

Complete Ophthalmic Services CIC: Business Continuity and Disaster Recovery Plan

1. Introduction

The aim of this Business Continuity (BC) and Disaster Recovery Plan (DRP) is to:

- Ensure that the Complete Ophthalmic Services CIC services are provided in accordance with the specification and contract with Croydon CCG, at all times, during and after the invocation of the BC plan.
- Minimise, as far as is reasonably possible, the adverse impact of any disaster, service failure or disruption on the operations of the services provided on behalf of Croydon CCG.

The scope of BC and DRC plan includes:

- Setting out the business continuity risks upon which the plan is based.
- Setting out the procedures managing the business risk and for reverting to "normal service".
- Contact details.
- Outlining the method(s) of recovering or updating data collected (or which ought to have been collected) during a failure of disruption to preserve data integrity.
- Key personnel (including sub-contractors with a major role) including their role and responsibility and contact details.

Complete Ophthalmic Services CIC ("the Company") shall review part or all of the BC Plan (and the risk analysis on which it is based) on a regular basis and as a minimum once every twelve (12) calendar months.

2. Business continuity risks

The list below may be used as a checklist to ensure that critical tasks are completed on time and according to a pre-agreed priority schedule. It may also be used to provide a hand-over document between different shifts in the recovery process.

This need only be used should multiple issues arise e.g. flood disaster, building collapse, and should be used to prioritise the commencement of each action and subsequent timeframe for completion.

In the instance a singular event should occur, e.g. power outage then that event will become the highest priority for resolution; however, the singular event may cause a chain reaction leading to further events which need to be prioritised accordingly.

It is acknowledged that a service gap may arise if an optical practice leaves the subcontractor list (this includes voluntary withdrawal, as well as contract suspension or termination). Whilst this will not have a critical impact on the ability of the Company to deliver the service, it will impact on patient choice.

The Accountable Emergency Officer will review the subcontractor list after any optical practice subcontractor withdraws and contact other practices in the locality to ensure there is sufficient capacity. In the event that a gap is identified, the Company will inform the commissioner and discuss approaches to improve patient choice e.g. recruiting additional practices.

Critical function	Setting
Building damage e.g. fire, flood	Operations centre at Webstar Health
Power outage	Operations centre at Webstar Health
Connectivity	Operations centre at Webstar Health
Telephone (CMT)	Operations centre at Webstar Health
Mobile communications	Key staff/personnel
Email Service	Rackspace managed exchange hosting
IT Infrastructure (Hosted)	Rackspace managed hosting
IT Infrastructure (Local)	Operations centre at Webstar Health
Business Failure (Webstar Health)	LOCSU Disaster Operations Team

3. Procedures for managing risks and reverting to “normal service” – Critical Functions

Critical function:	Building damage / place of work unavailable
Responsibility:	Musa Dhalla
Deputy:	Nimesh Mehta
Potential impact on organisation if interrupted:	High
Likelihood of interruption to organisation:	Low
Recovery timeframe:	One working day
Resources required for recovery:	
Staff <i>(numbers, skills, knowledge, alternative sources)</i>	Lead: Musa Dhalla (based closest to office) Supported by: All members of staff based at the WH offices
Data / systems <i>(backup and recovery processes, staff and equipment required)</i>	No impact on data All data is accessed and stored remotely. However means to access data (computers/networks based in office) is compromised.
Premises <i>(potential relocation or work-from-home options)</i>	Telephony - Contact CMT (telephony provider) to redirect subset of DDI lines to management mobile phones Office infrastructure - Task sub-set of staff to work from home to provide remote support Mail room - Contact Royal Mail to confirm alternate delivery address for post. Invoke manual processing SOP.
Communications <i>(methods of contacting staff, suppliers, customers, etc)</i>	Task management mobile phones and emergency mobile phones to be used to contact key personnel Use of contact lists to inform the Company directors and LOCSU staff of event Use remote access to place information on portal to inform users that services desk is unavailable

	Contact CMT (telephony provider) to redirect subset of DDI lines to management mobile phones
Equipment <i>(key equipment recovery or replacement processes; alternative sources; mutual aid)</i>	Use of laptops, 3g connections and mobile telephony to provide immediate connectivity/telecoms for recovery plan. Establish temporary offices at LOCSU offices (Farringdon). Establish core team at temporary offices.
Supplies <i>(processes to replace stock and key supplies required; provision in emergency pack)</i>	Emergency mobile phones, laptops, contact lists. Staff welfare if working from alternate sites. Confirm petty cash, travel, subsistence available.
Method of recovering and updating data	No significant impact on data. However for requests processed manually there will be a delay as data is added manually and not scanned/automatically read. If backlog is significant consider overnight working for one night to recover.
Duration	If likely to extend beyond five working days then source temporary workspace nearer to WH offices in Harrow.

