



INCIDENT MANAGEMENT PLAN

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 LANGEBERG MUNISIPALITEIT MUNICIPALITY MASIPALA	INCIDENT MANAGEMENT PLAN		DOCUMENT NO:	BCM/PLAN/001
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Change history

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20 August 2015	01.15	NetAccess	Development of Incident Management Plan
29 July 2019	02.15	Zaine Prins	Review
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 LANGEBERG MUNISIPALITEIT MUNICIPALITY MASIPALA	INCIDENT MANAGEMENT PLAN		DOCUMENT NO:	BCM/PLAN/001
	EFFECTIVE DATE	20 AUGUST 2015	REVISION	1.4

Table of contents

1	INTRODUCTION.....	4
1.1	PURPOSE OF THE PROCEDURE	4
1.2	BUSINESS CONTINUITY PROCESS.....	4
1.3	DISASTER DECLARATION CRITERIA.....	4
1.3.1	<i>Levels of Emergencies</i>	4
1.3.2	<i>Level One</i>	4
1.3.3	<i>Level Two</i>	5
1.3.4	<i>Levels Three</i>	5
1.3.5	<i>Important information about Levels of Emergency</i>	6
1.4	ICT DEPARTMENT RECOVERY ORGANIZATION	7
1.4.1	<i>Team Members Roles and Responsibilities</i>	8
1.5	SCENARIO COVERED.....	8
1.6	METHOD OF TRANSPORTATION TO RECOVERY SITE	9
1.7	INITIAL RESPONSE	9
1.8	DAMAGE ASSESSMENT	12
1.9	ACTIVATION	14
1.10	MOBILIZATION	15
1.11	RECOVERY OPERATIONS.....	16
1.12	BUSINESS RESUMPTION	16
1.13	RETURN TO NORMAL	18
	APPENDIX 1 DAMAGE ASSESSMENT FORM	19

 LANGEBERG MUNISIPALITEIT MUNICIPALITY MASIPALA	INCIDENT MANAGEMENT PLAN		DOCUMENT NO:	BCM/PLAN/001
	EFFECTIVE DATE	20 AUGUST 2015	REVISION	1.4

1 Introduction

1.1 Purpose of the Procedure

The Incident Management Team (IMT), upon notification by Incident Management Coordinator (ICT-IMC) that an emergency situation has occurred, will assume overall responsibility for management of the ICT technical recovery. They may be directly involved in the detailed operations due to the nature and size of Langeberg Municipality, however their main role is be kept informed about the event and gather input that may be required by the Crisis Management Team on major decisions.

The purpose of this procedure is to document in detail tasks to be performed by the IMT during the whole business continuity process.

1.2 Business Continuity Process

The Business Continuity Process is structured by following a seven stage methodology that provides for recovery from the onset of a disruption to the normalization of operations. The seven key stages of this methodology are:

- Stage 1: Initial Response
- Stage 2: Damage Assessment
- Stage 3: Activation
- Stage 4: Mobilization
- Stage 5: Recovery Operations
- Stage 6: Business Resumption
- Stage 7: Return to normal

A recovery effort will be managed through this system, invoking the necessary stages depending on the type of disruption. This procedure outlines roles, responsibilities, and tasks specific to IT-IMT during the BC process. All recovery teams' procedures are designed following this same framework to provide consistency, uniformity and to minimize issues during a possible chaotic time.

1.3 Disaster Declaration Criteria

1.3.1 Levels of Emergencies

Emergency incidents are classified according to their severity and potential impact, so that the response is commensurate with the actual conditions. There are three levels of incidents:

1.3.2 Level One

A Level one incident is a disaster affecting the entire premises and surrounding community. Normal Langeberg Municipality operations are suspended.

 LANGEBERG MUNISIPALITEIT MUNICIPALITY MASIPALA	INCIDENT MANAGEMENT PLAN		DOCUMENT NO:	BCM/PLAN/001
	EFFECTIVE DATE	20 AUGUST 2015	REVISION	1.4

The effects of the emergency are wide-ranging and complex. A timely resolution of disaster conditions requires Langeberg Municipality-wide cooperation and extensive coordination with external jurisdictions.

