, providing a service to your customers which is in our case the public. More focused on the critical business of the organization can continue because obviously business continuity is clear in terms of you don't have your whole organization employees at a certain site. It just critical people that needs to continue, that needs to be identified in order for the business to continue of the organization. For me business continuity is to bounce back to deliver, service delivery to the western cape government, there has to be an imminent threat to destroy the assets would be the human factor, technology, as well as processes of that department. So in order to bounce back to continue with service delivery there needs to be necessary, whether it is... (unclear.).
Question 2:	**What do you think are the key processes in business continuity management?**
Response Q 2:	*"There need to be measures in place, if you have identified what is the critical functions of that organization the functions to be aligned to be productive when there is a private company they need to operate to bring money for the company. The western cape government they need to provide services to the community of the western cape. So they need to have processes in place where there is resources that will be vehicles, laptops that will be technology and then also the human factor that needs to have in place. You need to conduct a business impact analysis, I think that should be one of the most important things you need to do, that will give you an indication as to how to prioritize certain how do you call it now, functions or businesses in the organization, how the one can link with the other one and how the one speaks to in terms of the flow of, in terms of priority. Because the one, if you conduct your business impact analysis, when I was involved with that is a certain section within the department will identify I will need 3 – 4 hours before I need to kick in, I need to form part of their off-site and these type of things. Coming to the off site, need to identify a off-site where you will be functioning from and according to the standard needs to be about 30km from your main building or head office is, you need to function, you need to identified off site venue. Your technology is a key factor here, human a key factors as well. You need to identify these people and your business continuity management, they need to be identified as well because you need to be sure who's the people that will manage the whole process and who will be the shot callers if I could call it like that. By saying that also you need to identify who is the people that will communicate with. In your business continuity plan that will be a process where people will be identified according to the three core, they will be the people who at the end of the day inform, it's a top down approach that will inform those employees in the organization of, if the business continuity plan kick in and who is the key people that needs to be at a certain area or at the off site. So all the human factors, all the elements, the resources. Like I said the most important things your BIA needs to be conducted that will give you an indication what business are the critical businesses that cannot function, cannot function without one or the other one at a certain stage when the BCP kicks in.*
	To me should be like, site of information. A site with (unclear) that is talking about there has to an assessment that is conducted in the area, where the information is going to be kept and it should be in line with the risk management process. What do I mean about that, you wouldn't want a situation whereby you let's just say the political environment is unstable in that area, then you chose that site to become like your off site you see. When it comes like community safety is here to if you (unclear) if you won't be able to activate your systems because your site is not well located site and there was no assessment that was conducted to identify the external factors in the external environment.
	A generator can only last that long, 30 days so your core business in providing information you know after 30 days you would be running out of power so it is vital. You have no documentation so you are out in the dark."
Question 3:	**As the lead department, you are expected required to support departments with the development of business continuity plans. How do you see your role?**
Response Q 3:	*"I think we, our role should be purely advisory we shouldn't step in and take over because otherwise we make the department, if I may say lazy in a sense where*

	they need to think for themselves and we should sit on the side-line and, advise and guide. Because once you take over, get involved and start managing and if you are not there the departments stands on its own and they will keep have to contact you have themselves independent. I would say that yes to the point we are managing department's business continuity plans. Had a situation where we assisted, gave guidance, information when we went to the meeting, after the meeting with the different stakeholders we had to stand up and brief the department. At the end of the day he had to put in the names in, please sign here. It wasn't done and then the next week, three weeks later there was a same scenario, helpless, please help.
	My experience is not the same, because my role in the articulated in the BCP document where I facilitate the risk management part of the BCP. Yes I gave my input in the rest of the document that is not my function but at the end of the day my sole or my main function is risk management of the BCP when it comes to risk management, you know in terms of advising the department in the risk, the external internal environment against that (unclear), but it is clearly articulated in that BCP document. As long as you, and the communication of the BCP is, I think, there will be a certain percentage where we have a responsibility of the communication of the BCP, a certain percentage of responsibility is with us as the, as part of
	Can I just answer something on that, I think we had …(unclear) because if you look at business continuity, you look too far high and I think a senior person… (unclear). If you look at the health department where there was service delivery protests and they needed to close that facility because they wanted to protect the lives of staff but then they from the Minister and HoD side said service delivery needs to continue. So certain measures in place need to be in place there to move that services to the nearest community health clinic, centre or set up an alternative facility, temporary facility to bring services back. I was just thinking with regards to that. What we actually done, our role in this whole thing was, we established a safety and security committee, we have identified certain role players that needs to be part of that committee, invited NHW, invited CPFs, we have invited the local lion clubs, (unclear) invited law enforcement agencies also invited certain of the nearby government facilities like department of education they were part and parcel of the process, as they could assist us with vehicle parking for nursing staff that was safe at their facility. There was a whole stakeholder partnership involved in that in order at the end of the day continue services not at the facility itself but at another facility to look after the poor and the old. We should be in an advisory role indicated that we should play a big role when it comes to the risk management part of the BCP, communication, play a role in communication, displayed that there was that interaction, sure you facilitated that whole process by assisting (unclear)."
	The researcher: In terms of communication what do you see your role as?
	Response*: "It is a certain percentage of responsibility around communication is awareness, you need to inform staff, because should a disaster strike it shouldn't be chaos on that side as well at the end of the day so the staff need to be informed so during your awareness or information sessions or whatever you want to call it, that is where you inform staff that of the departments business continuity plan. Remember we speak about contingency plans as well. Inform your staff what is they need to do if fire in building exactly the same way when the BCP is being activated you need to inform staff. Here you get a call, you call clerk, you don't need to come to work today, clerk will call the supervisor, do I need to complete a leave form will I lose day pay, that is also the process you need to communicate and how you communicated cascaded down to the lower levels as well, inform them."*
Question 4:	**Do you think you could influence processes within departments in favour of business continuity?**
Response Q 4:	*"Can I respond, I think we can influence because security risk management is our core function, and if you look at the risk you look at unforeseen circumstances that can happen. Now on a daily basis we think, I think all the advisors think when we speak to a person you think of unforeseen circumstances where the facility itself they have their director or DD they have*

	their core functions that they have. So whenever they put measures in place or come up with ideas then we already look at the unforeseen if whatever he has suggested will that be beneficial for the department or is there certain risks related to what he has actually motivated to put in place. I think from our side, from all of us here advisory, we think about the unforeseen and how we can improve the unforeseen circumstances, mitigate that. Yes I am saying that I am saying influence in the department at. *Our strategy process technology, took a while, department liaison officer is to influence the budget and now I can see that I am making progress in that even though the department don't have a budget for security but they are allocated, or they making managers responsible for security and they are because we are working with the regional managers and now they start to have a budget for security and this was one of our discussions in our recent security committee specifically that speaks to business continuity, security and the management of that function and but we talking about the whole western here now you see I have an influence at a specific department when it comes to budget and processes or technology that will assist us, we want to work smart so technology can assist us when it comes to our BCP. But others might not have that ability not ability, success to influence, maybe the western cape government needs to look at something to like a centralized what can you call it budget where which is managed maybe I don't know by one department for the 13 departments for security instead of you having to struggle within your department to get the buy in and obviously budget is always an issue. Influence processes towards a good outcome for business continuity, indicated the same.* *I am not able to influence, maybe in a different context because my influence is only based on communication that I have with my LO which is my LO take me over to the client department. In terms of the MoU that is the only people that have engagement with the client departments unless I do attend a meeting then it will be them that will influence. Position makes it difficult to influence have to work through a middle man (LO). Another thing is the issue of the role, then someone said like that just provide advice to department my thinking and it has always been my thinking is to provide an expert advice that is standard based so if you don't do that, the standards say you must do this, the act said you must do this, the legislation said you must do this, and they don't do it, so it takes out the accountability from me as the compiler to the accounting officer which is the HOD if he doesn't do what he was told to do, so he takes ....(unclear) Responsibility had some issues, do something serious going to take place, because we are moving to the 4th industrial revolution anything is possible if something happens if I am advising a department of the BCP which standard to I then won't be able to tell which study I should follow. Currently I don't know what standard is being utilized with regards to that. Would love to see an approved standard across the board that is utilized thereby people are also certified to provide that expert advice to that specific department.* *Indirectly influence through report writing. So he influences the report only thing lacking at the moment is the follow up of that assessment report where you know we say on the front page, give opportunity to present report to security manager or different role players, so that you can understand treatment plan, can discussion – department doesn't allow it, report gets placed wherever they put it. It all depends on departments. There is implementation plans because we have a direct influence now where we discuss, where an assessment conducted, what was the risk issues and we discuss at the MOU and out of Mou certain measures to be implemented to mitigate what we have found in our assessment reports. So that is also a follow up."*
Question 5:	**What does enterprise risk management mean to you?**
Response Q 5:	*"I think it is a line function, which we perform on a lesser scale on a sense of where they have for the whole western cape where we can get advice or get a better understanding of the risks out there. Not always to work isolated, so at least you got another department another section that can also influence and guide you on it. Because they are basically on a different methodology pertaining their risks which may be internal from department's inputs."* The researcher: What methodology do you use?

	Response*: "Aligned with 31000, sure they use the same but from our point of view we more we got a combination of physical security, different elements of the industry, of risks, we got physical guarding, supporting teams, we got in house we come from that field. Can't say one is better than the other one, but I mean we have the same methodology in a sense but we see it from a different perspective. There is more on financial maybe ours is less on financial budgeting wise. We prepared to use …. (unclear). My knowledge of enterprise risk management, they are management to better influence on an EXCO level, there is some risks that have been identified and registered on risk register of department based on their ERM findings because end of the day if that department if the HoD or whoever decides they want to accept the risk it is not registered on risk register because they can accept it. When it comes to accepting a risk or not accepting a risk it is registered and then it is dealt with and budget is made available to deal with that risk. There is following up monitoring (unclear) of implementation or solution dealing with the solutions of the (unclear) all kind of things that is my knowledge of this. Our risk we identify is based on what the MISS, how the MISS guide us the different level of security we identify because we are talking about the pillars of the MISS which indicate the different levels of risk we have to investigate and monitor and see how we can assist the department in terms of mitigating measures should we identify any risks in the pillars of the risk of the MISS."* The researcher: There is acknowledge might be used in terms of both processes but the one might be more related to a financial part the other one risk management based on MISS. If its registered it will go onto the risk register, there will be a budget allocated to deal with that risk and it will be followed up in terms of the action plan has this been done because you will have a time start and end date in terms of how handle those risk on the risk register. *With the enterprise I don't look at one department, look at the whole provincial department in the Western Cape. For me it enterprise seems huge, look at Vienna or all the polonies, don't look at the Vienna look at whatever they make. And with regards to the risks how."*
Question 6:	**How in your opinion should risks be identified?**
Response Q 6:	*"Only identify particular risk if it is a hazard example if hazards converted to risks,* *You take the legislation, policies that are in place, do they have synergy with MISS, physical and information and you see how they meet those requirements and the other important is the internal external impact. Take searching need external can't just sit up there, hazards, convert to risks, storage policies, OHS act take all those tools that you got and align the facility to that.* *I am saying that for us the way we identify risk is based on stakeholder engagement and consultation, it starts from there. Then you go to your external context, external context has different elements that we are looking at which is technology, political, social environment, legal environment, we look at those issues. Then you go to internal context, whereby your policies, in fact the internal context is in line with the four strategic thrusts of the WCG which is your policies, your organizational cultures, your applied methodologies, leadership and management, it is only based on that. So then after you have assembled the whole information then (unclear).* *Get buy in and break through. In the past risks were identified more in a reactive way when something happens then you say there is a risk. Laptop stolen you go and investigate, how does this identify more risks, external environment plays a role. Your theft ten years ago, no gangsterism in area, 10 years later gangsterism in area – external environment. Need to be more proactive, more proactive approach at certain facilities because we conduct risk assessments, identify risk no implementation gets worse, what you recommended can't improve on, nothing implemented. Now we have to make a higher grade recommendation because risk external environment out of hand, it started to grow to a certain extent more violent, more protest, external is how you identify risk from my side. There is a breach, identify risk out of another risk out of an incident."*