Critical function:	Power outage
Responsibility:	Musa Dhalla
Deputy:	Nimesh Mehta
Potential impact on organisation if interrupted:	Dependent on duration if less than one working day – MEDIUM If more than one working day then – HIGH
Likelihood of interruption to organisation:	Low
Recovery timeframe:	One working day (assumes prolonged duration)
Resources required for recovery:	
Staff <i>(numbers, skills, knowledge, alternative sources)</i>	Lead: Musa Dhalla (based closest to office) Supported by: All members of staff based at the WH offices
Data / systems <i>(backup and recovery processes, staff and equipment required)</i>	No impact on data All data is accessed and stored remotely. However means to access data (computers/networks based in office) is compromised.
Premises <i>(potential relocation or work-from-home options)</i>	Telephony - Contact CMT (telephony provider) to redirect subset of DDI lines to management mobile phones Office infrastructure - Task sub-set of staff to work from home to provide remote support Mail room - Contact Royal Mail to confirm alternate delivery address for post. (if setting up temporary remote operations) Invoke manual processing SOP.
Communications <i>(methods of contacting staff, suppliers, customers, etc)</i>	Task management mobile phones and emergency mobile phones to be used to contact key personnel; Use of contact lists to inform [insert company name] and LOCSU staff of event Use remote access to place information on portal to inform users that services desk is unavailable Contact CMT (telephony provider) to redirect subset of DDI lines to management mobile phones
Equipment <i>(key equipment recovery or replacement processes; alternative sources; mutual aid)</i>	Use of laptops, 3g connections and mobile telephony to provide immediate connectivity/telecoms for recovery plan. Establish temporary alternate offices at LOCSU offices (Farringdon). Establish core team at temporary offices.
Supplies <i>(processes to replace stock and key supplies required; provision in emergency pack)</i>	Emergency mobile phones, laptops, contact lists. Staff welfare if working from alternate sites. Confirm petty cash, travel, subsistence available.
Method of recovering and updating data	No significant impact on data. However for requests processed manually there will be a delay as data is added manually and not scanned/automatically read. If backlog is significant consider overnight working for one night to recover.
Duration	If likely to extend beyond five working days then source temporary workspace nearer to WH offices in Harrow.

Critical function:	Connectivity to WH offices
Responsibility:	Nimesh Mehta
Deputy:	Ajay Polsani
Potential impact on organisation if interrupted:	High
Likelihood of interruption to organisation:	Low
Recovery timeframe:	Assumes failure of our primary internet connectivity provider at WH offices (BE/SKY Business) - 4 hours
Resources required for recovery:	
Staff <i>(numbers, skills, knowledge, alternative sources)</i>	Lead: Nimesh Mehta Supported by: Ajay Polsani and 3i Infotech Remote Infrastructure Team
Data / systems <i>(backup and recovery processes, staff and equipment required)</i>	No impact on data All data is accessed and stored remotely. However means to access data (computers/networks based in office) is compromised.
Premises <i>(potential relocation or work-from-home options)</i>	Not applicable
Communications <i>(methods of contacting staff, suppliers, customers, etc)</i>	Use remote access to place information on portal to inform users that services desk is compromised but available by telephone.
Equipment <i>(key equipment recovery or replacement processes; alternative sources; mutual aid)</i>	Use of laptops, 3g connections and to provide immediate connectivity for recovery plan. Back up BT Broadband Connection in WH offices. 3i Infotech to update office firewall settings with support of Ajay Polsani to permit connectivity via alternate broadband connection which is in place at WH offices.
Supplies <i>(processes to replace stock and key supplies required; provision in emergency pack)</i>	Not applicable
Method of recovering and updating data	No significant impact on data. However there will be a backlog as the service recovers depending on the duration of interruption If backlog is significant consider overnight working for one night to recover.
Duration	If likely to extend beyond one working day then source 3g connections for key office personnel.

