***Document name:*** *Primary Eyecare [North Yorkshire & Humber] Ltd: Business Continuity and Disaster Recovery Plan*

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***Author:***

***Approved by:***

**Primary Eyecare [North Yorkshire & Humber] Ltd:**

**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 services are provided in accordance with the specification and contract with the commissioners, 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 commissioners.

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.

GM Primary Eyecare Ltd (“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.

1. **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.

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| **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 |

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

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| **Critical function:** | | **Building damage / place of work unavailable** |
| Responsibility:  Deputy: | | Musa Dhalla  Julian Wyatt |
| Potential impact on organisation if interrupted: | | High |
| Likelihood of interruption to organisation: | | Low |
| Recovery timeframe: | | One working day |
| **Resources required for recovery:** | | |
| Staff  *(numbers, skills, knowledge, alternative sources)* | Lead: Musa Dhalla (based closest to office)  Supported by: All members of staff based at the WH offices | |
| Data / systems  *(backup and recovery processes, staff and equipment required)* | No impact on data  All data is accessed and stored remotely. However means to access data (computers/networks based in office) is compromised. | |
| Premises  *(potential relocation or work-from-home options)* | Telephony - Contact CMT (telephony provider) to redirect subset of DDl 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  *(methods of contacting staff, suppliers, customers, etc)* | 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 DDl lines to management mobile phones | |
| Equipment  *(key equipment recovery or replacement processes; alternative sources; mutual aid)* | 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  *(processes to replace stock and key supplies required; provision in emergency pack)* | 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. | |

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| **Critical function:** | **Power outage** |
| Responsibility:  Deputy: | Musa Dhalla  Julian Wyatt |
| 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  *(numbers, skills, knowledge, alternative sources)* | Lead: Musa Dhalla (based closest to office)  Supported by: All members of staff based at the WH offices |
| Data / systems  *(backup and recovery processes, staff and equipment required)* | No impact on data  All data is accessed and stored remotely. However means to access data (computers/networks based in office) is compromised. |
| Premises  *(potential relocation or work-from-home options)* | Telephony - Contact CMT (telephony provider) to redirect subset of DDl 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  *(methods of contacting staff, suppliers, customers, etc)* | 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 DDl lines to management mobile phones |
| Equipment  *(key equipment recovery or replacement processes; alternative sources; mutual aid)* | 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  *(processes to replace stock and key supplies required; provision in emergency pack)* | 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. |

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| **Critical function:** | **Connectivity to WH offices** |
| Responsibility:  Deputy: | Matt Darnell  Jenny Williams |
| 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 (RedCentric) - 4 hours |
| **Resources required for recovery:** | |
| Staff  *(numbers, skills, knowledge, alternative sources)* | Lead: Matt Darnelll  Supported by: Jenny Williams |
| Data / systems  *(backup and recovery processes, staff and equipment required)* | No impact on data  All data is accessed and stored remotely.  However means to access data (computers/networks based in office) is compromised. |
| Premises  *(potential relocation or work-from-home options)* | Not applicable |
| Communications  *(methods of contacting staff, suppliers, customers, etc)* | Use remote access to place information on portal to inform users that services desk is compromised but available by telephone. |
| Equipment  *(key equipment recovery or replacement processes; alternative sources; mutual aid)* | Use of laptops, 3g connections and to provide immediate connectivity for recovery plan.  Back up BT Broadband Connection in WH offices.  Cegedim IS to update office firewall settings to permit connectivity via alternate broadband connection which is in place at WH offices. |
| Supplies  *(processes to replace stock and key supplies required; provision in emergency pack)* | 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. |

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| **Critical function:** | **Telecoms to WH Offices** |
| Responsibility:  Deputy: | Matt Darnell  Jenny WIlliams |
| Potential impact on organisation if interrupted: | High |
| Likelihood of interruption to organisation: | Low |
| Recovery timeframe: | 4 hours |
| **Resources required for recovery:** | |
| Staff  *(numbers, skills, knowledge, alternative sources)* | Lead: Matt Darnell  Supported by: Jenny Williams & CMT Telecoms equipment and line supplier. Note WH has an onsite maintenance arrangement with CMT. |
| Data / systems  *(backup and recovery processes, staff and equipment required)* | No impact on data  All data is accessed and stored remotely.  However means to access data (computers/networks based in office) is compromised. |
| Premises  *(potential relocation or work-from-home options)* | *Telephony*  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.  *Office infrastructure*  Use alternate – mobile phones. |
| Communications  *(methods of contacting staff, suppliers, customers, etc)* | Use remote access to place information on portal to inform users that services desk is compromised but available by email. |
| Equipment  *(key equipment recovery or replacement processes; alternative sources; mutual aid)* | Use of mobile telephony to provide immediate telecoms for recovery plan. |
| Supplies  *(processes to replace stock and key supplies required; provision in emergency pack)* | 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. |