	The researcher: Do you think identify risks another way?
	Response: "*Think there is a gap to me because root cause analysis technique it will lead you to the exact risk. To me if you say the risk is unauthorized access ask yourself why un access, lead you to another thing, until you get to a standstill get to risk. That risk difference between ERM and ours there is strategic, operational and tactical risk technological risk, financial maybe is coming from the application of the root cause technique by asking those questions we are not asking when we are doing risk identification, in same vein not sure whether that process is going to work in the security environment because it is a different ball game unlike the entire business. I think we focus on facilities whereas ERM is that the department strategic, tactical. We come on the bottom tactical side.* *Way we are doing risk, I think it is a problem, politics of the day plays a huge role, if you can work very close with your SAPS facilities in that areas, hey will get information, inform you of developments of violence or other crime in the in the area. Then you can advise your department in terms listen here there is new crime stats, new crime developing, new trends of crimes, and if you will be able to be proactive to go out there to identity risk before something happens. In some stages we are reactive, approaching SAPs sometimes doesn't help you much, because don't always want to share information, bad reflection on station or where you get your information from.* *I think it is important for me when I do security assessment normally ask question what can happen, what is here, what is not in place. In order to identify risk conduct a situational analysis to find out what is in place. If conduct situation analysis guideline thrusts if you see leadership and management and see that leadership and management they don't take security seriously there is no appointments of 16.2 or security being implemented. Already see that leadership and management is a risk as they are cause s of particular risks that can happen. If you take a simple example if you employ, deploy cleaners to certain floors and not inducted on certain risks – put equipment on staircases, leadership and management didn't appoint wardens on floors or fire marshals. Think we really, risk we are seeing are not risk but rather hazards, after training with NOSA identified that we have been dealing with risk and calling them risks.*"
Question 7:	**Do you think you could influence the risk management processes within departments?**
Response Q 7:	"*I would say yes, because we have a partnership with our security manager which his very important, we understand the business processes of the department. With that key, key to success end of day can't tell department something, who are you, understanding their processes and use it against them. Important that department does risk assessment against their own standards implemented themselves.* *Yes possible to influence, what you do is firstly establish a relationship with a department, who is in charge of risk management in the department. Secondly you need to educate yourself to become that subject expert, in order to convince someone you need to be able to speak to that subject and be the expert of that subject. When questions come you need to be able to respond and in order to get the buy-in need to convince that individual that you are saying is true and what they invest there will be return on that investment at the end of the day.* *I think I am already influencing it because what is happening is that like we have managed to integrate different business units: loss control, the architects, the people that are involved in planning, property management, supply chain including the security managers. Now there is this issue here there is we are dealing like with different clientele departments are unique. MoA with municipalities but not being managed or taken care of the undertakings on the MoA, now I have taken up with myself and team to: whose priority MoA to all municipalities, how does it … that …. With those undertakings on the MoA then how do municipalities respond to those undertakings*". The researcher: In terms of your influence more on an operational level where you are making inroads?

	Response: *"Yes for me can only operate on an operational level but I can also influence at a strategic level because there are certain decisions to be taken at higher level, influence CD, security manager and I was sitting with him in a meeting, telling him with regard to those issues and they seem to have bought in to that idea. Certain risks that they have that is not security related, projects. Lots of risks going into the projects. We are not 100% focus on service delivery not involved in service delivery to identify to that particular risk."*
Question 8:	**Would you agree that a link exists between business continuity and resilience?**
Response Q 8:	*"Yes bounce back."*

4.2.3.3   Business Continuity Documentation

Table 4.3 listed the business continuity management documentation required for comparative analysis. The comments noted in the table were the responses from participants when asked whether the documentation existed within their departments.

Table 4.3: Documentation

Department	Business Continuity Policy Yes / No	Business Impact Analysis Yes / No	Risk Assessment Yes / No	Business Continuity Plan Yes / No
1	Not in place but have been identified as a gap	Yes	Does not feature strongly, one exists for water, risks are picked up from ICT risks, internal audit	Yes
2	No	Yes	Yes	Yes
3	No	Yes	Yes	Yes
4	No	Yes	Yes	Yes
5	No	Yes	Did not do, have a risk management process in place (RSATs)	Yes
6	Yes	Yes	No, not done for BCP	Yes

4.2.4   Conclusion

The data collected and presented as findings will be analysed in the next section.

4.3   ANALYSIS

4.3.1   OVERVIEW

The Analysis section provided an interpretation of the data collected using the thematic analysis technique. The section was arranged to firstly provide the context of the study by restating the

aim, objectives, research questions and research instruments used. Secondly the process used to analyse the data was explained and finally the interpreted data was presented.

4.3.2   BACKGROUND

The purpose of the research was the exploration of the state of business continuity within the Western Cape Government. Insight into the current state of business continuity management would enable the Western Cape Government to proactively implement measures to improve the readiness to deal with disruptions. The section provided a recap of the objectives, research questions and data collection methods for this study.

4.3.2.1   Objectives of the Study

The objectives of the study were to:

- Identify current business continuity processes;
- Evaluate these processes;
- Critically analyse business continuity documentation; and
- Identify how business continuity and resilience could be linked in the Western Cape Government.

4.3.2.2   Research Questions

The research questions essentially addressed the 'what', 'why' or 'how' business continuity was managed and facilitated within the Western Cape Government. The research questions formulated for the study were as follows:

- What business continuity processes were currently used?
- How business continuity processes were managed (in relation to risk identification) and facilitated (awareness, testing of plan etc.)?
- What business continuity processes were documented?
- The link between business continuity and resilience?

4.3.2.3   Data Collection

The data (qualitative) was collected during **semi structured interviews** with officials who were tasked with business continuity within their departments. The same pre-set questions were posed

to each of the participants. An observation from the sample was that more than 50% of the participants were representative of middle and senior management.

The data collected during the **focus group** discussions were from those individuals representing the lead department in their function to support departments with the drafting of plans for the continuation of business. The sample was representative of the levels, required to function on an operational level.

The data gathered during the interviews (semi structured and focus group) were transcribed to be analysed. To gain insight into the viewpoint of the participants in relation to the research questions, the author used open ended questions to facilitate descriptive answers and probing questions to elaborate on the responses provided. The questions posed to the focus group were phrased slightly differently to stimulate discussion within the group to obtain varying views, and to promote thinking. The participants were confronted with the following questions which were facilitated by the author:

- What was their understanding of business continuity?
- What they thought were the key processes in business continuity management?
- As the lead department, required to support departments with the development of business continuity plans – what did they perceive their role to be?
- Whether they felt they could influence processes within departments in favour of business continuity?
- What they thought enterprise risk management meant?
- How they thought risk should be identified?
- Whether they felt they could influence risk management processes within departments.
- Did they support the notion that a link existed between business continuity and resilience?

The following business continuity **documentation** requested from departments allowed for comparative analysis: Business Continuity Policy, Business Impact Analysis, Risk Assessment and signed copy of the Business Continuity Plan.

4.3.3   INTERPRETATION OF THE DATA

4.3.3.1   Overview

For purposes of the analysis the following assumptions were made:

- ISO 22301: 2012 formed the basis of the analysis in respect of business continuity processes and documentation analysis. This was based on the fact that, South Africa. National Treasury

(2018:8) would be using this international standard as the basis for the development of the draft Government and Continuity Strategy for government; and

- ISO 31 000: 2009 as the risk methodology for the Western Cape Government.

4.3.3.2   Process for Interpretation

The author interpreted the transcribed data by using the Braun and Clarke (2006) six-phase guide which was represented in Figure 4.1.
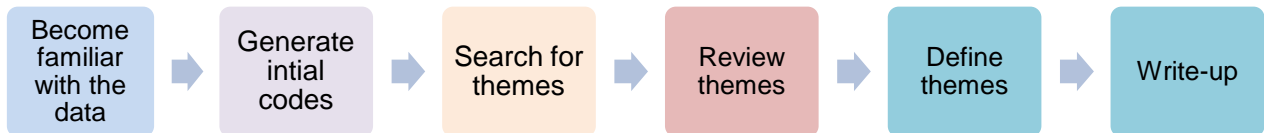
Figure 4.1: Braun and Clarkes six-phase framework for doing a thematic analysis
Source: Author's own construct (2019)

Phase 1: Familiarization with the data

The author transcribed the data (transcription provided in the Findings section), then became familiar with the content by reading and re-reading the narrative, making notes where deemed necessary.

Phase 2: Generate the initial codes

This phase required the data to be organized in a meaningful and systematised way. The process of coding reduced the data into smaller chunks of meaning as provided for by Maguire and Delahunt (2017: 3355). There were various types of coding practice (Welman, Kruger and Mitchell, 2005:213–214). The author used Axial Coding to code the data, it showed how the data was coded and how the themes were developed in respect of the interviews (both semi structured and focus groups).

Phases 3 - 5: Search, review and define themes

Phases 3 – 5 included the identification of themes, reviewing of the identified themes and the refinement of the reviewed themes. The themes identified were reviewed in order to establish the final themes. The modified themes ensured that the meanings in the data set were accurately reflected.

Phase 6: Write up the Report

Nowell et al (2017:10) stated that once the final themes were established the report needed to be written up, which was to be presented in a logical, coherent manner, and should not be repetitive but interesting.

4.3.3.3   Interpretation: Interviews

The data gathered during the interviews, both semi structured and focus groups, were analysed using the axial coding technique. The technique involved linking related data together in order to reduce the data into smaller meaningful chunks referred to as coding. Coding allowed for the organization of the data.   During the coding process, some codes appeared repeatedly which were indicative of emerging patterns. These emerging patterns gave rise to categories. The coded data was then categorized into themes based on similarity.

This section presented the interpreted data by identifying the theme(s) addressing the research question, followed by a description of what the theme was about (meaning) and finally the evidence which were the paraphrased responses of the transcribed data in support of the theme.

The author presented the themes from the interviews separately (semi structured and focus groups). The author then proceeded to consolidate the themes to determine the final theme(s) for each of the research questions.

- **Semi Structured Interviews**

The themes developed from the Semi Structured Interviews were tabulated in Table 4.4 Interpretation: Semi Structured Interviews, using the template provided by Adu, 2016 (Table 13 in the Research Methodology chapter).