Critical function:	Telecoms to WH Offices
Responsibility:	Nimesh Mehta
Deputy:	Ajay Polsani
Potential impact on organisation if interrupted:	High
Likelihood of interruption to organisation:	Low
Recovery timeframe:	4 hours
Resources required for recovery:	
Staff <i>(numbers, skills, knowledge, alternative sources)</i>	Lead: Nimesh Mehta Supported by: Ajay Polsani & CMT Telecoms equipment and line supplier. Note WH has an onsite maintenance arrangement with CMT.
Data / systems <i>(backup and recovery processes, staff and equipment required)</i>	No impact on data All data is accessed and stored remotely. However means to access data (computers/networks based in office) is compromised.
Premises <i>(potential relocation or work-from-home options)</i>	<i>Telephony</i> Contact CMT (telephony provider) to log engineering call via telephone (mobile) or email. Request assessment and if significant tasking of one of more DDIs to staff mobile phones. <i>Office infrastructure</i> Use alternate – mobile phones.
Communications <i>(methods of contacting staff, suppliers, customers, etc)</i>	Use remote access to place information on portal to inform users that services desk is compromised but available by email.
Equipment <i>(key equipment recovery or replacement processes; alternative sources; mutual aid)</i>	Use of mobile telephony to provide immediate telecoms for recovery plan.
Supplies <i>(processes to replace stock and key supplies required; provision in emergency pack)</i>	Emergency mobile phones.
Method of recovering and updating data	No impact
Duration	If likely to extend beyond five working days then consider tasking alternate BT lines in office to serve WH.

Critical function:	Mobile telephony interruption
Responsibility:	GianpieroCelino
Deputy:	Musa Dhalla
Potential impact on organisation if interrupted:	Low
Likelihood of interruption to organisation:	Low
Recovery timeframe:	One working day
Resources required for recovery:	
Staff <i>(numbers, skills, knowledge, alternative sources)</i>	Lead: Musa Dhalla (supplier relationship) Supported by: GianpieroCelino
Data / systems <i>(backup and recovery processes, staff and equipment required)</i>	No impact on data All data is accessed and stored remotely.
Premises <i>(potential relocation or work-from-home options)</i>	<i>Mobile Telephony</i> Contact O2 (mobile telephony provider) to redirect numbers to office landlines. <i>Telephony</i> Contact CMT to provide "soft-phone" solution to allow remote users access to office telephony over internet connection.
Communications <i>(methods of contacting staff, suppliers, customers, etc)</i>	Use staff contact sheet to contact key personnel affected on landline numbers.
Equipment <i>(key equipment recovery or replacement processes; alternative sources; mutual aid)</i>	Not applicable
Supplies <i>(processes to replace stock and key supplies required; provision in emergency pack)</i>	Not applicable
Method of recovering and updating data	Not applicable
Duration	If likely to extend beyond five working days then consider alternate mobile phones as a temporary measure.

Critical function:	WH Email service (Rackspace Managed Exchange)
Responsibility:	Nimesh Mehta
Deputy:	Ajay Polsani
Potential impact on organisation if interrupted:	Medium
Likelihood of interruption to organisation:	Low
Recovery timeframe:	One working day
Resources required for recovery:	
Staff <i>(numbers, skills, knowledge, alternative sources)</i>	Lead: Nimesh Mehta Supported by: Ajay Polsani and Rackspace Support Team
Data / systems <i>(backup and recovery processes, staff and equipment required)</i>	No impact on data All data is accessed and stored remotely. However means to access data (computers/networks based in office) is compromised. Recovery of data (email history/archives) is undertaken by Rackspace. Managed back-up and recovery is provided.
Premises <i>(potential relocation or work-from-home options)</i>	Not Applicable
Communications <i>(methods of contacting staff, suppliers, customers, etc)</i>	Use remote access to place information on portal to inform users that services desk is available but that email functionality is compromised. Contact Rackspace to raise ticket for service interruption.
Equipment <i>(key equipment recovery or replacement processes; alternative sources; mutual aid)</i>	WH hosted servers have a dedicated mail server function which is separate from Rackspace's managed exchange service and entirely independent of the infrastructure used by Rackspace managed exchange. Consider establishing temporary accounts using the "Servicepact.co.uk" domain to provide email functionality.
Supplies <i>(processes to replace stock and key supplies required; provision in emergency pack)</i>	Not applicable
Method of recovering and updating data	Recovery of data (email history/archives) is undertaken by Rackspace. Managed back-up and recovery is provided.
Duration	WH hosted servers have a dedicated mail server function which is separate from Rackspace's managed exchange service and entirely independent of the infrastructure used by Rackspace managed exchange. Consider establishing temporary accounts using the "Servicepact.co.uk" domain to provide email functionality. If prolonged then consider migrating domain to alternate provider.