In the event of a Level one incident, the BCP may be activated and all responders shall report to their designated locations. In the event of activation of the BCP, the Crisis Management team shall act to advise and support the IMT on Langeberg Municipality matters to enable a speedy recovery which ensures that Langeberg Municipality continues to operate within a pre-defined Minimum Business Continuity Objective.

Examples of Level one incidents: Weather conditions with major damage to Langeberg Municipality, town infrastructure; major earthquake; fire that threatens an extensive area of the region; widespread chemical or biological agent contamination.

1.3.3 Level Two

A Level Two incident is a major emergency that disrupts sizeable portions of Langeberg Municipality property and/or affects a substantial subset of the Langeberg Municipality community. Level Two incidents may require assistance from external organizations. These events may escalate quickly, and have serious consequences for mission-critical functions and/or life-safety.

The ICT Manager who is the Incident Management Coordinator (IMC) sitting within the ICT Incident Management Team, receives information from operational departments and together with other members of the ICT Incident Management Team makes recommendations to the CMT on whether to activate the BCP or not.

The CMT Leader decides to activate the BCP and convenes some or all of the members of the Crisis Management Team to evaluate the scope of the incident, to coordinate essential services, and to provide emergency information. Other senior managers may be alerted, as appropriate. The Crisis Management team only makes decisions based on facts and hence it is absolutely necessary for the IMT to convey facts to the CMT.

Examples of Level Two incidents: Building fire or other major structural damage, severe flooding, major chemical spill, extensive utility outage, or an external emergency that may impact Langeberg Municipality personnel, community and/or operations.

1.3.4 Levels Three

A Level three incident is a minor, localized incident that occurs in a building or specific area of Langeberg Municipality property or affects a small portion of the Langeberg Municipality property, and that can be quickly resolved with existing Langeberg Municipality property resources or limited outside help.

 LANGEBERG MUNISIPALITEIT MUNICIPALITY MASIPALA	INCIDENT MANAGEMENT PLAN		DOCUMENT NO:	BCM/PLAN/001
	EFFECTIVE DATE	20 AUGUST 2015	REVISION	1.4

A Level three incident has little or no impact on Langeberg Municipality operations except in the affected area. Normally a Level One incident would not require activation of the BCP or CMT. The impacted area should coordinate a response directly with the appropriate responders, such as Langeberg Municipality fire department.

Examples of Level three incidents: localized fire, and plumbing failure in a building.

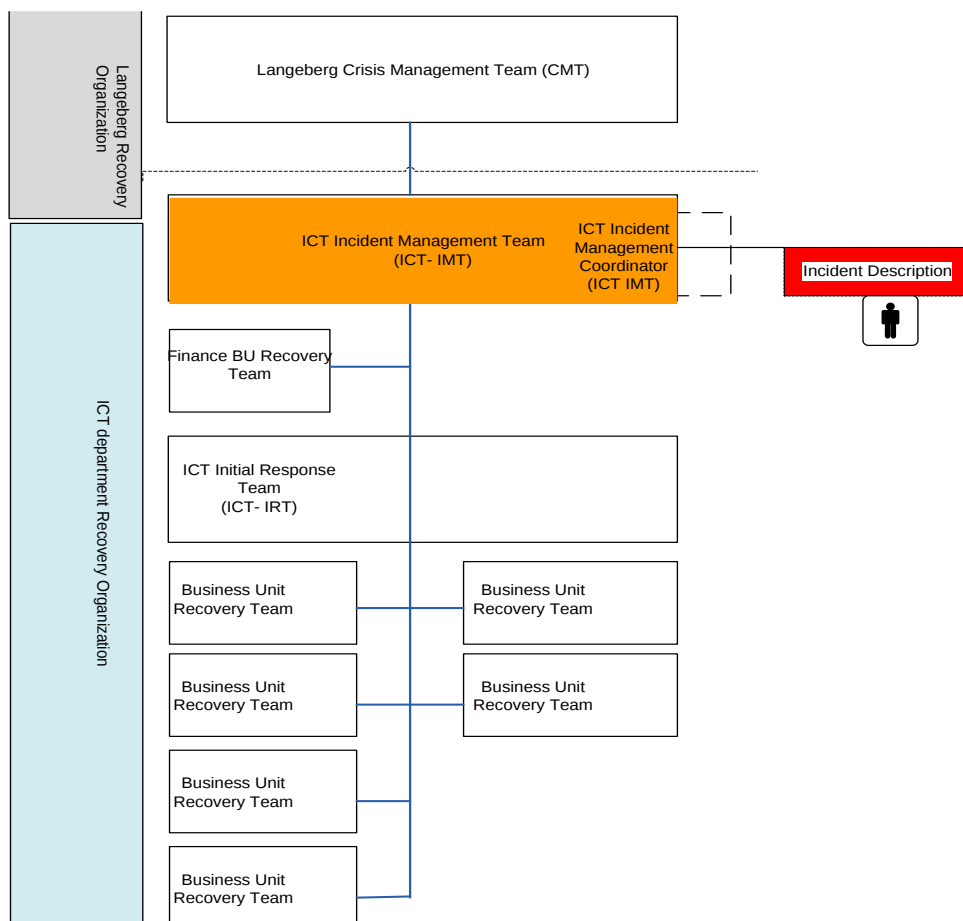
1.3.5 Important information about Levels of Emergency