Table 4.4: Interpretation: Semi Structured Interview

Research Question 1:	The first question posed to participants were to describe the processes departments used to management business continuity.
Theme(s)	Business continuity was resultant of an incident or disruptive event. It required the identification of critical processes. It included conducting a business impact analysis. A plan needed to be developed, which needed to be reviewed and tested. Resources were required to ensure continued business, which included, equipment, staffing and the identification of an alternate site. Decision makers needed to be identified. Roles and responsibilities needed to be clarified. The impact on business, tolerable time and the development of a communication protocol. Training and awareness needed to take place as well as the establishment of a team.
Evidence	*The following responses provided by the participants have been paraphrased in respect of the management of business continuity:* • *A disruption to business may be resultant of a number of scenarios for instance: fire, water, any threats and civil unrest.* • *The identification of units that would experience the biggest impact, these were units that the business cannot do without in event of an emergency.* • *Focus was to have critical services up and running.*

	• *Drawing up of plan to manage business continuity.*
	• *Conduct a BIA, where critical business processes were identified, types of events, did review last year, how to continue critical service, flood, fire etc. Power outages came to the fore impact on, identify events, impact, how to respond.*
Research Question 2:	**The second question required participants to explain how their Departments identified risks.**
Theme(s)	The risk management process entailed determining what prevented the achievement of goals. Departments followed the enterprise risk management process using the bowtie technique for risk identification. The process was a consultative engagement with business units. The risk process involved the following: Identification of a risk management structure at the different levels of management; indicating what the responsibilities were; ranking of risks as high or low; there were varied approaches followed to identify risks opposed to the enterprise risk management process.
Evidence	*The following responses provided by the participants have been paraphrased in respect of the identification of risks:*
	• *Engaged with units to identify business process.*
	• *Highlighted some of the processes used to identify risks that is SSRA, safety audits*
	• *Focused on OHS as a process to identify risk.*
	• *The identification of risk was a consultative process and there was agreement that it was a risk.*
	• *Risk identification was concerned with what would prevent the achievement of strategic, CD or program, components, operational, budget or structure.*
	• *The following risks were captured in a separate register: IT, Fraud, Ethics would be incorporated as a risk going forward.*
	• *Physical risks were not included in the risk profile.*
Research Question 3:	**The third question required participants to provide where the identified risks were reflected?**
Theme(s)	Departments used various risk registers but mostly in the enterprise risk register. The following risk registers existed within the WCG: Provincial; Strategic; Program; Fraud; IT; Operational; Risks were classified as strategic, program, operational. Not all risks were reflected in departmental risk registers. Risks were also reflected in the SHERQ monitoring tool, annual performance plans of departments, project plans and audit reports which reflected operational and assessment reports. High risks were elevated to ERMCO. Quarterly engagements were held to discuss the risks.
Evidence	*The following responses provided by the participants have been paraphrased in respect of where risks were reflected, the type of registers within departments and the types of risks reflected:*
	• *Register: ERM*
	• *Types of registers within departments: Unit, Program, Strategic, Operational, ICT*
	• *Types of risks reflected: Operational,*
	• *Where risks were identified: Assessment reports, Audit reports, SAPS audit*
Research Question 4:	**The fourth question required participants to identify who were responsible for the management of business continuity in their departments?**
Theme(s)	The management of business continuity in departments was hailed as not only a management responsibility but that of duly appointed security managers and business continuity teams.
Evidence	*The following responses provided by the participants have been paraphrased in respect who was responsible for business continuity within departments:*
	• *The Security Manager was identified as the champion.*
	• *Business continuity was a facilitated process, required creating awareness and engagements with management.*
	• *The Business Continuity Manager, supported by senior managers. Each of the identified business units together form the structure for business continuity.*
	• *The SMS member.*
Research Question 5:	**The question posed to participants was to determine how business continuity was facilitated within their departments.**
Theme(s)	Business continuity was facilitated through a consultative process to determine what prevented the achievement of objectives and to determine critical services. It involved having workshops with management, creating awareness, providing training,

	establishing clear roles and responsibilities, development of a business continuity plan and tools.
Evidence	*The following responses provided by the participants have been paraphrased in respect of how business continuity was facilitated within departments:* • *It involved the engagement with management and critical business units.* • *It was a consultative process.* • *Conducted information sessions and provided training. The training plan formed part of the business plan. The training provided focused on OHS and the awareness sessions focused on BCPs.* • *It required communication with branch managers. All staff were required to understand their role in the event of a disruption or crisis and should know what they needed to do.* • *Business continuity was not being used as a management tool, the recommendations of the business impact analysis are not being used either.* • *Set up of call trees to communicate the disruption.*
Research Question 6:	**The participant was requested to explain if they thought that a link existed between business continuity and resilience.**
Theme(s)	A definite link existed between business continuity and resilience. Preparedness was key, required planning to be proactive. Clarification of roles and responsibilities to assist with decision making by the right people. Required the identification of resources required; impact on business; recovery process; learnings and creating awareness. A robust business continuity plan; testing of plan and review of plan to incorporate learnings.
Evidence	*The following responses provided by the participants have been paraphrased to demonstrate the link between business continuity and resilience:* • *No matter what happens, the interruption should be managed.* • *A link exists as awareness makes one resilient.* • *Being proactive will improve resilience,* • *Create awareness amongst employees, if there was an understanding as their role they would respond better which would lessen the impact.*

Source: adapted from Adu (2016)

4.3.3.4 Interpretation: Focus Group

The themes developed from the Focus Group were tabulated in Table 4.5 Interpretation: Focus Group, using the template provided by Adu, 2016 (Table 13 in the Research Methodology chapter).

Table 4.5: Interpretation: Focus Group

Research Question 1:	**What was the understanding of business continuity?**
Theme(s)	Business continuity was when an organization was faced with a disruptive event (could be man-made or natural), it required a plan of processes to be able to continue with critical business to meet objectives. It involved the development of a business continuity plan. Required conducting a business impact analysis to identify the following: an alternate site, critical staff required, core business functions and recovery times. It also involved the development of a business continuity plan.
Evidence	*The following responses have been paraphrased but reflect the sentiment of the focus group:* • *Business continuity was a plan of processes to ensure if a disaster or unexpected thing happens it enabled the continuation of business.* • *It was a plan to recuperate after the event.* • *The process could allow the organization to continue with the business especially the critical business; the organization to actually meet its objectives and its core business. It focused on the critical business of the organization to continue without the full staff compliment.*

	• *A disaster or event causing a disruption could be natural example drought, fires or man-made example load shedding.*
	• *It required the scaling down what critical staff was needed.*
	• *The contingency plan was attached to the BCP.*
	• *Identify an alternate site in order to continue with business off site.*
	• *The impact analysis will determine what business can continue and for how long.*
Research Question 2:	**What do you think are the key processes in business continuity management?**
Theme(s)	The key processes were the identification of the critical business and critical units to ensure the continuation of business. A business impact analysis needed to be conducted in order to prioritize functions / business, determine the resources required, identifying an alternate site and resourcing of the alternate site. Identification of key persons for business continuity management, and clarifying roles and responsibilities including decision makers.
Evidence	*The following responses reflected have been paraphrased to reflect the sentiment of the focus group:*
	• *The identification of critical business / units.*
	• *Allocation of resources, where to locate; equipment, vehicles, laptops required; technology, the human factor and a generator.*
	• *The identification of an alternate site to continue with business.*
	• *Conduct a business impact analysis to prioritize functions / business.*
	• *The BIA will provide an indication as to what business was considered to be the critical businesses that cannot function when the BCP kicks in.*
	• *The identification of the people and business continuity management. The people that will manage the whole process and who will be the shot callers need to be identified.*
	• *Conduct an assessment of the alternate site, where the information was going to be kept and whether it was in line with the risk management process.*
Research Question 3:	**As the lead department, you are expected to support departments with the development of business continuity plans. How do you see your role?**
Theme(s)	The participants viewed their role as facilitator and advisor. They advised in respect of business continuity and also analysed documentation. The business continuity plan was communicated through awareness and information sessions. The participants stated that they were responsible for risk management in the business continuity plan.
Evidence	*The following responses have been paraphrased but reflect the sentiment of the focus group:*
	• *Participated by sitting with the security manager.*
	• *They saw their role as purely advisory.*
	• *They indicated that they were managing departments business continuity plans*
	• *Their role was articulated in the BCP document where they facilitated the risk management part of the BCP.*
	• *They also had a responsibility in respect of communicating business continuity by creating awareness. Staff need to be informed because should a disaster strike there shouldn't be chaos, therefore it was important to ensure that staff were informed.*
Research Question 4:	**Do you think that you could influence processes within departments in favour of business continuity?**
Theme(s)	Business continuity could be influenced through engagements with security managers to build and maintain trust. The establishment of a network with those that function in the business continuity environment. Making use of existing platforms and processes to influence. Required flexibility as departments were different. By virtue of the security risk management function, processes could be influenced in favour of business continuity.
Evidence	*The following responses have been paraphrased but reflect the sentiment of the focus group:*
	• *The relationship with the security manager was important. It allowed for communication where inputs were taken to the security committee and EXCO of the department and feedback provided. The processes could be influenced because security risk management was their core function.*

	• *The platforms to influence differs from department to department. Some indicated that they were influential when it came to the budget, processes or technology in departments. The MoU between departments and the lead department could also be seen as a platform to influence.* • *The provision of expert advice to departments were standard based.*
Research Question 5:	**What does enterprise risk management mean to you?**
Theme(s)	Enterprise risk was seen as a management issue and highly classified as it was a line function. Categories of risk related to the explicit distinction between security risk and enterprise risk. Security risks were identified in terms of MISS whereas enterprise risk was seen to more financial or budget related. Enterprise risks were considered internal based on departmental inputs. Management were better influenced to influence EXCO and have risks placed on the risk register.
Evidence	*The following responses have been paraphrased but reflect the sentiment of the focus group:* • *Enterprise risk management was a management issue, it was seen to be highly classified.* • *Enterprise risk management was aligned with 31000. The lead department was concerned with physical security and different elements of the industry. Enterprise risk management was better suited to influence on an EXCO level as it comprised management. There were some risks that were identified and registered on the risk register of the department based on the ERM finding. The HoD or whoever would decide whether the risk would be accepted and reflected on the risk register.* • *Enterprise risk management was basically on a different methodology pertaining their risks which might be internal from department's inputs.*
Research Question 6:	**How in your opinion should risks be identified?**
Theme(s)	The internal and external context of the organization was a determinant in identifying risk. The internal context related to policies, legislation. External context related to dependencies on other stakeholders. The internal and external environment with reference to the organizational cultures, political and technological environments were also determinants in the identification of risks. The various approaches to identifying risks were mentioned: stakeholder engagement, pestle, SSRAs, RSATs, reports, incidents, root cause analysis technique, situational analysis, PDCA and hazards.
Evidence	*The following responses have been paraphrased but reflect the sentiment of the focus group:* • *The way risks were identified was based on stakeholder engagement and consultation, it started from there.* • *The external context has different elements example technology, political, social environment and the legal environment.* • *The internal context was in line with the four strategic thrusts of the WCG which was polices, organizational culture, applied methodologies, leadership and management.* • *PESTLE was identified as a method to identify risks.* • *The RSAT process was also identified as a method to identify risk.* • *The SSRA was a full-scale assessment of the safety and security risks.* • *Implementing PDCA – in terms of the ISO standard.* • *The root cause analysis technique would lead to the exact risk.* • *To identify risk a situational analysis could be conducted, advise department to proactively identity risk before something happens. In some instances, the response was reactive.*
Research Question 7:	**Do you think you could influence the risk management processes within departments?**
Theme(s)	The consensus was yes that the risk management processes could be influenced. The view was held that in order to influence the process one needed to become a subject expert. The establishment of relationships with departments and having a partnership with security manager was also deemed as a means to influence. A key success would be understanding department's business processes which in turn could be used as a means of doing a risk assessment against. As a subject expert it would facilitate the provision of responses and to get buy-in to convince stakeholders. Not all risks were security related but related to projects. Due to the non-participation in service delivery loan itself to the inability to identify service delivery risks.