Critical function:	Infrastructure (Hosted) at Rackspace data centre
Responsibility:	GianpieroCelino
Deputy:	Nimesh Mehta
Potential impact on organisation if interrupted:	High
Likelihood of interruption to organisation:	Low
Recovery timeframe:	Hardware failure: Four hours Catastrophic loss of datacentre: 1 working day
Resources required for recovery:	
Staff <i>(numbers, skills, knowledge, alternative sources)</i>	Lead: GianpieroCelino Supported by: Nimesh Mehta
Data / systems <i>(backup and recovery processes, staff and equipment required)</i>	Incident should be logged with the Infrastructure Management Team (3iInfotech). Recovery will depend on the cause/issue: Infrastructure is supported by on site one hour hardware replacement service. Multiple redundant storage area network hardware is used providing failover capability in case of hardware failure. Offsite back-ups are taken daily, encrypted and stored off site with a three month retention policy. Restore from back up to existing infrastructure is between one and four hours. In the case of a catastrophic loss of the Rackspace data centre then alternative infrastructure is available at our development partner's datacentre where servers are configured to mirror our production environment.
Premises <i>(potential relocation or work-from-home options)</i>	Not applicable
Communications <i>(methods of contacting staff, suppliers, customers, etc)</i>	Primary task will be to inform users of service downtime and alternate actions. Set maintenance page with appropriate message and cascade email alert to users. If required direct users to alternate status page to inform them of service issue and proposed mitigating actions. Cascade alert to all office based and remote staff by email/phone. Place message on telephone system to mitigate incoming call volumes.
Equipment <i>(key equipment recovery or replacement processes; alternative sources; mutual aid)</i>	Invoke manual processing procedures.
Supplies <i>(processes to replace stock and key supplies required; provision in emergency pack)</i>	Not applicable

Method of recovering and updating data	<p>Once system recovery is completed establish date and time of recovered data.</p> <p>Use manual records to update records changed since downtime.</p> <p>Cascade message to all users with instructions on how to update records.</p> <p>Request development team to check impact on processing rules e.g. where users are required to log events within specific timescales then they may be unfairly penalised by system outage.</p> <p>Agree relaxation of KPIs with commissioner if necessary.</p>
Duration	<p>If likely to extend beyond two working days then consider migrating to alternate infrastructure. Note this is a recovery process that would involve changes to DNS addressing and so required time to propagate. Use as last resort only.</p>

Critical function:	Infrastructure (Hosted) at Rackspace data centre
Responsibility:	GianpieroCelino
Deputy:	Nimesh Mehta
Potential impact on organisation if interrupted:	High
Likelihood of interruption to organisation:	Low
Recovery timeframe:	<p>Hardware failure: One working day</p> <p>Catastrophic loss of network infrastructure: see Premises</p> <p>Connectivity loss: see Connectivity</p>
Resources required for recovery:	
Staff <i>(numbers, skills, knowledge, alternative sources)</i>	<p>Lead: GianpieroCelino</p> <p>Supported by: Nimesh Mehta</p>
Data / systems <i>(backup and recovery processes, staff and equipment required)</i>	<p>Incident should be logged with the Infrastructure Management Team (3iInfotech). Recovery will depend on the cause/issue:</p> <p>Infrastructure is supported by on site next working day hardware replacement service.</p> <p>Internal connectivity is dependent on the Cisco router which is configured on the network. This is supported by a same working day support agreement.</p> <p>Normal operations are not dependent on information assets residing on the office network.</p> <p>Back up of all office data is taken daily, encrypted and stored off-site</p> <p>Restore from back up to existing infrastructure is between one and four hours.</p> <p>In the case of a catastrophic loss of the office network or connectivity then the BC/DRP for Premises or Connectivity should be invoked.</p> <p>WH has idle server and router capacity available if outage is prolonged.</p>
Premises <i>(potential relocation or work-from-home options)</i>	Not applicable

Communications <i>(methods of contacting staff, suppliers, customers, etc)</i>	Cascade alert to all office based and remote staff by phone. Inform service users that service desk is available but may be compromised
Equipment <i>(key equipment recovery or replacement processes; alternative sources; mutual aid)</i>	Mailroom functions will be compromised. Invoke manual processing procedures. If connectivity unaffected the service desk operations will be normal. If connectivity is affected then service desk will adopt manual processing procedures.
Supplies <i>(processes to replace stock and key supplies required; provision in emergency pack)</i>	Not applicable
Method of recovering and updating data	Use manual records to update records changed since downtime. Cascade message to all users with instructions on how to update records.
Duration	If likely to extend beyond two working days then consider tasking idle server/routers to recover normal operations.