- a) The CMT pertains to Level 1 and Level 2 incidents.
- b) The ICT Manager, in consultation with other ICT-IMT members, shall designate a critical incident's emergency level.
- c) The designated level for an incident may change as emergency conditions intensify or lessen.
- d) If time permits, evacuations of Langeberg Municipality facilities must be authorized in accordance with the requirements of the existing Disaster Management plan.

 LANGEBERG MUNISIPALITEIT MUNICIPALITY MASIPALA	INCIDENT MANAGEMENT PLAN		DOCUMENT NO:	BCM/PLAN/001
	EFFECTIVE DATE	20 AUGUST 2015	REVISION	1.4

1.4 ICT Department Recovery Organization

The ICT-IMC is responsible for the entire IT recovery program. The following organization chart depicts the ICT Division Organizational Structure.



ICT-IMT main responsibilities:

- Immediate response to the disaster situation
- Assessing onsite damage as the situation allows
- Providing overall recovery direction
- Executing recovery contracts
- Making disaster declaration recommendations to CMT
- Purchasing of required equipment

 LANGEBERG MUNISIPALITEIT MUNICIPALITY MASIPALA	INCIDENT MANAGEMENT PLAN		DOCUMENT NO:	BCM/PLAN/001
	EFFECTIVE DATE	20 AUGUST 2015	REVISION	1.4

- Recommending critical decisions for ICT Department to CMT
- Salvaging equipment, if possible
- Assisting with immediate insurance claims

Team Members Roles and Responsibilities

The ICT-IMT comprises senior staff and a selected group of leaders from business units. Only the ICT-IMT has the authority to recommend the declaration of a disaster for the IT functions and facilities to the CMT.

Member Name	Role	Contact #	Mobile #
Bongo Bakaco	Manager: ICT	023 626 8200	063 332 2976
Zaine Prins	Network Administrator	023 626 8200	082 335 3109
Johan Rossouw	ICT Technician	023 615 8039	072 631 9735
Patrick Tiras	ICT Technician	023 615 8026	076 345 2853

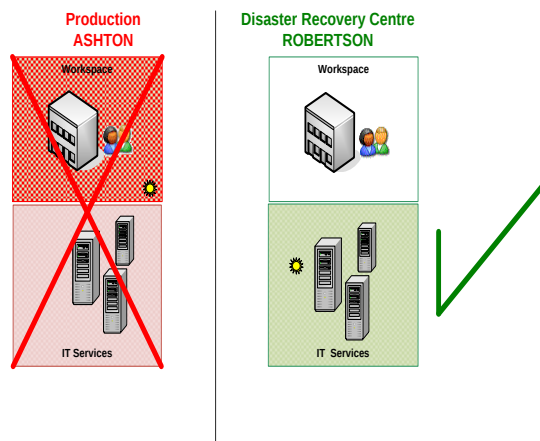
1.5 Scenario Covered

The DR plans and procedures are designed to address a comprehensive range of disasters. From a practical perspective, not all can be tested either due to resource and time constraints or the increased risk that is created through testing.