Evidence	*The following responses have been paraphrased but reflect the sentiment of the focus group:*
	• *Agreement that processes could be influenced but it did not necessarily mean that the risk goes onto the risk register.*
	• *Having a partnership with the security manager was very important. It was also important that the business processes of the department were understood.*
	• *In order to be successful required the understanding of department's key processes in order to use against them.*
	• *It was important that the risk assessment was conducted against the department's standards which were implemented by the department.*
	• *Agreement that processes could be influenced by required to first establish a relationship with the department, ascertain who was responsible for risk management.*
	• *Secondly the lead department needed to educate themselves to become the subject expert to respond appropriately to get the required buy-in.*
	• *Some participants indicated that they were already influencing because they have managed to integrate the different business units.*
Research Question 8:	**Would you agree that a link exists between business continuity and resilience? Kindly elaborate your thinking.**
Theme(s)	Resilience was concerned with the ability of an organization to survive, and adapt to change. The sentiment expressed was that a link existed between business continuity and resilience.
Evidence	*The following responses have been paraphrased but reflect the sentiment of the focus group:*
	• *There was a link. Being resilient allows one to make a comeback.*

Source: adapted from Adu (2016)

4.3.3.5 Interpretation: Consolidation of Themes

The final themes have been consolidated to determine the overarching them. Table 4.6.

Table 4.6: Interpretation: Consolidation of themes

Research questions	Themes: Semi Structured Interviews	Themes: Focus Groups
Explain the process your department uses to manage business continuity • Understanding business continuity • Key processes in business continuity management	Business continuity was resultant of an incident or disruptive event. It required the identification of critical processes. It included conducting a business impact analysis. A plan needed to be developed, which needed to be reviewed and tested. Resources were required to ensure continued business, which included, equipment, staffing and the identification of an alternate site. Decision makers needed to be identified. Roles and responsibilities needed to be clarified. The impact on business, tolerable time and the development of a communication protocol. Training and awareness needed to take place as well as the establishment of a team.	Business continuity was when an organization was faced with a disruptive event (could be man-made or natural), it required a plan of processes to be able to continue with critical business in order to meet its objectives. It involved the development of a business continuity plan. Required conducting a business impact analysis to identify the following: an alternate site, critical staff required, core business functions and recovery times. The key processes were therefore the identification of the critical business and critical units to ensure the continuation of business. A business impact analysis needed to be conducted in order to prioritize functions / business, determine the resources required, identifying an alternate site and resourcing of the alternate site.

		Identification of key persons for business continuity management, and clarifying roles and responsibilities including decision makers.
Explain how your department identifies risks • In your opinion how should risks be identified	The risk management process entailed determining what prevented the achievement of goals. Departments followed the enterprise risk management process using the bowtie technique for risk identification. The process was a consultative engagement with business units. The risk process involved the following: Identification of a risk management structure at the different levels of management; indicating what the responsibilities were; ranking of risks as high or low; varied approaches to identify risks opposed to the enterprise risk management process followed.	The internal and external context of the organization was a determinant in identifying risk. The internal context related to policies, legislation. External context related to dependencies on other stakeholders. The internal and external environment with reference to the organizational cultures, political and technological environments were also determinants in the identification of risks. The various approaches to identifying risks were mentioned: stakeholder engagement, pestle, SSRAs, RSATS, reports, incidents, root cause analysis technique, situational analysis, PDCA and hazards.
• What does enterprise risk management mean?		Enterprise risk was seen as a management issue and highly classified as it was a line function. Categories of risk related to the explicit distinction between security risk and enterprise risk. Security risks were identified in terms of MISS whereas enterprise risk was seen to more financial or budget related. Enterprise risks were considered internal based on departmental inputs. Management were better influenced to influence EXCO and have risks placed on the risk register.
• Influencing the risk management processes		The consensus was yes that the risk management processes could be influenced. The view was held that in order to influence the process one needed to become a subject expert. The establishment of relationships with departments and having a partnership with security manager was also deemed as a means to influence. A key success would be the understanding of department's business processes which in turn could be used as a means of doing a risk assessment against. As a subject expert it would facilitate the provision of responses and to get buy-in to convince stakeholders. Not all risks were security related but related to projects. Due to the non-participation in service delivery loan itself to the inability to identify service delivery risks.
Where are these identified risks reflected	Departments use varied risk registers but mostly in the enterprise risk register. The following risk registers exists within the WCG: Provincial; Strategic; Program; Fraud; IT; Operational; Risks were classified as strategic, program, operational. Not all risks were reflected in departmental risk registers. Risks	Some risks have been identified and registered on a department's risk register based on enterprise risk management findings. Should the HoD decide to accept the risk, the risk wasn't registered on the risk register. Risks were reflected on risk registers, program risks in the program and some

	were also reflected in the SHERQ monitoring tool, annual performance plans of departments, project plans and audit reports which reflected operational and assessment reports. High risks were elevated to ERMCO. Quarterly engagements were held to discuss the risks.	departments reflect risks in annual performance plans. Management were better influenced to influence EXCO and have risks placed on the risk register.
Who is responsible for the management of BC in your department? Influencing processes in favour of business continuity	The management of business continuity in departments was hailed as not only a management responsibility but that of duly appointed security managers and business continuity teams.	Need a business continuity coordinator, security manager, team and management team Business continuity could be influenced through engagements with security managers to build and maintain trust. The establishment of a network with those that function in the business continuity environment. Making use of existing platforms and processes to influence. Required flexibility as departments were different. By virtue of the security risk management function, processes could be influenced in favour of business continuity.
How does your department facilitate BC? • Support departments with the development of business continuity plans	Business continuity was facilitated through a consultative process to determine what prevents the achievement of objectives and the determination of critical services. It involved having workshops with management, creating awareness, training, the establishment of clear roles and responsibilities, development of a business continuity plan and tools.	The participants viewed their role as facilitator and advisor. They advised in respect of business continuity and also analysed documentation. The business continuity plan was communicated through awareness and information sessions. The participants stated that they were responsible for risk management in the business continuity plan.
Explain if you think a link exists between BC and resilience.	A definite link exists between business continuity and resilience. Preparedness was key, required planning to be proactive. Clarification of roles and responsibilities to assist with decision making by the right people. Identification of resources required; impact on business; recovery process; learnings and creating awareness. A robust business continuity plan; testing of plan and review of plan to incorporate learnings.	Resilience was concerned with the ability of an organization to survive, and adapt to change. The sentiment expressed was that a link existed between business continuity and resilience.

From the consolidated themes presented in Table 4.6 the author provided a summary of the final themes which would be further deliberated in the next chapter.

- **Business Continuity Management in the Western Cape Government**

Business continuity was resultant of an incident or disruptive event that could be man-made or natural. Business continuity required a plan of processes to be able to continue with critical business. Business continuity was a consultative process to determine what prevents the achievement of objectives and the determination of critical services.

The business impact analysis was identified as a key process in determining the critical processes required for business to continue; the resources required in relation to staffing, alternate site from which to operate, equipment; determining the impact on the business, tolerable time. The process also required the identification of key decision makers; clarification of roles and responsibilities in relation to the process; establishment of business continuity teams; the development of a communication protocol; training and awareness. The drafting of and implementation of a plan for business continuity that required testing and review.

The management of business continuity in departments was hailed as not only a management responsibility but that of security managers and business continuity teams. Business continuity could be influenced by latching onto existing platforms and processes. Influence could be exerted through the security risk management function, by engaging security managers to build and maintain trust. The lead department viewed their role to facilitate and advise departments in respect of business continuity through awareness and information sessions.

- **Risk management in the Western Cape Government**

The risk management process entailed determining what prevented the achievement of goals. Departments followed the enterprise risk management process using the bowtie technique for risk identification. The process was a consultative engagement with business units. The risk process involved the following: Identification of a risk management structure at the different levels of management; indicating what the responsibilities were; ranking of risks as high or low. There were varied approaches to identify risks opposed to the enterprise risk management process; which included: stakeholder engagement, pestle, SSRAs, RSATS, reports, incidents, root cause analysis technique, situational analysis, PDCA, hazards and MISS. Security risks were identified in terms of MISS whereas enterprise risk was seen to more financial or budget related.

Enterprise risk was seen as a management issue and highly classified as it was a line function.

Risk management processes could be influenced by becoming a subject expert which would facilitate the provision of appropriate responses to get buy-in to convince stakeholders. The establishment of relationships with departments and having a partnership with the security manager was also deemed as a means to influence. A key success would be the understanding of department's business processes which in turn could be used as a means of doing a risk assessment against.

Departments use varied risk registers but mostly in the enterprise risk register. The following risk registers existed within the Western Cape Government: Provincial; Strategic; Program;

Fraud; IT; Operational. Risks were classified as strategic, program or operational. Not all risks were reflected in departmental risk registers.

Risks were also reflected in the SHERQ monitoring tool, Annual Performance Plans of departments, project plans and audit reports which reflected operational and assessment reports. High risks were elevated to ERMCO. Quarterly engagements were held to discuss the risks.

- **Resilience and Business Continuity in the Western Cape Government**

A definite link exists between business continuity and resilience. Resilience was concerned with the ability of an organization to survive, and adapt to change. Preparedness was key and required proactive planning. Clarification of roles and responsibilities to assist with decision making by the right people. Identification of resources required; impact on business; recovery process; learnings and creating awareness. A robust business continuity plan; testing of plan and review of plan to incorporate learnings.

4.3.3.6   Interpretation: Documentation

The following business continuity documentation formed part of the comparative analysis: Business continuity policy; Business Impact Analysis; Risk Assessment; and Business Continuity Plan. Participants were also requested to provide templates if available which could be used as a best practice.

The documentation analysed was aligned with the requirements of ISO 22301: 2012 and ISO 31000: 2009. The author made use of predefined codes to analyse the data of the selected documentation. The process also required the author to consult departmental Annual Performance Plans. Table 4.7 Criteria for Document Analysis (Adapted from Bowen 2009) was applied to analyse the selected documents.

Table 4.7: Criteria for Document Analysis

Documents selected	Data Analysed
Business Continuity Policy	Policy endorsed by top management that was relevant to the intent of the organization, provided a frame for setting business continuity objectives, committed to meet applicable requirements, committed to the continuous improvement of the business continuity management system
Business Impact Analysis	Each organization was required to institute, implement and manage a formal and documented process. The following elements formed part of the analysis:

	• Identification of actions in support of business operations (provision of services & products); • If the activities were not performed, assessment of the impact over time; • Determining timeframes for the resumption of activities, minimum tolerable levels; and • Noting dependencies and resources required supportive of these activities.
Risk Assessment	Each organization was required to institute, implement and manage a formal and documented process. The following elements formed part of the analysis: • Identification of the disruption to the critical actions, procedures, systems, assets (information, people, systems), stakeholders and other resources that support them; • Analyse the risk systematically; • Determine which risks related to the disruption required treatment; and • Identify mitigations aligned to the objectives (business continuity) and risk appetite of the organization.
Business Continuity Plan	Each plan shall specify: • *"Purpose and scope;* • *Objectives;* • *Activation criteria and procedures;* • *Implementation procedures;* • *Roles, responsibilities, and authorities;* • *Communication requirements and procedures;* • *Internal and external interdependencies and interactions;* • *Resource requirements; and* • *Information flow and documentation processes."*

Source: adapted from Bowen (2009)

Based on the analysis the following interpretations were made by the author:

There seemed to be no business continuity policy available. The business impact analysis was not completed comprehensively for all departments. In some instances, the business impact analysis formed part of the business continuity plan which made it difficult to ascertain whether a comprehensive analysis was actually completed. Also noticeable was the fact departments were using similar formats and the information captured was either the same or similar in natured and it was not clear whether it was geared to the core business functions of the individual departments. The risk assessment was also not completed by all departments. All departments had signed business continuity plans. These plans contained most of the information required in terms of the standard. With this being said it should be noted that the information was located haphazardly in the document without any flow.