Critical function:	Business Failure of Webstar Health
Responsibility:	Katrina Venerus
Deputy:	Richard Knight
Potential impact on organisation if interrupted:	High
Likelihood of interruption to organisation:	Low
Recovery timeframe:	Two working days
Resources required for recovery:	
Staff <i>(numbers, skills, knowledge, alternative sources)</i>	Lead: Katrina Venerus Supported by: LOCSU Disaster Operations Team, 3i Infotech Remote Infrastructure Team and Primary Eyecare [insert name] Accountable Emergency Officer
Data / systems <i>(backup and recovery processes, staff and equipment required)</i>	No impact on data All data is accessed and stored remotely. However means to access data (computers/networks based in Webstar Health office) is compromised. Work with 3i Infotech Remote Infrastructure Team to transfer Optomanager IT platform to hosted environment accessible to LOCSU Disaster Operations Team.
Premises <i>(potential relocation or work-from-home options)</i>	Office infrastructure Mobilise LOCSU Disaster Operations Team to work from LOCSU offices in Farringdon. Invoke manual processing SOP until LOCSU Disaster Operations Team can access OptoManager IT platform.
Communications <i>(methods of contacting staff,</i>	Primary task will be to inform users of service downtime and alternate actions.

<i>suppliers, customers, etc)</i>	<p>LOCSU will set maintenance page with appropriate message and cascade email alert to users.</p> <p>Direct users to alternate status page to inform them of service issue and proposed mitigating actions.</p> <p>Place message on telephone system to mitigate incoming call volumes.</p>
Equipment <i>(key equipment recovery or replacement processes; alternative sources; mutual aid)</i>	<p>Invoke manual processing SOP until LOCSU Disaster Operations Team can access OptoManager IT platform.</p> <p>Use of laptops, 3G connections and mobile telephony to provide immediate connectivity/telecoms for recovery plan.</p>
Supplies <i>(processes to replace stock and key supplies required; provision in emergency pack)</i>	<p>Emergency mobile phones, laptops, standard operating procedures, contact lists, mail room equipment.</p>
Method of recovering and updating data	<p>Once system transfer is completed use manual records to update records changed since downtime.</p> <p>Cascade message to all users with instructions on how to update records.</p> <p>Request development team to check impact on processing rules e.g. where users are required to log events within specific timescales then they may be unfairly penalised by system outage.</p> <p>Agree relaxation of KPIs for users with the commissioner if necessary.</p>
Duration	<p>LOCSU Disaster Operations Team to continue until alternative sub-contractor to manage the service is sourced.</p> <p>Alternative sub-contractor to manage the service to be sourced and established within 3 months.</p>

4. Key Personnel

Should the business continuity plan be invoked then the following key personnel should be informed and mobilised.

		Role & Responsibilities
Name	Gianpiero Celino	Responsible Director (Webstar Health Limited)
Telephone (mobile)	07932 740674	
Telephone (other)	020 8424 0860	
Email	gc@webstar-health.co.uk	
Name	Sukaina Dhala	Programme Manager (Webstar Health Limited)
Telephone (mobile)	07708786600	
Telephone (other)	020 8424 0860	
Email	sd@webstar-health.co.uk	
Name	Christopher Kerr	Accountable Emergency Officer (Complete Ophthalmic Services CIC)
Telephone (mobile)	07836 622016	
Telephone (other)	020 8688 5076	
Email	chris@kerreycare.co.uk	
Name	Musa Dhalla	Managed Services Director (Webstar Health Limited)
Telephone (mobile)	07932 740675	
Telephone (other)	020 8424 0860	
Email	md@webstar-health.co.uk	
Name	Katrina Venerus	Responsible Officer (LOCSU)
Telephone (mobile)	07769 682681	
Telephone (other)	020 7549 2051	
Email	katrinavenerus@locsu.co.uk	

Date Approved:

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