The Langeberg Municipality building in Ashton where the ICT Production Centre is housed becomes unusable or access is denied. All critical systems/applications located in ICT Production Centre are not available / operational and/or ICT Production Centre data and voice communication links are down. Key members of ICT Production Centre staff will physically relocate to the Thusong Disaster Recovery Centre and work from there, using the systems available at the Thusong Disaster Recovery Centre.

 LANGEBERG MUNISIPALITEIT MUNICIPALITY MASIPALA	INCIDENT MANAGEMENT PLAN		DOCUMENT NO:	BCM/PLAN/001
	EFFECTIVE DATE	20 AUGUST 2015	REVISION	1.4

Diagrammatically the scenario is depicted below:



1.6 Method of Transportation to Recovery Site

Should the ICT Production Centre be not accessible all ICT-IMT members are requested to relocate to Thusong Disaster Recovery Centre using personal transportation, taxi services or other available methods of transport.

Incident Management Process

1.7 Initial response

All employees are responsible for notifying their immediate supervisor or building security of an event that impacts or could impact their ability to continue critical function processing. External sources such as utility companies and emergency services may also be involved in the initial alert and notification process. Once informed of the situation, the supervisor is responsible for following standard problem escalation procedures described below.

When there is a significant event it is important that the ICT-IMC be notified as soon as possible. Any employee can notify the ICT-IMC if necessary.

Details for each activity are provided within the individual Business Unit Plan for each team (recovery procedures).

 LANGEBERG MUNISIPALITEIT MUNICIPALITY MASIPALA	INCIDENT MANAGEMENT PLAN		DOCUMENT NO:	BCM/PLAN/001
	EFFECTIVE DATE	20 AUGUST 2015	REVISION	1.4

Table 1

Step	Phase	Activities	Responsible
1		Recognizes a significant event that could impact critical business function processing. Significant Events are: • Explosion, Phone Threat, Bomb Threats, Work Stoppage Threats • Fire, Smoke, Fire Alarm, Electrical Power Failure, Water Break • Major System Failure Personal Safety is primary. Evacuate, if necessary, before escalating to next step	Any employee
2		Notify Service Desk, Shift Manager and Emergency Services on these numbers: (0860 88 1111).	Any employee
3		Obtain an understanding of the incident nature. Decides whether event is: 1. Physical Security or Facilities Event. 2. IT / Network / IT Security Event	ICT-IMC
4		Contacts at least one member of the ICT-IMT and informs them of event.	ICT-IMC
5		Perform initial assessment of the incident nature and possible consequences.	ICT-IMT
6		Decides whether event can: 1. possibly become a disaster and needs further investigation 2. can be handled as a normal Problem Management Procedure	ICT-IMT

 LANGEBERG MUNISIPALITEIT MUNICIPALITY MASIPALA	INCIDENT MANAGEMENT PLAN		DOCUMENT NO:	BCM/PLAN/001
	EFFECTIVE DATE	20 AUGUST 2015	REVISION	1.4

Step	Phase	Activities	Responsible
7		Necessary to convene a meeting? <i>[Decision]</i> <i>If yes, Notify other ICT-IMT members and convene a meeting</i> <i>If no, Notify other ICT-IMT members if necessary to inform them of the near miss how event will be resolved. Continue to monitor problem resolution process.</i>	IMC
8		Probable serious threat to continuity of operation? <i>[Decision]</i> <i>If yes, Notify CMT and make recommendation for disaster declaration using the initial damage assessment form.</i> <i>Initiate Assessment</i> <i>If no, Notify CMT if necessary. Resolve problem using normal Problem Management Procedure. Monitor for complete resolution</i>	ICT-IMT
9		Receive feedback from CMT: <i>[Decision]</i> <i>If Disaster has been declared initiate damage assessment.</i> <i>If disaster has not been declared proceed to resolve problem using normal problem management procedure or continue in a hold status awaiting CMT decision.</i>	

 LANGEBERG MUNISIPALITEIT MUNICIPALITY MASIPALA	INCIDENT MANAGEMENT PLAN		DOCUMENT NO:	BCM/PLAN/001
	EFFECTIVE DATE	20 AUGUST 2015	REVISION	1.4

Damage assessment

When the ICT-IMT determines the event's interruption impact is significant or potentially significant, it will notify the CMT Leader. The CMT Leader will convene the CMT to further assess the interruption impact and to decide whether or not to escalate to the Activation Phase.