4.3.4   CONCLUSION

The following key themes were found to be prevalent. Business continuity was in response to a disruptive event, whether man-made and/or natural. It was a consultative process that required engagement with stakeholders and required the commitment of management. Creating awareness was not only limited in respect of communicating (included roles and responsibilities). The content of the business continuity plan should also include guidance on how to develop the business continuity plan. The conducting of the business impact analysis not only facilitated the identification of the critical business functions and/or processes but also the business units responsible for these functions and/or processes. The enterprise risk management process was purported as the risk management process for the Western Cape Government. The development of a communication protocol to communicate the disruption. The key themes were inclined towards the development of a business continuity management system, which could be considered the overall theme of the analysis.

Chapter 5 will discuss the analysis in relation to the key themes by referencing the literature reviewed to ascertain whether the research questions were appropriately answered.

CHAPTER 5

DISCUSSION

5.1   INTRODUCTION

The aim of the research was to ascertain the factors influencing the readiness of the Western Cape Government to continue with business as a result of a disruption. The intention of this chapter was to conclude whether the research questions were adequately answered. The research questions were designed to determine the current readiness level of the Western Cape Government. The questions attempted to explore existing business continuity processes; identification, location, management and the facilitation of risks; and forging the link between business continuity and resilience.

The chapter was arranged to discuss the findings in respect of the research questions, comparison to earlier findings, significance of the results and identifying gaps for future research. The process followed by the author was illustrated in Figure 5.1.
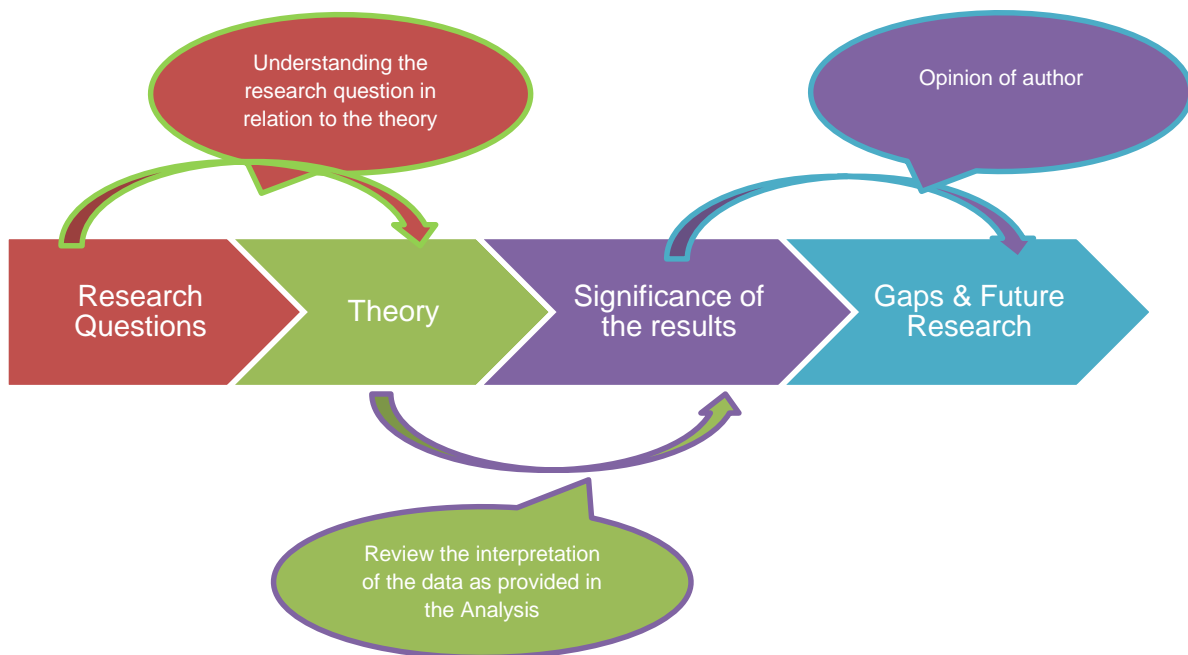

Figure 5.1: Process for discussion
Source: Author's own construct (2019)

5.2   BACKGROUND

The study set out with the aim to explore the state of business continuity of the Western Cape Government to determine its level of preparedness to handle a disruptive event. It was established that Government had an obligation to provide services and infrastructure to improve the lives of all the people in the country. Should Government be faced with a disruption it ran the risk of not being able to deliver services to the citizens of the country. It was therefore assumed that government departments would be prepared to deal with any disruption, with the assurance that services to the citizens would continue, but in a limited capacity, with limited impact and within a predetermined time. This however was not the case based on the fact that the Western Cape (South Africa). Department of the Premier (2016) registered the ability of the Western Cape Government to plan for disruptive events, to continue and restore business after such events as a provincial risk. The insufficient supply of electricity experienced by the citizens of the country has had dire consequences for all in all industries. The inability of the country to deal with this issue has resulted in major disruptions experienced by many and financial losses.

As mentioned in the literature review, South Africa. National Treasury (2018:8) expressed similar sentiments and developed the draft Government Resilience and Continuity Strategy based on ISO 22301: 2012 – Requirements of a business continuity management system. This therefore implied that ISO 22301: 2012 would become the guiding principle to be used by the Public Service. With this in mind ISO 22301: 2012 was one of the important unit of analysis in relation to the research questions. To gain improved insight in relation to the risk environment within the Western Cape Government, ISO 31000: 2009, was used as the methodology as it formed the basis in respect of the Enterprise Risk Management Strategy for Government.

British Standards Institute (2012:v) specified that the ISO standard applied the Plan-Do-Check-Act model related to planning, establishing, implementing, operating, monitoring, reviewing, maintaining and continually improvement the effectiveness of an organizations business continuity management system. The research questions were designed to address the key processes in relation to the development of a business continuity management system; "*leadership; planning; support; operation; performance evaluation and improvement*".

5.3   DISCUSSION BASED ON THE RESEARCH QUESTIONS

Qualitative data was gathered during semi structured interviews with officials who were tasked with business continuity within their departments and representative of middle and senior management. The gathered data during the focus group dialogs were from those individuals representing the lead department, tasked with providing departments with support with the

development of business continuity plans. This sample was representative of the junior levels, functioning on an operational level.

The presentation of the results was guided by the sub clauses of ISO 22301: 2012 expressed as the key requirements: Leadership; Planning; Support; Operation; Performance Evaluation; and Improvement as well as the other literature reviewed in chapter 2.

5.3.1   RESULTS IN TERMS OF THE RESEARCH QUESTIONS

The **first question** sought to determine what business continuity processes were currently being used by Western Cape Government departments. The question provided departments with an opportunity to elaborate on the business continuity processes within their respective departments. The aim of the question was to determine whether departments understood the purpose of business continuity, identifying key processes, support to departments and how the current processes could be influenced in favour of business continuity. A satisfactory response would include the key processes of ISO 22301: 2012.

The **second question** focused on how risks were identified, influenced and supported. The research question sought to understand the risk identification process within government. It was therefore deemed important to determine how risks were identified, the risk management process within government departments and finally how the lead department would be able to influence the processes of risk management supportive of business continuity. The author therefore made the assumption that in order to ensure continued business, risks need to be appropriately identified and mitigated. The questions posed required exploring the participants understanding of the risk management process inclusive of the business impact analysis and risk assessment; both which were considered to be risk-based assessments.

The **third question** was a follow up to the previous question. The research question tried to ascertain where departments reflected their risks. This question required further elaboration on the risk management process. The question sought to ascertain where, once risks have been identified, were reflected.

The **fourth question** required the participant to identify who held the responsibility for the management of business continuity in their department. The research question sought to determine whether participants felt that business continuity was the responsibility of one individual, a team of nominated officials and/or business unit managers. Reference could be made

to legislative requirements. The question also sought to determine what the role of the leadership was in the management of business continuity.

The **fifth question** sought to ascertain how business continuity processes were managed and facilitated within Western Cape Government departments. The research question sought to determine how business continuity was supported within the Western Cape Government as provided for in ISO 22301: 2012. It needed an understanding in respect of the resources required to create, implement, retain and improve the business continuity management system. Reference could be made to the resources required, competency levels of staff, creating awareness and providing the necessary training, communication protocol, documented information.

The **sixth question** sought to explore whether participants saw a link between business continuity and resilience. The purpose of the question was to ascertain whether participants held the understanding that being a resilient organization meant, recognizing that business continuity was a key factor in the pursuance of resilience and therefore a contributor towards becoming a resilient organization. Reference made to maturity, indicative of the level of preparedness. A resilient organization anticipated, prepared for, and adapted to change in order to survive and prosper. Business leaders were becoming more aware that if an organization was resilient it would be supportive of growth as it protects their continued performance. Business continuity was seen as the key discipline towards becoming resilient.

Comparative Analysis: the results of the document analysis in relation to the Business Continuity Policy, Business Impact Analysis; Risk Assessment and Business Continuity Plan.

5.3.2   RESULTS COMPARED TO EARLIER FINDINGS

This section presented the results of the study to reveal department's understanding and readiness in respect of processes to manage and facilitate business continuity as well as the clarification of roles and responsibilities. The ability of the lead department to influence processes and support departments in respect of business continuity was also provided.

5.3.2.1   Key processes to manage Business Continuity

In reviewing the literature review British Standards Institute (2012:2) stated that the purpose of ISO 22301: 2012 was to support organizations to enhance the effectiveness of current processes towards business continuity. British Standards Institute (2012:v) also provided that a business

continuity management system specified the requirements for establishing and managing an effective corporate business continuity capability. It broadly focused on: understanding the corporate requirements and incorporating these into the business continuity policy and objectives; (business continuity policy); implementing and operating actions for managing the corporate business continuity capability before and during disruptions (business impact analysis, risk assessment and the development of the business continuity plan); monitoring and reviewing the effectiveness of the business continuity management system (exercise / testing of the business continuity plan); and continuous improvement of the business continuity management system.

Smith (2012:10) purported that the management of business continuity was a management process. The commitment by top management would be affirmed in the development of a business continuity management policy. The policy would ensure that the activities associated with business continuity would be carried out in an agreed and consistent manner. The realization that each business unit was unique and hence a tick box and template approach would not be suitable. A move away from business continuity for compliance towards service delivery. The importance of conducting a proper business impact analysis to identify core business functions were highlighted as well as the conducting of a risk assessment to provide the organization with an overall view of the risks. Tamadoni (2015:1) stated that the business continuity plan was the plan that would secure the continuation of business. Sambo (2014:53) however provided that although a business continuity plan existed it had to be tested. The business continuity plan therefore not only needed to be tested, but continuously maintained and improved.

5.3.2.2 Clarification of roles and responsibilities for Business Continuity

As mentioned in ISO 22301: 2012 the role of top management was crucial. It was expected of the leadership to show their commitment by: making sure that the business continuity management system was aligned to the strategic path of the organization, integrated the business continuity management system requirements into the organizations business processes and communicated the significance of effective business continuity management and conformed to the business continuity management system requirements. The leadership needed to assign responsibility for the creation, implementation and checking of the business continuity management system. In addition the leadership also needed to ensure that the business continuity management system achieved the projected results and that it directed and supported continual improvement. The expectations of top management was articulated via a policy statement. British Standards Institute (2012), the policy for the management of business continuity formed the basis for setting objectives, contained commitments meeting legal and regulatory requirements. This sentiment was supported by South Africa. National Treasury (2017:7) in that the business continuity policy provided strategic direction, defined how business continuity would be approached, structured

and resourced; supported and approved by the leadership to provide effective governance; fit for purpose state how strategic objectives and relevant policies were supported; fit for purpose; identify principles or guidelines as a benchmark for the business continuity program.