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| **Critical function:** | **Mobile telephony interruption** |
| Responsibility:  Deputy: | Matt Darnell  Jenny WIlliams |
| Potential impact on organisation if interrupted: | Low |
| Likelihood of interruption to organisation: | Low |
| Recovery timeframe: | One working day |
| **Resources required for recovery:** | |
| Staff  *(numbers, skills, knowledge, alternative sources)* | Lead: Matt Darnell (supplier relationship)  Supported by: Jenny Williams |
| Data / systems  *(backup and recovery processes, staff and equipment required)* | No impact on data  All data is accessed and stored remotely. |
| Premises  *(potential relocation or work-from-home options)* | *Mobile Telephony*  Contact Vodafone2 (mobile telephony provider) to redirect numbers to office landlines.  *Telephony*  Contact CMT to provide “soft-phone” solution to allow remote users access to office telephony over internet connection. |
| Communications  *(methods of contacting staff, suppliers, customers, etc)* | Use staff contact sheet to contact key personnel affected on landline numbers. |
| Equipment  *(key equipment recovery or replacement processes; alternative sources; mutual aid)* | Not applicable |
| Supplies  *(processes to replace stock and key supplies required; provision in emergency pack)* | 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. |

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| **Critical function:** | **WH Email service (Cegedim Managed Exchange)** |
| Responsibility:  Deputy: | Matt Darnell  Jenny Williams |
| Potential impact on organisation if interrupted: | Medium |
| Likelihood of interruption to organisation: | Low |
| Recovery timeframe: | One working day |
| **Resources required for recovery:** | |
| Staff  *(numbers, skills, knowledge, alternative sources)* | Lead: Matt Darnell  Supported by: Jenny WIlliams |
| Data / systems  *(backup and recovery processes, staff and equipment required)* | 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 Cegedim IS  Rackspace. |
| Premises  *(potential relocation or work-from-home options)* | Not Applicable |
| Communications  *(methods of contacting staff, suppliers, customers, etc)* | Use remote access to place information on portal to inform users that services desk is available but that email functionality is compromised.  Contact CRx Service Desk to raise ticket for service interruption. |
| Equipment  *(key equipment recovery or replacement processes; alternative sources; mutual aid)* | WH hosted servers have a dedicated mail server function which is separate from Cegedim’s managed exchange service and entirely independent of the infrastructure used by Cegedim managed exchange. Consider establishing temporary accounts using the “Servicepact.co.uk” domain to provide email functionality. |
| Supplies  *(processes to replace stock and key supplies required; provision in emergency pack)* | Not applicable |
| Method of recovering and updating data | Recovery of data (email history/archives) is undertaken by Cegedim. Managed back-up and recovery is provided. |
| Duration | WH hosted servers have a dedicated mail server function which is separate from Cegedim’s managed exchange service and entirely independent of the infrastructure used by Cegedim 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. |

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| **Critical function:** | | **Infrastructure (Hosted) at Rackspace data centre** |
| Responsibility:  Deputy: | | Matt Darnell  Jenny Williams |
| 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  *(numbers, skills, knowledge, alternative sources)* | Lead: Matt Darnell  Supported by: Jenny Williams | |
| Data / systems  *(backup and recovery processes, staff and equipment required)* | 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  *(potential relocation or work-from-home options)* | Not applicable | |
| Communications  *(methods of contacting staff, suppliers, customers, etc)* | 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  *(key equipment recovery or replacement processes; alternative sources; mutual aid)* | Invoke manual processing procedures. | |
| Supplies  *(processes to replace stock and key supplies required; provision in emergency pack)* | Not applicable | |
| Method of recovering and updating data | Once system recovery is completed establish date and time of recovered data.  Use manual records to update records changed since downtime.  Cascade message to all users with instructions on how to update records.  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.  Agree relaxation of KPIs with commissioner if necessary. | |
| Duration | 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. | |