Step	Activities	Responsible
1	Contacts IMT members and informs them of the situation. They also identify the time, phone number and/or location for the IMT meeting or conference call. Primary Command Centre: Office 45, Ashton Municipal building or any other available meeting room. If this office is not available the IMT can meet at the Call Center next to the town hall. Off-site Meeting Location: Thusong Disaster Recovery Centre in Robertson.	IMC Team Leader or Alternate
2	Receive information from ICT-IMT Leader about when, where and how the team will meet.	ICT-IMT - Leader
3	Convene to assess the situation and respond to CMT concerns.	IMT
4	Receive damage assessment reports from the assessors and address most of the CMT concerns.	IMT
5	Assesses the relevant facts of the situation. Situation Assessment Items: • Description of event • List of areas affected • Status of each area • List of other areas affected (if known) • Impact to staff • Injuries • Current location of staff • List of critical Server Room functions impacted and current status • List of systems/applications impacted and current status • Projection of event duration • <i>New Facts established</i>	IMT

 LANGEBERG MUNISIPALITEIT MUNICIPALITY MASIPALA	INCIDENT MANAGEMENT PLAN		DOCUMENT NO:	BCM/PLAN/001
	EFFECTIVE DATE	20 AUGUST 2015	REVISION	1.4

6	Resubmit Damage Assessment Form with new facts to address CMT concerns.	ICT-IMT Leader
7	Decide to stay in a Hold Status, to Activate the plan, or to Terminate the event. Hold Status – It has not yet been determined that the primary production site is going to be inaccessible. It is not necessary to initiate the relocation and recovery process. Activate – It is clear that the event will impact critical function processing and that it is necessary to go to Phase 3 to activate the relocation and recovery process. Terminate - It appears that the event is over, and that the primary production site is capable of supporting critical functions. <i>[Decision]:</i> • <i>If Hold go to the next step</i> • <i>If Activate, go to (Activation Phase)</i> • <i>If Terminate, go to step 14</i>	CMT
8	Asks ICT-IMC to monitor situation. Request an update on the situation on regular basis or when the situation gets worse.	IMT
9	Analyses report. <i>[Goto step 5]</i>	IMT
10	Perform site assessment to verify that the primary site is capable of supporting business and IT operations:	IMT
11	Facilities • Is the electrical power stabilized and back to normal capacity? • Is the HVAC (air conditioning and venting systems) functioning at normal capacity? • Are the water supply and plumbing systems available and working? • Are all phone systems back to normal capacity? • Are the physical access security systems functional? • Is there any residual damage to the operating area(s) that would prevent a return to full operational capacity?	IMT
12	Staffing • Is there sufficient staff available to return to full operational capacity?	IMT
13	Systems	IMT

 LANGEBERG MUNISIPALITEIT MUNICIPALITY MASIPALA	INCIDENT MANAGEMENT PLAN		DOCUMENT NO:	BCM/PLAN/001
	EFFECTIVE DATE	20 AUGUST 2015	REVISION	1.4

	- Is the hardware required to support full operational capacity available and functioning? - Are all systems, applications and networking facilities required to support full operational capacity available and functioning? - Is all the data required to support full operational capacity available and current?	
14	Decides if the event termination can continue <i>[If Yes goto the next step; if No goto step 5]</i>	IMT
15	Terminates the Assessment Phase and returns to normal operations.	IMT

1.8 Activation

The Activation Phase begins when the decision is made to relocate critical functions affected by the interruption event. During the Activation Phase all parties involved in relocating/recovering functions and activating the recovery site(s) are contacted and mobilized.