Important to note from the literature reviewed was that business continuity was deemed a governance issue. Wong and Shi (2015:31) reiterated the sentiments that a business continuity management system should be aligned to existing management processes within the context of corporate governance. Wong and Shi (2015:8) also maintained that corporate governance underpinned the oversight capabilities that ensured controls were established to safeguard key assets, capacity to earn and reputation of the organization. Leadership commitment was therefore required for business continuity to be successful.

5.3.2.3   Facilitation and Support of Business Continuity

Facilitation and support of business continuity as mentioned in ISO 22301: 2012 was concerned with the resources required to create, implement and retain an effective business continuity management system. It required that people were competent in terms of education, training, awareness and experience. Consideration to be given to how the interested parties would be communicated with as well as the requirements to manage the documentation. Critically, roles should be understood during a disruption. A further requirement was to show how to respond to communications from interested parties. It was crucial that the all elements of the business continuity management system was fully documented. The documents must be retained, organized and stored appropriately.

British Standards Institute (2012) held the view that in order to provide effective business continuity management required the establishment and implementation of business continuity procedures. Communication protocols, process to be followed at the disruption must be established. These procedures must also allow for flexibility to accommodate changes in circumstances and threats that were not anticipated. The procedures to move from temporary measures towards normal business needed to be documented as well. The requirements for exercising and testing to be put in place which would promote the continuing improvement of the business continuity management system.

Smith (2012:25) maintained that an interrelated whole-of-business organization was to be adopted.

5.3.2.4   Risk Management

The ISO standard referred to the establishment of the strategic objectives and directing principles of the business continuity management system holistically. This section required the organization to address the threats to the business continuity management system not being successfully created, implemented and retained. It was about comprehending the culture internal to the organization and the external environment in which the organization functioned. The anticipated barriers that would prevent the business continuity management system from being effective also needed to be understood. Objectives needed to be clearly defined, plans for achievement. The tolerance levels needed to be established as these referred to the minimum level of services and products suitable so that business objectives could still be achieved. Decisions also needed to be made in terms of the persons charged with the delivery of objectives, the timescales involved, the resources sought after, and the process of the evaluation of the results.

As presented in the literature review, the government of the Western Cape adopted an enterprise risk management process aligned to the ISO 31000: 2009 methodology. According the Western Cape Government Enterprise Risk Management Strategy the Provincial, Strategic and Annual Performance Plans informed the enterprise risk management process. The identification of risks were based on the inability of departments to achieve the deliverables as documented in these plans.

5.3.2.5   The link between Business Continuity and Resilience

Denyer (2017:11) summarized that resilient organizations should take preventative measures when having to deal with possible problems. The development of business continuity plans and training for emergency responses was viewed as a preventative measure. For an organization to survive and thrive required organizations to become resilient which meant the ability to predict, prepare for, react to and to adjust to gradual change and sudden disruptions. Business leaders were aware that organizational resilience was imperative in order to grow and safeguard continual performance. The sentiment expressed by Fergusen (2018) was that effective business continuity processes were seen as contributors to resilient organizations. With this being said in order for the Western Cape Government to become resilient, it required departments to have a thorough understanding of their risks. Leadership and Governance were key and it was therefore important that all managers within the Western Cape Government saw themselves as risk owners.

5.3.2.6   Comparative analysis of documentation

The following business continuity documentation formed part of the comparative analysis: Business Impact Analysis; Risk Assessment; and Business Continuity Plan. The Business Continuity Policy was discussed earlier in this chapter. The interrogation of business continuity documentation would allow for improved application in a standard manner and the alignment of business continuity management system with existing management processes.

- **Business Impact Analysis**

  The business impact analysis, in accordance with the British Standards Institute (2012:18), was defined as core to the business continuity management system. ISO 22313: 2012 provided that the purpose of a business impact analysis was to gain insight into the main services and products of the organization and the activities key to delivery (that was critical functions); determined the priorities of the organization and timeframes for the resumption of duties; identification of key resources required for continuity and recovery and the identification of internal and external dependencies.

  Long (2017) maintained that both business impact analysis and risk assessment were important elements for business continuity. Business impact analysis was concerned with 'what' was impacted whereas the risk assessment was concerned with the 'how' impacts occur. These differences made it clear that business continuity strategy and implementation required a business impact analysis and risk assessment. Interstate Restoration (2019) provided that the business impact analysis could be used as a tool which senior managers could use to analyse their business functions and assess the risks of a disruption on an organization.

- **Risk Assessment**

  The opinion of Venter (2014:146) was that the management of risk was no longer limited to financial analysis. The strategies for risk management needed to be expanded to include destabilizing events arising from other external forces. The British Standards Institute (2012:16) noted that the risk assessment would assist in identifying, analysing and evaluating the risk of disturbance to critical functions. It also provided an indication of the risk of disruption to the procedures, systems, information, people, assets, suppliers and resources that supported the critical functions.

- **Business Continuity Plan**

British Standards Institute (2012:2) provided that the business continuity plan outlined the steps necessary to function during a disruption. ISO 22313: 2012 defined a business continuity plan as the documented procedure that would guide organizations to respond, recover, resume and restore to a defined level of functioning following a disruptive event. The business continuity plan should clearly communicate how the organization would respond during a disruption and how the risks would be mitigated. The business continuity plan should include clearly defined roles and responsibilities; processes to activate the response; details on how to manage the immediate consequences as a result of a disruptive event in relation to wellbeing of individuals, level of response (strategic, tactical or operational; avoiding further loss; under which circumstances communication with stakeholders would take place; recovery in respect prioritized activities within predetermined timeframes; media response.

5.3.3   SIGNIFICANCE OF THE RESULTS

This section was arranged to firstly provide the findings from the qualitative results and then comparing the findings with the reviewed literature.

5.3.3.1   Key processes to manage Business Continuity

From the data collected from the **qualitative analysis** it was revealed that business continuity was actioned due to a disruptive event. A disruptive event referred to any incident, whether man–made or natural, that resulted in the non–achievement of objectives. Business continuity required a plan of processes to allow business to continue. It entailed conducting a business impact analysis to determine the critical business processes and the critical business units and staffing required. The drafting and implementation of a business continuity plan was also deemed a key process for business continuity. It was also alluded that in addition to the business continuity plan there were sub and contingency plans.

The lead department indicated that support to departments were consultative, facilitative and advisory. Further to this, the lead department viewed their role to analyse documentation for departments, creating awareness and responsible for the risk management part of the business continuity plan. Building and maintaining trust, networking and using existing platforms within departments were viewed as a vehicle / mechanism to influence in favour of business continuity.

The business continuity plan was a plan of action when a disruption occurred. It should include a communication protocol as to how business continuity was to be communicated amongst staff, stakeholders, and decision makers in relation to when the business continuity plan was to be actioned. The establishment of a team to run with the business continuity process, where roles and responsibilities were clearly defined.

The findings from the qualitative analysis, demonstrated that departments had a fair understanding of what business continuity meant and why it was important. The process alluded to by departments merely indicated what activated business continuity; it required the conducting of a business impact analysis in order to highlight the critical functions and business units required to perform them; resources required; clarification of roles and responsibilities; identification off the decision makers and management of the process; and the development of a business continuity plan.

The findings were consistent with the requirements of the business continuity management system as identified in ISO 22301: 2012, however not all the key processes were taken into consideration. There was an inability to demonstrate the commitment of the leadership to business continuity as provided for in ISO 22301: 2012, which would be demonstrated in the business continuity policy. Top management's endorsement of the policy affirmed their commitment.

The policy should be in line with the purpose of the organization, provide the frame to establish objectives for business continuity and an assurance for the continuous improvement of the business continuity management system.

None of the departments had a business continuity policy in place.

As demonstrated by the ISO standard a business continuity management system should be implemented, which be aligned with existing management systems as business continuity affected the department holistically. This was not mentioned as part of the key processes listed by the participating departments. Neither was the importance of the legal and regulatory aspects taken into account.

Smith (2012:8) maintained that the ISO standards were not designed to be restrictive or exhaustive, organizations should design its own business continuity management system appropriate to its needs. Based on the qualitative analysis departments failed to have a business continuity management system in place.

5.3.3.2   Clarification of roles and responsibilities for Business Continuity

The results of the **qualitative analysis** revealed that the management of business continuity in departments was hailed as not only a management responsibility but that of duly appointed security managers and business continuity teams. It was noted that a business continuity coordinator, security manager, business continuity team and a management team was needed. Business continuity could be influenced through engagements with security managers to build and maintain trust. The establishment of a network with those that function in the business continuity environment. Making use of existing platforms and processes to influence required flexibility as departments were different. By virtue of the security risk management function, processes could be influenced in favour of business continuity.

The **findings acknowledged** that departments need to task individuals and teams to manage business continuity. Concerning though was the fact that theoretically the responses were sound but in reality the appointment of the teams were not activated yet. A possible explanation would be that there was a limited understanding by the leadership and therefore not committed to the process.

From previous studies, Smith (2012:26) also supported this view that the right people needed to be identified as this would determine the success of failure of creating an effective and appropriate business continuity management system capability would be determined and sustained. Organizations were encouraged to appoint a business continuity management champion at management level whose purpose was to bring together all relevant role players to ensure a coordinated approach. This committee should be connected to the organizations enterprise risk management program and be accountable to the organizations risk committee. An advantage of this method was that it leveraged on what currently existed thus allowing and providing a proficient "*virtual capability".* Another advantage was that it confirmed buy-in through the organization.

5.3.3.3   Facilitation and Support of Business Continuity

Based on the **qualitative analysis** there was consensus that it was a consultative process. Business continuity was facilitated through consultative engagements to determine what prevented the achievement of objectives and the determination of critical services. Awareness created through communication; engagements with management and critical business units; workshops with prioritized key business units; administration of a business continuity management template to guide the conversation; understanding roles and responsibilities by communicating with branch managers; drafting of a business continuity plan and tools; creating awareness around the business continuity plan. Training to be focused on OHS.

The lead department viewed their role as facilitator and advisor. They advised in respect of business continuity and also analysed documentation. The business continuity plan was communicated through awareness and information sessions. The participants stated that they were responsible for the risk management part in the business continuity plan.

The **findings** of the qualitative analysis indicated that business continuity was managed and facilitated by conducting of awareness and training sessions; development of business continuity plans. The finding failed to demonstrate a thorough understanding of all the components required, absent was how communications would be managed. It was also found that not many departments had tested their business continuity plans or implemented the communication protocol referred to as call trees. Communication with the relevant parties and the requirements of the management of documentation should be considered. Not clear how the plans and/or roles and responsibilities were communicated to staff or stakeholders. Departments acknowledged that awareness was not properly rolled out, that it would be pursued. Also concerning was the fact that the training plan was incorporated as part of the business continuity plan.

The lead department viewed their role as facilitator and advisor by providing advice in relation to business continuity processes and the analysis of documentation. The lead department however saw themselves playing a big role for the risk management part of the business continuity plan. In terms of the literature the lead department were required to support departments – this lends itself to believe that the lead department was not sure of their function as they saw themselves as advisors and only the risk management part of the business continuity plan.

Facilitation and support were more geared to training, awareness, communication etc. this was not the focus and the research question was not appropriately answered. This could be as result of the concept being fairly new in the department and there was no standard process as to how it was supposed to be approached.