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| **Critical function:** | **IT Infrastructure (Local) Operations centre at Webstar Health** |
| Responsibility:  Deputy: | Matt Darnell  Jenny Williams |
| Potential impact on organisation if interrupted: | High |
| Likelihood of interruption to organisation: | Low |
| Recovery timeframe: | Hardware failure: One working day  Catastrophic loss of network infrastructure: see Premises  Connectivity loss: see Connectivity |
| **Resources required for recovery:** | |
| Staff  *(numbers, skills, knowledge, alternative sources)* | Lead: Matt Darnell  Supported by: Jenny Williams |
| Data / systems  *(backup and recovery processes, staff and equipment required)* | Incident should be logged with the Cegedim Service Desk. Recovery will depend on the cause/issue:  Infrastructure is supported by on site next working day hardware replacement service.  Internal connectivity is dependent on the Cisco router which is configured on the network. This is supported by a same working day support agreement.  Normal operations are not dependent on information assets residing on the office network.  Back up of all office data is taken daily, encrypted and stored off-site  Restore from back up to existing infrastructure is between one and four hours.  In the case of a catastrophic loss of the office network or connectivity then the BC/DRP for Premises or Connectivity should be invoked.  WH has idle server and router capacity available if outage is prolonged. |
| Premises  *(potential relocation or work-from-home options)* | Not applicable |
| Communications  *(methods of contacting staff, suppliers, customers, etc)* | Cascade alert to all office based and remote staff by phone.  Inform service users that service desk is available but may be compromised |
| Equipment  *(key equipment recovery or replacement processes; alternative sources; mutual aid)* | 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  *(processes to replace stock and key supplies required; provision in emergency pack)* | 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. |

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| **Critical function:** | **Business Failure of Webstar Health** |
| Responsibility:  Deputy: | Katrina Venerus  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  *(numbers, skills, knowledge, alternative sources)* | Lead: Katrina Venerus  Supported by: LOCSU Disaster Operations Team, 3i InfoTech Remote Infrastructure Team and GM Primary Eyecare Ltd Accountable Emergency Officer |
| Data / systems  *(backup and recovery processes, staff and equipment required)* | 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  *(potential relocation or work-from-home options)* | 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  *(methods of contacting staff, suppliers, customers, etc)* | Primary task will be to inform users of service downtime and alternate actions.  LOCSU will set maintenance page with appropriate message and cascade email alert to users.  Direct users to alternate status page to inform them of service issue and proposed mitigating actions.  Place message on telephone system to mitigate incoming call volumes. |
| Equipment  *(key equipment recovery or replacement processes; alternative sources; mutual aid)* | Invoke manual processing SOP until LOCSU Disaster Operations Team can access OptoManager IT platform.  Use of laptops, 3G connections and mobile telephony to provide immediate connectivity/telecoms for recovery plan. |
| Supplies  *(processes to replace stock and key supplies required; provision in emergency pack)* | Emergency mobile phones, laptops, standard operating procedures, contact lists, mail room equipment. |
| Method of recovering and updating data | Once system transfer is completed use manual records to update records changed since downtime.  Cascade message to all users with instructions on how to update records.  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.  Agree relaxation of KPIs for users with the commissioner if necessary. |
| Duration | LOCSU Disaster Operations Team to continue until alternative sub-contractor to manage the service is sourced.  Alternative sub-contractor to manage the service to be sourced and established within 3 months. |

1. **Key Personnel**

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

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|  | | **Role & Responsibilities** |
| Name | Gianpiero Celino | Responsible Director  (Webstar Health Limited) |
| Telephone (mobile) | 07932740674 |
| Telephone (other) |  |
| Email | gianpiero.celino@webstar-health.co.uk |
| Name | Matt Darnell | Head of Information Services  (Cegedim Rx Limited) |
| Telephone (mobile) | 07985 870676 |
| Telephone (other) | 01772 331065 |
| Email | Matthew.Darnell@cegedimrx.co.uk |
| Name | Jenny Williams | IT Service Manager  (Cegedim Rx Limited) |
| Telephone (mobile) |  |
| Telephone (other) | 01772 331072 |
| Email | jenny.Williams@cegedimrx.co.uk |
| Name | Julian Wyatt | Operations Manager  (Webstar Health Limited) |
| Telephone (mobile) |  |
| Telephone (other) |  |
| Email | julian.wyatt@webstar-health.co.uk |
| Name | Dharmesh Patel | Accountable Emergency Officer (GM Primary Eyecare Ltd) |
| Telephone (mobile) | 07809605320 |
| Telephone (other) | 0161 304 7223 |
| Email | Patel.dharmesh@hotmail.co.uk |
| Name | Musa Dhalla | Managed Services Director  (Webstar Health Limited) |
| Telephone (mobile) | 07932 740675 |
| Telephone (other) |  |
| Email | Musa.dhalla@webstar-health.co.uk |
| Name | Katrina Venerus | Responsible Officer (LOCSU) |
| Telephone (mobile) | 07769682681 |
| Telephone (other) | 0191 236 6525 |
| Email |  |

**Date Approved:**

**Review Date:**