Step	Activities	Responsible
1	Asks ICT-IMC to immediately inform affected Business Unit Recovery Team Leaders of activation.	ICT-IMT
2	Immediately informs Crisis Management Team to confirm activation and alert them on challenges impeding full activation if any.	ICT-IMT Lead
3	Obtain access to emergency funds required to support ad hoc and unscheduled expenditures that will be incurred in a crisis situation: - Establish an estimate of cash reserves that will be required during the first few days of a crisis. Consideration must be given to the following: - the severity of the impact; therefore, the number of individuals active in restoration and recovery efforts - accessibility of the building (no access eliminates access to virtually all equipment, furniture, supplies, etcetera) - the probable expenses related to meals and accommodations - miscellaneous purchasing of supplies - emergency transportation of people it is not reasonable to expect employees to expend their own financial reserves to any great extent	IMT Lead

 LANGEBERG MUNISIPALITEIT MUNICIPALITY MASIPALA	INCIDENT MANAGEMENT PLAN		DOCUMENT NO:	BCM/PLAN/001
	EFFECTIVE DATE	20 AUGUST 2015	REVISION	1.4

	- Determine a daily cash amount required ensuring each days funds are made available. - Select one ICT-IMT Member to be responsible for the distribution and accounting of all cash expenditures.	
4	Ensure all teams are aware of the need to document expenditure.	IMT
5	Notify critical vendors/suppliers that their assistance may be required.	IMT

1.9 Mobilization

The mobilization activities of the IT Recovery Teams need to be coordinated to ensure that all recovery activities are executed according to the DR plan.

Step	Activities	Responsible
1	Receive confirmation about Thusong Disaster Recovery Centre readiness.	ICT-IMC
2	Determine when to start sending Business Unit Recovery Teams to the recovery site.	ICT-IMC
3	Inform Business unit Team Leaders and receive feedback with regards to the extent of the mobilization.	ICT-IMC
4	Send information to CMT about when, where and how Business Unit Recovery Teams will meet.	ICT-IMC
5	Confirm the extent of mobilization to CMT and proceed to Recovery Operations	ICT-IMC

 LANGEBERG MUNISIPALITEIT MUNICIPALITY MASIPALA	INCIDENT MANAGEMENT PLAN		DOCUMENT NO:	BCM/PLAN/001
	EFFECTIVE DATE	20 AUGUST 2015	REVISION	1.4

1.10 Recovery Operations

During the Recovery Phase, all teams are focused on ensuring that all required data processing systems, data and infrastructure have been properly restored and are capable of supporting the relocated business functions and the business units have validated the restoration of their applications.

Step	Activities	Responsible
1	Receive regular reports on the situation from ICT-IMC and Recovery Team Leaders	IMT
2	Receive regular update on the situation at Thusong Disaster Recovery Centre	IMT
3	Resolve any issues during the recovery operation phase.	IMT
4	Assess resumption readiness.	IMT
5	Provides regular update of ICT recovery progress to the CMT	IMT Lead

1.11 Business Resumption

During the Resume Business Phase, the IMC is constantly reviewing restoration activity at the primary site and trying to establish a point in time when the relocated functions can either return to normal or move to a more permanent operations site. In the meantime, each Recovery Team's objective is to try, as much as possible, to conduct business as usual every day they are at the recovery site(s). Starting with the second day of operations at the recovery site, the IMT will establish daily meetings to review progress.

At some point in time, the IMT will decide to return to the primary production site. When this decision is made, the IMT and the Business Unit Recovery Teams will all need to plan when and how the functions will be moved.

Step	Activities	Responsible
1	Communicate Thusong Disaster Recovery Centre readiness.	IMT Lead
2	Manage resolution of open issues as operations begin at Thusong Disaster Recovery Centre.	IMT
3	Establishes time and place for daily status meetings.	IMT Lead
4	Receives daily status reports indicating work progress and issues to be addressed.	IMT

 LANGEBERG MUNISIPALITEIT MUNICIPALITY MASIPALA	INCIDENT MANAGEMENT PLAN		DOCUMENT NO:	BCM/PLAN/001
	EFFECTIVE DATE	20 AUGUST 2015	REVISION	1.4