The responses to the research question was not adequately answered as facilitation and support was concerned with the leadership having an obligation to guarantee that sufficient and suitable resources were accessible for the business continuity management system. All staff with responsibilities for business continuity must be competent to conduct their role. All staff impacted should be made aware of the business continuity policy and what the role they have to play during disruptive events. Internal and external communication must be taken into account. The documentation requires follow the usual requirements for management systems, including the creation, revision and control of documents.

Mansol et al (2014:910) supported a notion that continuous training and/or awareness were to be embedded in the organization; commitment by management to implement business continuity

management. Attempts should therefore be made to incorporate business continuity into the organization's culture.

5.3.3.4 Risk Management

The **qualitative analysis** provided that the process of risk management was a consultative process. It required engagement with business units to identify critical business units and key processes. The process of risk management entailed determining what prevented the achievement of goals. The Enterprise Risk Management process was identified as the process for the identification of risks followed by departments which was aligned with the ISO 31000: 2009 methodology. Departments used the bowtie technique for risk identification.

Enterprise risk was seen as a management issue and highly classified as it was a line function. The risk process involved the following: Identification of a risk management structure at the different levels of management; indicating what the responsibilities were; ranking of risks as high or low. There were varied approaches to identify risks opposed to the enterprise risk management process; which included: stakeholder engagement, Pestle, SSRAs, RSATS, reports, incidents, root cause analysis technique, situational analysis, PDCA, hazards and MISS. Security risks were identified in terms of MISS whereas enterprise risk was seen to more financial or budget related.

The internal and external context of the organization were viewed as determinants in identifying risk. The internal context related to policies, legislation. External context related to dependencies on other stakeholders. The internal and external environment with reference to the organizational cultures, political and technological environments were also determinants in the identification of risks.

The consensus was that the risk management processes could be influenced. The view was held that in order to influence the process one needed to become a subject expert. The establishment of relationships with departments and having a partnership with security manager was also deemed as a means to influence. A key success would be the understanding of department's business processes which in turn could be used as a means of doing a risk assessment against. As a subject expert it would facilitate the provision of responses and to get buy-in to convince stakeholders.

Not all risks were security related but related to projects. Due to the non-participation in service delivery loan itself to the inability to identify service delivery risks.

From the findings it was evident that there was consensus amongst participants that the enterprise risk management process was used by the Western Cape Government. No thought about the process but rather focused on the output. Perhaps on a strategic level this would suffice. The identification of risks by Western Cape Government departments were facilitated by the Enterprise Risk Management team. Risk were identified during one-on-one interviews with management. During these discussions risks were identified, explored and detailed but most times not properly documented and narrated.

Concerning though based on the responses was that the enterprise risk management process was deemed to be how risks were identified. No reference was made in respect of the varied sources available to identify risks as there did not seem to an exact science for the identification of risk. There was an assumption by the author that the participants would provide a step-by-step encounter as to how risks were identified during the enterprise risk management process. Based on this the author was led to the assumption that a limited understanding existed amongst the participants as to how risks were identified. There seemed to be a fair comprehension of the process of enterprise risk management. However, no mention was made in respect of the risk identification process. It would seem that the participants on senior management level had a better understanding of the risk management process. However, they still failed to address the process of risk identification in response to the research question. Having said this, it was also noted that the lead department viewed security and enterprise risk as two different issues. The literature provided that in the context of government risk management referred to all the risks of the institution.

The author further held the view that although an Enterprise Risk Management Strategy and Implementation Plan existed within government departments it was however limited to being a compliance issue and not much thought was given in respect of business continuity planning processes as outlined in ISO 22301: 2012 as opposed to having a business continuity plan in place.

From the **qualitative analysis**, departments use varied risk registers but mostly the enterprise risk register. The following risk registers existed within the WCG: Provincial; Strategic; Program; Fraud; IT; Operational; Risks were classified as strategic, program, operational. Not all risks were reflected in departmental risk registers. Risks were also reflected in the SHERQ monitoring tool, annual performance plans of departments, project plans and audit reports which reflected operational and assessment reports. High risks were elevated to ERMCO. Quarterly engagements were held to discuss the risks. Some risks have been identified and registered on a department's risk register based on enterprise risk management findings. Should the HoD decide to accept the risk, the risk wasn't registered on the risk register. Risks were reflected on

risk registers, program risks in the program and some departments reflect risks in annual performance plans. Management were better influenced to influence EXCO and have risks placed on the risk register. It was also mentioned that not all risks were taken up in the risk register. It was also mentioned that ethics had become an additional risk area.

The most common response was that identified risks were reflected on departmental risk registers. Further it was recommended based on the severity of the risk that it could be elevated to ERMCO (Enterprise Management Committee). Further responses provided that operational risks were reflected in audit reports, for example, provide was the SAPS Audit; SHERQ monitoring tools; risks were reflected in Annual Performance Plans; Project plans; program risk register; strategic risk register; Annual Performance Plans of department; provincial risk registers; Internal audit investigations; spreadsheet; unit register; program register; strategic / operational plus ICT.

Departments use varied risk registers but mostly in the enterprise risk register. The following risk registers exists within the WCG: Provincial; Strategic; Program; Fraud; IT; Operational; Risks were classified as strategic, program, operational. Not all risks were reflected in departmental risk registers. Risks were also reflected in the SHERQ monitoring tool, annual performance plans of departments, project plans and audit reports which reflected operational and assessment reports. High risks were elevated to ERMCO. Quarterly engagements were held to discuss the risks.

From the findings it was clear that a common understanding existed that the identified risks were to be reflected in a risk register. There seemed to an adequate understanding of the risk management process in as far as where the identified risks were to be accommodated. With this being said the level of risk and categories of risk was concerned.

5.3.3.5   The link between Business Continuity and Resilience

From the **qualitative analysis** there was consensus that a link existed between business continuity and resilience. Participants provided that awareness; preparedness; planning were important factors. Preparedness was key and required pro-active planning. Clarification of roles and responsibilities to assist with decision making.

Based on the **findings** it was clear that the sentiment that a link between business continuity and resilience existed. South Africa. National Treasury (n.d.:5) in the draft Government Continuity and Resilience Guideline objective was to ensure that government was prepared for, and could recover from disruption thereby building government resilience. The aim was therefore to build high level resilience in all government departments in the delivery of services when facing major

adverse events. The objective would therefore be for government to drive a resilience capability which would allow for rapid and effective response to recovery. An enabling environment needed to be created whereby government would be able to continue to deliver services and achieve its performance objectives. With this being said and based on the qualitative analysis there did not seem to be much elaboration.

It should however be noted, accordant with qualitative analysis, resilience was also connected to resourcing, impacts, recovery and awareness. The literature attested that resilience required leadership and culture; establishing networks and relations; and being ready for the change process.

It was therefore concluded that the research question in respect of the link between business continuity and resilience was not adequately answered.

5.3.3.6 Comparative analysis of documentation

- **Business Impact Analysis**

  The comparative analysis revealed that the business impact analysis were not comprehensively conducted as outlined in the standard. Some departments fared better than others. There were departments that included the business impact analysis as part of the business continuity plan. From this it was unclear whether a comprehensive analysis was in fact concluded. Tamadoni (2015:1) informed that a business continuity plan was the plan which would secure the continuation of business as a result of a disruptive event. A business impact analysis needed to be conducted prior to the creation of the business continuity plan to understand the potential impact of disruptive events.

  With this being said it should also be noted that there were departments that conducted a much more comprehensive business impact analysis. Certain departments were making use of similar formats and information was also the same or similar and not really geared to the core business functions of the particular department.

  There was a common understanding that a key process was the identification of critical business functions and/or processes. This required the conducting of a business impact analysis. From the qualitative analysis it was gauged that there did not seem to be a very good understanding of the business impact analysis or the risk assessment processes. From the documents provided it appeared that 50% of departments conducted a proper business impact analysis which indicated the impact over time, recovery times needed, tolerable times, dependencies. No mention that the business impact analysis or the process was geared

towards the mandate of departments and not a one size fits all scenario. The other 50% as part of the business continuity plan merely included the business impact analysis. This made it difficult to ascertain whether the actual assessment was completed comprehensively.

- **Risk Assessment**

The Risk assessment was also not concluded as directed by the ISO standard. The risk assessment had not been completed in relation to the outcomes of the business impact analysis but rather in respect of the enterprise risk management process.

The remaining departments including the lead department failed to display an adequate understanding of the importance of the actual business impact analysis and risk assessment as a process. As provided by Long (2017) business continuity and risk assessment were both risk-based assessments. The identification of risk was not a science and there were various ways in which they could be identified.

The risk assessment would provide an overall view of the risks to the organization. It recommended that the two be integrated so that management could be provided with a single view enabling improved decision making, this view was also held by Long (2017).

- **Business Continuity Plan**

Akinbami (2015) questioned whether business continuity plans were a real or a compliance issue? It was acknowledged that a business continuity plan was essential as it established how the business would operate after a disruption and how quickly the business was able to return normal business operations. Many organizations have business continuity plans but they merely fulfil regulatory requirements. The plans have not been drafted created on the results of a business impact analysis or risk assessment. They were not customized and merely regulatory. A real business continuity management system had a plan (business continuity) which was developed based on a business impact analysis and risk assessment. Business continuity plans required testing to ensure improvements. Business continuity was concerned with the continuous survival of the organization rather than compliance. The view of Akinbami (2015) in relation to the business continuity plan being a compliance issue was supported as the Enterprise Risk Management Strategy and Implementation Plan of departments was only concerned that each department had a business continuity plan in place with no regard to the actual business continuity management process.

Smith (2012:25) pointed out that a business continuity plan template approach should be avoided due to the varying and individual mandates of organizations and/or businesses.

Based on the comparative analysis it was evident that a business continuity management template existed which was used by departments.

Departments made reference to the water business continuity plan drafted. The opinion of Smith (2012:26) that planning for every eventuality was a fallacy was upheld as demonstrated with the water shortage crises. Compiling a business plan for every 'possible' disruptive event would prove to not only be cumbersome but also impractical.

It was therefore deduced that a limited understanding of the process of business continuity management existed within the Western Cape Government. The research questions were not adequately answered and highlighted some unexpected results especially in respect of the lead department's knowledge of risk and business continuity and the important role they play to departments in the Western Cape Government.

5.4   GAPS IDENTIFIED

A "*one-size-fits-all*" approach to business continuity was not feasible. The business continuity process could be standardized but must reflect the alignment with core business processes of departments. Consideration should be given to a common taxonomy. The endorsement of the ISO standard as the means of measurement and implementation. Move away from compliance to service orientated.

Other gaps identified related to the testing of the business continuity plan; establishment of committees and/or teams to manage business continue. The development of a communication protocol for departments in order to communicate with internal and external stakeholders in respect of the process.

Thought to be given to the allocation of an oversight function and/or unit similar to enterprise risk management to drive the process transversally within the Province. Training of "subject experts" and ensure that transfer of knowledge was able to take place.

Opportunities for future study:

- development of a framework for the government of the Western Cape which could serve as a guiding document for departments aligned with the ISO standard;

- inclusion of business continuity management within existing strategic management processes and become a MPAT requirement;

- From a strategic point of view make business continuity a function of the Enterprise Risk Management section of the Province as the current Enterprise Risk Management Strategy and Implementation plan already include the business continuity plan.

5.5 CONCLUSION

Although business continuity documentation existed within the Western Cape Government which supported the holistic management of risk and business continuity in reality however it still required work in respect of: effective corporate governance; identification of risk; enterprise risk management; inclusion in strategic planning process and embedding in the organizational culture. The view of Smith (2012:12) that not too great an emphasis should be placed on the business continuity plan but rather the planning. As demonstrated in the literature reviewed the planning process though cumbersome proved necessary.

CHAPTER 6

CONCLUSION

6.1   INTRODUCTION

Chapter 5 provided a comprehensive discussion of the interpretation of the findings in respect of the research questions and related theory. Chapter 6, which was the final chapter, was arranged to provide an overarching opinion based on the combination of all the elements from the research.

6.2   OVERVIEW OF THE STUDY

Although the business continuity agenda was supported by Government, it was debatable whether this would prove sufficient or whether a gap existed. The analysis of the data collected would reveal to what extent, given the applicable legislation and/or policy and procedures, business continuity was being managed in the Western Cape Government, as well as the level of preparedness in the event of a disruption.

The purpose of the study was to ascertain the readiness of the Western Cape Government to respond to disruptive events in an effort to continue providing services to the people living in the Western Cape Province. The research questions were posed to explore the level of preparedness to manage business continuity. The methodology employed was qualitative: making use of interviews (semi structured and focus groups) and comparative analysis of business continuity documentation. A summary of the research per chapter:

Chapter 1:

The rationale for the study, purpose and objectives were outlined in this chapter.

Chapter 2: Literature Review

The aim of the review of the literature was to deliver a review of completed or ongoing research that might prove to be appropriate and/or relevant to the current study. The literature review was approached by firstly providing an understanding of how the Western Cape Government as a government operated, its legislative framework which framed its purpose and functioning, and expectations. It also required an understanding of the risk landscape which threatened government and its ability to render services to the citizens. It was therefore governments intention to become a resilient organization, enabling government departments to anticipate,

prepare for, react and adjust to change and/or any disruption to not only survive but to flourish as well.

Chapter 3:

This chapter provided the roadmap as to how the study would be conducted, the methodology used, the sampling frame, how the data would be collected and the method of analysis.

Chapter 4: Finding and Analysis

The data collected during the findings were captured and transcribed. Furthermore the collected data was then interpreted in relation to the research questions.

Chapter 5: Discussion

This chapter allowed for a detailed discussion of the data that was interpreted in line with the research questions and the related theory.

Chapter 6:

The chapter provided a synopsis of the research, conclusions drawn and presented recommendations for further research in relation to the management of business continuity within the Western Cape Government.

6.3   RESEARCH QUESTIONS AND OBJECTIVES REVISITED

The aim of the research was to explore the state of business continuity in the Western Cape Government. The objectives of the research were to:

- Identify current business continuity processes;
- Evaluate the current business continuity processes;
- Critically analyse existing business continuity documentation; and
- Identify the links between business continuity and resilience.

The research questions were focused on getting departments to express how business continuity was facilitated; clarity in respect of processes; input source documentation; and determining whether departments acknowledged the benefits of having business continuity management towards building a resilient Western Cape Government.

6.4   SECTION 4: RESEARCH CONTRIBUTIONS

A theoretical contribution of the research would be to explore the development of a framework for the Western Cape Government opposed to merely developing a transversal business continuity plan for the Western Cape Government. This would allow for a standardized approach for departments aligned with the core business functions. The framework would support the development of a common taxonomy proving beneficial as it would minimize misinterpretations in respect of the business continuity terminology used by government departments.

A practical contribution would be the further exploration of the level of understanding of business continuity processes and risk management by officials of the lead department. The findings led the author to believe that the lead department were not fully capacitated in respect of their role towards government departments. The levels of capability would allow for the determination of the existing gaps and ways in which to address the shortcomings with appropriate interventions.

6.5   CONCLUSION AND RECOMMENDATION

6.5.1   Conclusion:

The following insights were attained from chapter 5: A limited understanding of business continuity processes existed within the Western Cape Government. A non-understanding of the risk identification process, specifically in respect of the lead department. Too great a focus on the enterprise risk management process but limited in respect of the identification of risk. Overall in respect of the responses by the participants (some were on senior manager level others operational. The responses were obviously different in that the senior manager's responses were more strategic and those that functioned operationally responded in respect of activities. Also it would appear to be a difference in respect of how the process was managed strategically and operationally. Departments did not have a policy for business continuity. The development of the business continuity plan was not created using the results of a proper business impact analysis and risk assessment being actioned. The documentation for business continuity that were provided especially where it related to the business continuity plan appeared to be a template approach. It was not clear whether all business units were included in the business impact analysis and/or risk assessment. The enterprise risk management seems to be relatively understood as a risk management process. Also no proper indication as to the identification of risk process. The development of a business continuity management system to set out the process for the Western Cape Government. The development of a policy which departments could use aligned with their core business and mandates. Provision of a guide as to how the

business impact analysis and risks assessment processes should be tackled. Alignment of business continuity with existing management processes.

Based on the insights obtained from the study it was therefore evident that Government required public service departments to manage risks appropriately. The findings provided that business continuity was in response to a disruptive event whether man-made and/or natural. It was viewed as a consultative process that required engagement with stakeholders. The commitment of the leadership to business continuity was key for it to be a success. Creating awareness was not only limited in respect of communicating (inclusive of roles and responsibilities). The business continuity plan should also provide guidance as to how the plan needed to be developed. The business impact analysis conducted facilitated the identification of the business functions that were critical and/or processes as well as the business units responsible for these functions and/or processes. The enterprise risk management process was hailed as the risk management process for the government of the Western Cape. The development of a communication protocol to communicate the disruption was also found to be key.

6.5.2   Recommendation:

The key themes of the findings were inclined towards the development of a business continuity management system aligned with international standards. The theoretical contribution to develop a framework for the Western Cape Government would prove valuable as it would guide departments with the implementation of a business continuity management system. With this being said it should be noted that a "*one-size-fits-all"* approach was not being promoted here but rather Departments were encouraged to use the framework as a guide to develop its own processes aligned to core business functions. There has to be a move away from a template mentality for compliance to one that rather speaks to service delivery.

In order to pursue the business continuity agenda departments should give consideration to have it embedded within existing management processes as part of governance. Consideration could be given to include business continuity as part of the MPAT reporting system. Departments were required to report to the office of the president in respect of MPAT which specifically addresses the risks of government departments. Business continuity was viewed as a process in response to managing threats posed against departments.

The author found that the strategic management and/or planning processes would be the most suited to pursue the business continuity agenda. Embedding business continuity management in the strategic management process would provide numerous benefits for the Western Cape Government. It would facilitate improved decision making. Business continuity could be accommodated as a performance indicator within departmental Annual Performance Plans. This would ensure leadership's commitment to business continuity management. An added benefit

would be that budgetary processes within government could be influenced to include business continuity.

The lead department to review the capability of their officials to drive business continuity within departments. It would be useful if the lead department could lead business continuity management within the Western Cape Government by developing policies and procedures for departments as well as providing an oversight function. The oversight function would strengthen commitment by the leadership and also improve departmental responses from being reactive towards becoming proactive.

The Western Cape Government had included the business continuity plan in the Enterprise Risk Management Strategy and Implementation Plan of departments. An audit consideration would be to investigate the business continuity management processes of departments as opposed to merely having a plan in place.

6.6   LIMITATIONS AND FURTHER RESEARCH

6.6.1   Limitations

The view of Van Beulen (2018: 1) rings true for the government of the Western Cape in respect of the number of limitations on business continuity management. Limitations in respect of skill, lack of experience in business continuity planning and disaster recovery skill were evident in the study. The commitment of top management is crucial for business continuity management to be included in the strategic processes of government. The author had since developed a draft business continuity management framework for implementation by the Western Cape Government departments.

6.6.2   Further Research

Business continuity was a fairly new concept in the government of the Western Cape. Although the author supported the opinion that a "*one-size-fits-all*" approach should be abandoned it does however require government departments to have a guide to manage business continuity. This would ensure that all the important elements were covered and the level of preparedness could be improved. A further study would be the development and/or improvement of the Business Continuity Management Framework of the Western Cape Government.

6.7   CONCLUDING REMARKS

The Western Cape Government articulated business continuity planning and management as a provincial risk in 2016. The importance of business continuity was further reflected in various documents produced for the public service. The literature supported the notion that having sound business continuity processes in place would greatly support organizations with the management of disruptions. It could therefore be concluded that business continuity should be viewed as a pre-emptive plan to circumvent and mitigate risk related with operations being disrupted. Business continuity needed to be managed in a way that objectives were met. Further thought to be given to the development of an appropriate structure for the management of business continuity for the government of the Western Cape. It should however be noted that the resilience maturity of the Western Cape Government remains reactive and concerted efforts towards becoming proactive should be considered.

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APPENDIX B: SEMI STRUCTURED QUESTIONS

QUESTIONS:

1. **Explain the process your department uses to manage business continuity.**

_____

_____

_____

2. **Explain how your Department identifies risks.**

_____

_____

_____

3. **Where are these identified risks reflected?**

_____

_____

_____

4. **Who is responsible for the management of BC in your department?**

_____

_____

5. How does your Department facilitate BC?

_____

_____

_____

6. Explain if you think that a link exists between BC and Resilience.

_____

_____

_____

7. Kindly provide the following BCM documentation for analysis:

No.	Document	Received: Y (Yes); N (No); O/S (Outstanding)
7.1	Business Continuity Policy	
7.2	Template used to conduct Business Impact Analysis	
7.3	Results of latest Business Impact Analysis conducted	
7.4	Template used to conduct Risk Assessment	
7.5	Results of the latest Risk Assessment conducted	
7.6	Signed copy of the Departmental BC plan	

APPENDIX C: FOCUS GROUP DISCUSSION QUESTIONS

DATE : _____

<u>**INTRODUCTION**</u>:

Thank you all for coming.

I am busy conducting an exploratory research study titled: Factors influencing the business continuity readiness of the Western Cape Government. The aim of the research is to identify the current business continuity processes within departments; evaluate these processes; critically analyse key business continuity documentation and link between business continuity and resilience.

The research questions focussed on:
- Business continuity processes?
- Risk identification & reflection of risk?
- Who manages business continuity within departments?
- Facilitation of business continuity within departments?
- Business continuity key towards building resilience.
- Comparative analysis of business continuity documentation (Policy, BIA, RA & BCP).

Purpose:

The purpose of the focus group is to elicit varying views, attitudes, feelings, beliefs, experiences and reactions on the research issue, through group interaction.

You were identified by management as the individuals who are actively working in departments. You will be supporting departments with the development of business continuity plans.

Guidelines:
- There are no right or wrong answers, only differing points of view
- We're tape recording, one person speaking at a time
- We're on a first name basis
- You don't need to agree with others, but you must listen respectfully as others share their views Rules for cellular phones and pagers if applicable.
- Please turn off cell phones or put on silent. Should you have to respond to a call, please do so as quietly as possible and re-join as quickly as you can.
- My role as moderator will be to guide the discussion
- Talk to each other
- Please note that your responses will be dealt with as anonymous. Under no circumstances will names or department names be mentioned in the study.

QUESTIONS TO FACILITATE THE FOCUS GROUP DISCUSSION:

1. What is your understanding of business continuity?

2. What do you think are the key processes in business continuity management?

3. As the lead department, you are expected to support departments with the development of business continuity plans. How do you see your role?

4. Do you think that you could influence processes within departments in favour of business continuity?

5. What does enterprise risk management mean to you?

6. How in your opinion should risks be identified?

7. Do you think you could influence the risk management processes within departments?

8. Would you agree that a link exists between business continuity and resilience? Kindly elaborate your thinking.