5	Meets daily to review function productivity, primary site restoration/replacement activity and next steps.	IMT
6	Decides whether to: - Continue processing at the recovery site or - Move back to the primary/replacement site. <i>[Decision]:</i> <i>If 1 go to the next step</i> <i>If 2 go to step 10</i>	IMT Lead
7	Publishes daily statement announcing decision to stay at the recovery site.	IMT
8	Provides direction to the IMT to make lodging and catering arrangements <i>[Go to step 4]</i>	ICT-IMC
9	Receives word that the Ashton Production Centre is ready to be occupied. Directs IT-IMC to execute Restoration Processes.	IMT
10	Establishes a date when the move will take place.	IMT Lead
11	Establish Home Site Return Project Team which consists of:: - IMTrepresentative(s) - ICT-IMC - Business Unit Recovery Team representatives Ensure the project team has the decision making authority required to implement the necessary actions. The individuals selected must have the knowledge and skills necessary to ensure a successful move, as well as being in a position to make the required time commitment.	IMT
12	Issues notice to all personnel announcing the plan to move Ashton Production Centre.	IMT
13	Make necessary transportation and logistics arrangements	IMT

 LANGEBERG MUNISIPALITEIT MUNICIPALITY MASIPALA	INCIDENT MANAGEMENT PLAN		DOCUMENT NO:	BCM/PLAN/001
	EFFECTIVE DATE	20 AUGUST 2015	REVISION	1.4

1.12 Return to normal

During this phase the business operations and IT functions will return to the primary site. When this decision was made, the IMT, the IT-IMC and the IT Recovery Teams had made plans for the functions and the supporting systems and infrastructure were to be moved. During this phase these plans will be implemented and operations will resume at Thusong Disaster Recovery Centre.

Step	Activities	Responsibility
1	Receives regular reports on restoration process from IT-IMC and Recovery Team Leaders.	IMT
2	Resolves any issues during the service restoration process.	IMT
3	Conducts final IMTstatus meeting to ensure that all relocated functions have resumed normal operations and stands down.	IMT
4	Informs Crisis Management Team of restoration of Ashton ICT production centre.	IMT
5	Issues notice to all personnel announcing the plan to move to the Ashton ICT production centre.	IMT Lead
6	Orders to conduct Post Mortem Review of Business Continuity Plans and Procedures.	IMT Lead
7	Prepare a management report on the crisis for submission to CMT.	IMT
8	Ensure that all necessary enhancements/lessons learnt have been applied to plans, procedures and Mitigation tools.	IMT

 LANGEBERG MUNISIPALITEIT MUNICIPALITY MASIPALA	INCIDENT MANAGEMENT PLAN		DOCUMENT NO:	BCM/PLAN/001
	EFFECTIVE DATE	20 AUGUST 2015	REVISION	1.4

Appendix 1 Damage Assessment Form

Table 2

INITIAL DAMAGE ASSESSMENT FORM			
Building			
Completed By		Date/Time	
Brief summary of what has happened:			
People-Related			
Casualties		Staff welfare action taken/initiated:	
Unaccounted for			
Site Integrity			Estimated Resolve Time
Perimeter			
Security			
Access			
Building Structure Integrity			Estimated Resolve Time
Inaccessible Areas			
Hazard Areas			
Structural Condition			
INITIAL DAMAGE ASSESSMENT			
Utilities and Environmental Integrity			Estimated Resolve Time
Electricity Supply			
Water Supply			
Security System			
Fire Detection			
Generator			

 LANGEBERG MUNISIPALITEIT MUNICIPALITY MASIPALA	INCIDENT MANAGEMENT PLAN		DOCUMENT NO:	BCM/PLAN/001
	EFFECTIVE DATE	20 AUGUST 2015	REVISION	1.4

Air Conditioning		
Systems & Network Integrity		Estimated Resolve Time
Local Area Network		
Wide Area Network		
Computer/Comms Room		
ICT Systems		
Desktop		
Printers and Peripherals		
Media Libraries		
Voice Communications		
Paper-Based Information Integrity		Estimated Resolve Time
Filing systems		
Filing Cabinets		
Fire-Resistant Safes		